“Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)

Name of the Consultancy: Terminal Evaluation
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Name of the Individual Contractor / Service Provider

Vo.Bo.:_____

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Project Coordinator

Buenos Aires, Argentina. 11 October 2018

Place and Date

OPENING PAGE:

TITLE OF UNDP SUPPORTED GEF FINANCED PROJECT

Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)

UNDP AND GEF PROJECT ID#S.

ID GEF:	4716
ID UNDP PIMS:	4639

EVALUATION TIME FRAME AND DATE OF EVALUATION REPORT

June – November 2018. October 11 2018

REGION AND COUNTRIES INCLUDED IN THE PROJECT

Central America, Guatemala

GEF OPERATIONAL PROGRAM/STRATEGIC PROGRAM

Biodiversity / BD-1: Improve Sustainability of Protected Area Systems.

IMPLEMENTING PARTNER AND OTHER PROJECT PARTNERS

UNDP / MARN / CONAP[1]

EVALUATION TEAM MEMBERS

Maria Onestini

[1] National partners (MARN and CONAP) listed here are the partners officially designated in the project document. In the course of the implementation process other partners were added. This topic will be developed in the relevant sections of the present report.

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ACKNOWLEDGMENTS

The evaluator would like to thank the people of various sectors and institutions that have generously offered their support, their time, and their contributions in order to develop this assessment.

DISCLAIMER

Be stated that the analysis and recommendations contained in this document only represent the analysis and recommendations of the author and do not necessarily reflect the views and opinions of other actors and institutions involved in this evaluation nor the Project.

II. EXECUTIVE SUMMARY

PROJECT SUMMARY TABLE

Project Title:	**Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)**			
GEF Project ID:	4716		At endorsement (US$)	At completion (US$)
UNDP Project ID:	4639	GEF financing:	5 354 545	Executed until 30 de April 2018: **4 164 258** Remaining to execute: **1 190 286**
Country:	Guatemala	IA/EA own	UNDP: 2 775 693	2 775 693
Region:	Central America	Government	**Cash:** CONAP: 2 036 901 DIPESCA/MAGA: 512 966 INFOM: 3 000 000 **In kind:** CONAP: 293 158 DIPESCA/MAGA: 71 814 INFOM: 7 500 000	13 717 506[2]
Focal: Area	Biodiversity			
FA Objectives, (OP/SP):	BD - 1[3]	Total co-financing:	16 190 535	16 493 199
Executing Agency:	UNDP	Total Project Cost:	21 545 080	To be determined at the end of the Project
Other Partners involved		ProDoc Signature (date project began):		February 2014
		(Operational) Closing Date):	Proposed: 31/12/2018	Actual: February 2019

[2] Co – financing breakdown by type of support and by institution can be found in the relevant section of this report.

[3] Biodiversity / BD-1: Improve Sustainability of Protected Area Systems.

PROJECT DESCRIPTION (BRIEF)

The project *"Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)" in* Guatemala had as its general objective promoting the conservation and sustainable use of marine biodiversity through the effective and equitable management of marine and coastal protected areas. It also had as a goal to contribute to the human development of the Guatemalan population through this type of management and to contribute to global conservation goals. It was expected that, as part of the project, in addition, five marine and coastal conservation areas in the Guatemala Pacific coast would be created and/or expanded, along with the generation of elements that promote improvements in management of these areas and the increase their financing. The project has been implemented in Guatemala by UNDP with the Ministry of Environment and Natural Resources - MARN - and the National Council of Protected Areas - CONAP-, and with the financial support of GEF. It was planned that the project would receive 5,354,545 U.S. dollars from GEF and co-financing by UNDP and the Government of Guatemala of about USD 16,190,535. It was estimated that the total cost of the project would be $ 21,545,080. Coordination with CONAP and MARN was supplemented with other strategic partners as key actors (such as the Direction of Fisheries and Aquaculture Norms/Ministry of Agriculture, Livestock and Food DIPESCA/MAGA; Municipal Development Institute - INFOM-; National Forest Institute – INAB--; Bureau of State Land Reserves - OCRET-; Secretary of Planning and Programming of the Presidency - Segeplán-; General Directorate of Maritime Affairs of the Ministry of Defense - DIGEMAR-MINDEF-, as well as municipalities; local communities; non-governmental organizations - NGOs-; universities; and the private sector.

EVALUATION RATING TABLE[4]

Note: The comments column in this box is a very condensed version of sections relating to each of these themes, which are developed in the text of this report. Refer to the relevant sections of each of these topics in the text of the report below to see the full development which makes this assessment of these issues, as well as to see the analysis underpinning the ratings.

1. Monitoring and Evaluation	**Rating**	**Comments**
M&E design at entry	S	Since monitoring and evaluation design is standard, the only shortcoming was its lack of specificity delimited or focused on particular aspects of the Project.
M&E Plan Implementation	MS	The monitoring and evaluation plan was designed and implemented late in terms of monitoring (with full verification methods, etc.), and was fully implemented only in the Project's final period. The mid-term review process was extended and the temporality of the final evaluation was not completely effective, given that there were still a significant number of processes and products being generated. The implementation of the monitoring and evaluation plan was satisfactory in the final period of the Project.
Overall quality of M&E	MS	Corresponds to the observations already made above.
2. IA& EA Execution [5] [6]:	**Rating**	**Comments**
Quality of UNDP Implementation	S	Coordination of implementation and execution of UNDP was in charge of UNDP, using the policies, standards and procedures of this agency and at the request of the Government of Guatemala. The coordination of the application and execution of UNDP had some drawbacks in terms of agility of administrative processes. It had adequate quality and punctuality of technical support.
Quality of Execution - Executing Agency	S	Processes have been implemented mainly through the implementation and application by the PIU. PIU weak mechanism at the beginning of the implementation of the Project, and, therefore, slow start and late implementation / execution in several cases. The degree of delivery is accelerated in the last execution periods, accelerating the implementation. Strengthening the PIU and finding quick financing mechanisms for product execution increase the quality of execution in the final stages of implementation.
Overall quality of Implementation / Execution	S	Corresponds to the observations already made above.
3. Assessment of Outcomes:	**Rating**	**Comments**
Relevance	R	Relevant project in relation with the country's strategic priorities, with GEF's operational programs. Fully adapted to local and national development priorities. Relevance also due to the fact that the Pacific Coast Region of Guatemala is an area with relatively high socio - economic deficiencies, it is a postponed area within the development context of Guatemala, there is little representativeness of the MPAs in the country, and little hierarchy of the protected areas as central theme of sustainable development.
Effectiveness	S	Project was effective in generating several results (planned and unexpected results). Among them, the following are highlighted: variations in management reflected in METT; generation of awareness about marine and coastal issues, institutional strengthening; promotion of inter-institutionality; promotion of links between key actors; knowledge generation, innovation; generation of products for environmental management in the target area, application of novel technology.
Efficiency	MS	It is rated in this way since some deficiencies have been identified, taking into account the whole implementation period of the Project. In particular, slow delivery in the first implementation period and the planning problems found in the last year of execution. Several of the topics discussed in the achievements above, in the effectiveness comments, also make-up the efficiency score.
Overall Project Outcome Rating	S	Corresponds to the observations already made above.
4. Sustainability:	**Rating**	**Comments**
Financial resources:	ML	Probability of financial sustainability has moderate risks -as a whole- since public financing is uncertain in terms of public budget investments in these issues in Guatemala, but there are a number of projects with high potential to be financed by other donors in the objective area related to the themes of this project. In addition,

[4] For these ratings see GEF/UNDP scales for final evaluations in Annex 1: RATINGS SCALE.

[5] IA = Implementing Agency, EA = Executing Agency.

		proposals have been made for other mechanisms that could provide continuity and support national and local financing.
Socio-political:	ML	Probability of socio - political sustainability is mixed, taking into account the positive of the appropriation that has taken place, but at the same time taking into account the political moment.
Institutional framework and governance:	ML	Probability of sustainability around institutional issues is mixed, taking into account the positive aspect of capacities generation and probability of institutionalization of the Technical Advisory Committee (CTA in Spanish), but at the same time taking into account the risks of the governance system necessary for the expansion / creation of the MPAs or the adoption of key institutionalized management tools not being created in the immediate future or in the medium term.
Environmental:	ML	Threats and environmental externalities identified *a priori* still apply (urban growth, agricultural growth related to intensive crops, unplanned industrial and tourist growth with erosion, sedimentation / pollution, uncontrolled nor properly regulated marine transport, over exploitation of marine and coastal resources, risks associated with climate change and its impact in coastal areas).
Overall likelihood of sustainability: -	ML	Corresponds to the observations already made above.
5. Impact:	**Ra - ting**	**Comments**
Environmental Status Improvement	U/A	The project has launched some of the conditions (constituent elements or processes) that could eventually lead to an improvement in environmental status. However, the impact on environmental status *per se* as a result of the intervention cannot be rated.
Environmental Stress Reduction	U/A	The project has launched some of the conditions (constituent elements or processes) that could eventually lead to an improvement in environmental status. However, the impact on environmental stress reduction *per se* as a result of the intervention cannot be rated.
Progress towards stress/status change	U/A	The project has launched some of the conditions (constituent elements or processes) that could eventually lead to an improvement in environmental status. However, the impact on progress towards stress/status change *per se* as a result of the intervention cannot be rated.
Overall Project results:	S	Project general results are considered *S (satisfactory*) since, in terms of the expected results, these have taken place, although with some deficiencies.

SUMMARY OF CONCLUSIONS, RECOMMENDATIONS AND LESSONS

SUMMARY OF LESSONS LEARNED

- The Project at the local level working with direct beneficiaries generates expectations, and the communities, when they do not visualize concrete results, can generate frictions or disappointments and can promote implementation problems. The specific lesson learned would be not to generate excessive expectations, ensuring the support of beneficiaries throughout the life of the project by forming realistic perspectives and generating and / or promoting concrete changes in the actors' livelihoods and quality of life.
- Beginning with the project design, clear and robust administrative and management elements must be included.

SUMMARIZED CONCLUSIONS

The *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)* Project in Guatemala is about to conclude with a series of achievements after having faced several challenges throughout its execution. The Project was conceptualized as a process that would enhance the country's public policies. It concludes with a number of products and processes achieved with the potential to shore up the policies and instruments necessary for sustainable management of biodiversity related to the coastal and marine protected areas of the Guatemalan Pacific. The Project faced a series of challenges. Some related to a somewhat ambitious design in some aspects (such as target indicators related to expected effects to be obtained within the time of the intervention in terms of marine areas to be declared or expanded) and in other aspects with a design that was not appropriate in terms of the administrative and management structure drawn up for a project of the magnitude of this intervention. Likewise, some of the conceptual gaps that are brought about from design onward were the lack of a strong emphasis on issues related to the financing of protected areas, to the economic value these have, and with the livelihoods associated with MPAs, in particular coastal and marine areas (including municipalities). However, despite these issues, the Project was pertinent and relevant to needs in the Guatemalan context of coastal and marine management. The Project was successful in several achievements, some planned, but others not planned. The achievements of the Project were forged through the generation of awareness on marine and coastal issues in Guatemala in the Pacific area; institutional strengthening and the strengthening of both individual and institutional capacities; the promotion of inter-institutionality and links between key actors; generation of knowledge; innovation; and through the generation of products for the management of the coastal marine areas and the areas surrounding them.

Therefore, the Project concludes with an unquestionable number of instruments and strengthening in the subject in the country. The biggest challenge when implementation concludes is the sustainability of the achievements and the products obtained.

SUMMARY OF RECOMMENDATIONS

RECOMMENDATIONS FOR ACTIONS TO FOLLOW UP OR REINFORCE RELATED TO FUTURE DIRECTIONS OF THE PROJECT

1 Generate and disseminate project's products, documents and final reports as soon as possible.
2 Generate distribution and dissemination mechanisms that are agile and decentralized in order to facilitate access to the outputs by the most relevant actors in the country and in the subregion.

3 Strongly support the inclusive and well-defined institutionalization of the CTA in order to promote the continuity of processes and products achieved inter institutionally, strategically and even operationally.
4 Build alliances between the various institutional project stakeholders and key actors of civil society, academia, other projects and other donors in order to catalyze the results, as well as promote the appropriation, continuity and sustainability of the intervention achievements in the near future.

RECOMMENDATIONS FOR CORRECTIVE ACTIONS FOR THE DESIGN, IMPLEMENTATION, MONITORING AND EVALUATION OF THE FUTURE PROGRAMMING BY GEF / UNDP OR MEASURES THAT CAN REPLICATE ACHIEVEMENTS OF THIS PROJECT

5 The design of a project must be inclusive, incorporating key issues for an intervention that focuses on or should focus on sustainable development.
6 The design of a project should also go beyond promoting the generation of products and focus proactively on results-based management, on effects and even (as far as possible due to the temporality of this type of intervention) on impact.
7 From design, a project must contain clear robust administrative and management elements.
8 Project planning (POAs) must be in strict accordance with the financial elements of the intervention.
9 In situations in countries with severe externalities (which are already known to affect management, implementation, and sustainability of expected results in different ways) mechanisms should be designed and generated to cope with these circumstances.
10 Information should be provided to a project about the possibilities of what can be performed reliably through adaptive management.

III. ACRONYMS AND ABBREVIATIONS

CBD	Convention on Biological Diversity
CC	Climate Change
CONAP	National Protected Areas Council
CPAP	Country Programme Action Plan
CTA	Technical Advisory Committee
DIM	Direct Implementation Modality
DIPESCA	General Directorate of Maritime Affairs of the Ministry of Defense
DIPRONA	Office of the Protection of Nature
GEF	Global Environment Facility
GoG	Government of Guatemala
Ha	Hectare
IAP	Project Annual Report
INAB	National Forest Institute
INFOM	Municipal Development Institute
km^2	Square kilometer
LAC	Latin America and the Caribbean
M&E	Monitoring and Evaluation
MAGA	Ministry of Agriculture, Cattle Ranching, and Nutrition
MARN	Ministry of Environment and Natural Resources
METT	Management Effectiveness Tracking Tool for Protected Areas
MPA	Marine-coastal protected area
NGO	Non-Governmental Organization
OCRET	Bureau of State Land Reserves
PIF	Project Identification Form
PIR	Project Implementation Review
PIU	Project Implementation Unit
SECONAP	Regional Council of the Council of Protected Areas Secretariat
Segeplán	Secretariat of Planning and Programming of the Presidency
SIGAP	Protected Areas System of Guatemala
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme

1. INTRODUCTION

PURPOSE OF THE EVALUATION

This final evaluation defines its temporal scope from the start of the intervention (since February 2014) to the development of the mission (August 2018). In addition to the assessment in terms of criteria (relevance, efficiency, etc.) the probability that results are maintained after the end of the intervention and the future impact that could be reached after the closure of the project (sustainability) was also assessed. The complementary purposes of the evaluation were: (a) to promote accountability and transparency, and to assess and disclose the extent of project accomplishments; (b) to synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; (c) to provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues; (d) to contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit; (e) to gauge the extent of project convergence with other priorities within the UN and UNDP, including the harmonization of results and performance of UNDAF and country programming[7]. Also, this evaluation was conceived as a learning process for the project partners (including, in addition to the main addressees such as the UNDP and the Government of Guatemala, the following actors: GEF, international and national NGOs, academia, private sector, etc., that have been involved in one way or another in the performance of the project).

Based on the key findings, this evaluation recognizes lessons learned (operational and technical, including substantive and programmatic lessons) for future formulations of projects and implementation in the country, especially future projects related to the subject and/or the continuation of the project in various forms (sustainability and follow-up). To focus on the objectives of the evaluation, using the definition of standards on which the project was evaluated, evaluation criteria of relevance, effectiveness, efficiency, impact, and sustainability were applied, as defined in the Terms of Reference[8] and in the UNDP and the GEF guides, guidelines and manuals for evaluation. In addition to the criteria already listed, it is considered that the project was assessed taking into account its three main phases of the project: design stage, implementation process, and post intervention stage (i.e. this last phase related to the probability of sustainability of products and effects, as well as follow up).

SCOPE AND METHODOLOGY

This evaluation (external and independent) of the project adheres to the rules and standards of the United Nations Development Group (UNDG), as well as guidelines and manuals relevant to this type of exercise generated by UNDP and GEF. In particular it follows the guidelines of the *UNDP Evaluation Guidance For GEF-Financed Projects Version for External Evaluators* and the UNDP *Handbook on Planning, Monitoring and Evaluating for Results*. It should also be noted that the evaluation process was participatory and that during the evaluation a fluid and direct contact with the UNDP Country Office and with the project implementation unit took place.

EVALUATION TOOLS

The evaluation of the project made use of various methods of data collection and of different sources of information as a basis for the analysis. Through a combination of methodologies and tools (which are listed below) the validation and triangulation between the different levels and types of information sources and methods of data collection was sought to ensure the validity of the findings which give origin to the analytical components, the conclusions, and the recommendations of this evaluation.

[7] *UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects.*

[8] See **Error! Reference source not found.**.

In addition, this evaluation has been broadly participatory. Therefore, the process of evaluation (with the use of certain tools and instruments) was built on with a consultative and transparent approach with stakeholders and interested parties internal and external to the project. Methods and methodological instruments used were the following:

- Evaluation matrix[9]
- Document analysis[10]
- In depth interviews to key informants / focus groups
- Direct observation in field site visits.

As part of the evaluation process a mission to Guatemala took place from August 5th to the 22nd of August. The mission took place in Guatemala City and at sites in the Pacific coast of the country (South West and South East) where project activities were developed. Annexes contain mission-specific information (see Annex 3: Mission Agenda and Meetings). During the mission (and in meetings before and after it) 74 people that were directly or indirectly involved with the *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)* project were contacted. The list of people contacted is included in annexes (see Annex 4: List of contacted persons).

STRUCTURE OF THE EVALUATION REPORT

This evaluation report is structured beginning with an executive summary, an introduction and an evaluation scope and methodology section. A second section contains an overall project description within a developmental context, including an account of the problems the project sought to address, as well as its initial objectives. Furthermore, indicators and main stakeholders involved in the project are described, as well as what were the expected results. Essentially, this segment of the report deals with the design stage and design concept of the project. A third core section of this report deals fundamentally with the evaluation findings, analytically observing the results framework, as well as linkages with other projects and interventions in the sector. Furthermore, this segment also deals with findings relating to the actual implementation of the project, including strategic issues such as adaptive management and partnership agreements, and monitoring. This third section concludes with findings on actual project overall results and findings related to the criteria established for evaluations such as relevance, effectiveness and efficiency, ownership at the national level, mainstreaming and sustainability. A fourth core section of the present report entails overall conclusions as well as forward looking issues and recommendations. Lastly, an annex section includes project and evaluation support documentation.

[9] Guiding evaluation questions are found in annexes (see Annex 8: Questions)

[10] A list of consulted documents is found in the annexes (see Annex 6: List).

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

PROJECT START AND DURATION

The project has a scheduled five-year implementation period. The implementation was initiated in February of 2014. It is expected to conclude in December 2018 (with administrative closure activities running until February 2019).

PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS

The project sought to address certain problems in relation to marine and coastal protected areas of the Pacific coast of Guatemala through the identification of threats in the zone and action upon them. These were defined within the context of the project as threats to marine and coastal biodiversity. The threats identified were: (a) loss of habitat and natural coverage due to unplanned development, creating a particularly critical situation in the country mangroves; (b) pollution caused by unplanned coastal development (urban, industrial and tourist expansion) and through unregulated marine transportation; (c) erosion and sedimentation due to activities in overly used land; (d) over exploitation of coastal resources, including non-sustainable fishing practices, (e) invasive alien species ; and (f) climate change.

In addition, other direct and underlying threats related to marine and coastal issues were also identified, such as expansion of agriculture, development of road infrastructure (in particular the Pacific Corridor of Guatemala), population growth, poverty of the population in the area, lack of financial resources for the management of protected areas in general, as well as institutional weaknesses and a lack of coordination between the authorities and institutions entrusted with the protection and management of marine and coastal biodiversity in general and marine coastal protected areas in particular.

Moreover, from the design of the project onward an analysis of barriers which prevent the conservation and sustainable use of biodiversity in the MPAs of Guatemala has been carried out. Among the barriers identified are: a deficient legal, institutional and financial framework; lack of financial mechanisms that would enable the diversification of financing sources; deficient standards and tools for the reduction of threats to the MPAs in particular and on marine and coastal ecosystems in general, and the limited capacity of officials from the MPAs, the private sector and local authorities to counter the existing threats to the sustainable use of biodiversity.

IMMEDIATE AND DEVELOPMENT OBJECTIVES OF THE PROJECT

The (immediate and development) objective of the project was to promote the conservation and long-term sustainable use of marine and coastal biodiversity (BD) of global importance through effectively and equitably managed marine-coastal protected areas (MPAs), which would contribute to improving the economic welfare of the Guatemalan population.

BASELINE INDICATORS ESTABLISHED

At the project design stage baseline indicators were established, as is usual in this type of intervention. These were part of the logical framework and were expressed for the objective, as well as the three expected results.

For the general objective three indicators were established referring to:

- Total area (in hectares [ha]) of marine and coastal areas under protection by MPAs in the Pacific
- Change in the management effectiveness of three (3) existing MPAs and two (2) new MPAs as measured through the METT scorecard
- Change in the financial capacity of the MPAs according to what was established through the total average score in the Financial Sustainability Scorecard.

Reference indicators were established for the three expected results. In annexes the logical framework is found which contains baseline indicators for the objective and for expected results (see Annex 5: LOGICAL FRAMEWORK).

MAIN STAKEHOLDERS

Project design not only included a list of key stakeholders but also a diagnosis of the potential roles that each of these institutional actors could have had in the project's implementation process.

The main stakeholders, as identified in the design of the Project, are the following:[11]

- MARN
- CONAP
- INAB
- DIPESCA-MAGA
- INFOM
- Municipalities (10)
- Communities and local community organizations
- Non-governmental Organizations (NGOs)
- Universities
- Private sector
- Navy / Ministry of Defense
- United Nations Development Programme (UNDP).

The potential identified roles of stakeholders described in the design stage represent a wide range of possible actions. Primary roles identified are the participation in committees addressing the project, co - funders, potential beneficiaries of training activities, implementation of legislation, participating in management formulations of natural resources, technical and scientific support, as well as logistical support.

EXPECTED RESULTS

As indicated previously, the Project's central objective was:

> *"The project objective is to promote the conservation and long-term sustainable use of marine and coastal biodiversity of global importance through effectively and equitably managed MPAs, which will contribute to improving the economic welfare of the Guatemalan population.*

The objective was articulated through three components. Each of these components included several intended outcomes. These, in turn, included a series of products through which the expected results were to be achieved. The components and expected results which the project considered are outlined below:

Component 1 – Strengthening the MPA legal, policy, and financial frameworks for the protection of marine-coastal biodiversity (BD) and its sustainable use

- Outcome 1.1 – Two (2) new multiple-use MPAs (Las Lisas-La Barrona and Hawaii) and the expansion of three (3) existing MPAs (La Chorrera Private Natural Reserve—Manchón Guamuchal RAMSAR Site, Sipacate-Naranjo National Park, and Monterrico Multiple-Use Natural Reserve) with a total area of 157,254.96 hectares (ha), are included in the Guatemalan System of Protected Areas (SIGAP) and protect marine BD of global importance.

[11] Source: Project Document.

- Outcome 1.2. An enabling policy/legal environment facilitates the conservation and sustainable use of BD in MPAs and their buffer areas.
- Outcome 1.3 – Government and non-government sources increase funding by 50% for MPAs measured through the Total Average Score for all MPAs in the UNDP/GEF Financial Scorecard (baseline to be determined during the PPG phase).

Component 2 – Strengthening the institutional and individual capacities for the effective management of MPAs and the conservation and sustainable use of marine-coastal BD.

- Outcome 2.1 – Management effectiveness of Guatemala's three (3) existing MPAs improves by 15% according to Management Effectiveness Scorecard (METT).
- Outcome 2.2 – Effective deployment of human resources and funds addresses threats (loss of habitat, overexploitation of marine-coastal resources, and contamination) in existing (137,855.76 ha, with expansions) and new MPAs (26,441.64 ha).
- Outcome 2.3 – Monitoring and adaptive management systems to address threats to MPAs and marine-coastal BD.

Component 3 – Addressing threats from key sectors (fisheries, maritime ports/transportation, and urban development) in order to strengthen MPA management and the conservation and sustainable use of marine-and coastal BD in the Pacific region of Guatemala.

- Outcome 3.1 – Key species and ecosystem indicators remain stable in four (4) MPAs (Manchón-Guamuchal, Sipacate-Naranjo, Hawaii-Santa Rosa, and Las Lisas-Paraíso-La Barrona).
- Outcome 3.2 – Stable catches and sizes of selected fisheries species in four (4) multiple-use MPAs and their buffer zones in the Pacific region by project end.
- Outcome 3.3 – Sustainable use and extraction of resources contribute to the conservation of 6,725 ha of mangroves in MPAs and their buffer areas.

3. FINDINGS:[12]

3.1 PROJECT DESIGN / FORMULATION:

ANALYSIS OF LFA/RESULTS FRAMEWORK (PROJECT LOGIC /STRATEGY; INDICATORS)

The Project's Logical Framework follows a standard configuration for this type of tool.[13] It consists of three components, each component contains three expected results, and each expected result contains a series of products to achieve in order to obtain the expected results (in total, the Project had twenty planned products/outputs). The Logical Framework also included a baseline (for most outputs / outcomes / objective), target indicators, as well as means of verification.

Some of the products listed are wrongly written as results or effects, not as products nor outputs in and of themselves. For example, Output 2.2.1 (*Strengthened capacity of national and local government institutions (CONAP, MARN, INAB, DIPESCA, OCRET, the Navy, and municipalities), private sector groups (fisheries, urban development, tourism, maritime ports/transportation), and civil society organizations (non-governmental MPA co-administrators and local communities) in MPAs' management and the conservation and sustainable use of marine-coastal BD*) is expressed in the format of a result [*strengthening*] and not as an output.

In terms of the indicators, although a number of them are SMART[14], others are not. Below are some examples, indicating when or not these criteria (i.e. SMART) are part or not of the indicators included at design or where other issues concerning indicators arise.

For example, some of the core indicators did not have a baseline (i.e. were not specific). To cite a case, for *"Change in average income received by fishermen implementing BD-friendly fishing practices"* there is no specific baseline. Namely, it is not indicated what is the average income. Therefore, this makes the target indicator (of an increased income of 20 percent in average) not measurable nor reliable, nor achievable as a result of the intervention, since its base is not known. The problem is that the project design did not estimate the baseline of the indicator. This lack of a baseline makes it impossible to assess whether the goal was fulfilled *as a result* of the project since it cannot be determined what was the point of departure for this indicator. Within the implementation process it was realized that the baseline reported for several indicators was wrong (for example, in terms of coverage of protected areas (errors in estimating surface) or not reliable (for example, in terms of the size of commercially important fish species).

In terms of a general revision of the indicators to achieve, in several of them there is a conceptualization dissonance regarding what is achievable within the framework of a project like this. A case is the subject of coastal and marine protected areas to be reached. Although several actors imply that the goal of the Project was not to reach the declaration of areas to be protected, nevertheless the indicator is explicitly presented as such in several documents. A project, in particular a direct implementation project such as the one that is being evaluated here, may seek to develop the core instruments (such as requirements, proposed legal declaration, etc.) and strategic alliances to advance in formally obtaining protected areas. However, what is expressed in a number of documents (in synthesis: that the project creates two new coastal and marine protected areas marine and expands three existing ones) is outside the sphere of

[12] This report's subsections marked with an asterisk (*) include ratings according to the GEF / UNDP guidelines for final evaluations (see Annex 1: Ratings Scale). It should be noted that the ratings are generated for the entire Project since the time scope of this evaluation is from the start of activities to the mission in Guatemala.

[13] In annexes the Results Framework is found (see Annex 5: LOGICAL FRAMEWORK).

[14] SMART: Specific, Measurable, Achievable, Relevant, Time-bound.

action and possibilities of a project like this.[15] A project, particularly a project of direct implementation by UNDP, does not and cannot create protected areas. This falls under the realm of the State and its institutions.

Also, the project was conceptualized as an intervention for the generation of instruments, products, etc., not as a project that would seek the implementation of inputs that would generate. The project has an incremental approach in order to add to what is happening in the country and provides financing to achieve results on a larger scale. However, several of the indicators (such as those above exposed) are expressed as effects that can only be achieved with projects seeking to deploy products and management instruments and with a much longer duration projects given that effects or impact (for example, on some ecosystems or their components) is only likely or feasible with a much greater temporality. For instance, Guatemala has recent experience that indicates that to create a new protected area ten years of preparation and policy negotiations are needed. Ecosystem or biodiversity related impact, *as a result of a project*, such as is pretended at the design[16] is also unattainable within the duration of a project such as this.

By the above expressed, although at the products level the design was mostly suitable, however, at the expected results level defined as effects, design was somewhat ambitious. The same applies to the specific coverage area, given that the area of work is all of the country's Pacific coast, where actions would take place, which is an extensive area with scattered communities.

In general terms, therefore, the project document does not explicitly set out a strategy on how effects/results/impacts are reached through the achievement of products. Other identified gaps are as follows, some of these are expanded upon below:

- Gender equality focus
- Livelihoods focus
- Substantial focus on the financing of protected areas and their contribution to socio - economic development
- Implementation roadmap
- Exit strategy.

Despite these gaps, there are some logical relationships within the design of the project. For example, in terms of project components. The choice of partners at the design stage (MARN and CONAP) was logical given that these are the two institutions mainly concerned with natural resource management issues and to the issues related to Protected Areas (not only coastal and marine areas but also terrestrial) in Guatemala. As explained in the relevant sections (subsequent to this section which deals with the topic of design) other partners or relevant actors were incorporated in various capacities in the development of the project given that throughout the course of implementation other key institutional actors were identified.

[15] Several actors at the national level emphasize this issue. Others indicate that it is a translation error of the Project Document that was in the English original. However, as will be seen in the implementation section, this aim continues to be introduced as such in several documents and presentations of the Project.

[16] For instance, regarding the expected target indicator of increased sizes of commercially important species [White Shrimp (Litopenaeus vannamei): 3 g or 6.6 cm.; Blue Shrimp (Penaeus stylirostris): 3 g or 6.6 cm.; Brown Shrimp (Farfantepenaeus californiensis): 3 g or 6.6 cm.; Hammerhead Shark (Sphyrna lewini): 220 cm total length for females and 178 cm for males – as stated in the Project Document] would only be feasible or likely if a project has direct intervention in the target areas –which this project did not in fisheries—and with a temporality that is longer than the five years of expected implementation.

The direct implementation mechanism through which this project was carried out was due to a request from the country (through its GEF focal point). Therefore, it was relevant at the moment that this modality was asked for given the prevailing circumstances and the explicit request of the Government of Guatemala to do so.

This evaluation considers that the project duration in terms of its design (five years) was not sufficient to achieve a robust number of impacts. This valorization is made taking into account the local context and the type of project designed and implemented since this section is concerned with design.[17] In regards to the type of project and its design, although, for example one of the main indicators of the project was the creation or expansion of MPAs [18], repeatedly key stakeholders indicate that these achievements (knowing the conditions and local mechanisms, as well as experiences in the country in terms of time needed to expand and/or create protected areas) are not feasible within a period of five years in Guatemala. Therefore, it is considered from this assessment that, if the project would have had another (longer) temporality and had a clear roadmap (with a clear timeline for action, for example, specifying that the products would be achieved early to allow time for piloting them or implement them by the project if feasible or by its partners) it would have been more likely that the Project could forge greater effects than those generated and even a number of impacts.[19]

The design clearly incorporates country priorities and the project concept is aligned with national development priorities and national plans. Explicitly, this alignment with various plans and relevant policies is manifested through its congruence with the Policy for the Integrated Management of Marine-Coastal Zones of Guatemala, conservation needs as established in the country's conservation gap analysis of the year 2009; the Strategic Plan for Biodiversity 2011-2020 (Aichi Targets); as well as the Programme of Work on Protected Areas of the Convention on Biological Diversity (convention which Guatemala is a part of). [20] It should be noted, also, that the project is developed in one of most overlooked zones of the country, not only in terms of coastal and marine protected areas, but also in socio - economic and development terms. Therefore, explicitly and implicitly the project responds to the development priorities of Guatemala in the Pacific coast.

However, and although the objective of the project states that it will contribute to improving the economic well-being of the Guatemalan population[21], this is not explicit in design, and therefore the issue of the population's development (as well as economic financial subjects) has been identified as project weaknesses. Specifically, the project (partly due to this design gap) did not work profoundly on livelihoods issues. Also, financing the management of protected areas, the issue of value of protected areas in terms

[17] According to the Results Based Management framework, UNDP / GEF defines effects as intentional changes in development conditions, medium-term results, resulting from the contributions of various partners, Government, other stakeholders and UNDP.

[18] Outcome 1.1 – Two (2) new multiple-use MPAs (Las Lisas-La Barrona and Hawaii) and the expansion of three (3) existing MPAs (La Chorrera Private Natural Reserve—Manchón Guamuchal RAMSAR Site, Sipacate-Naranjo National Park, and Monterrico Multiple-Use Natural Reserve) with a total area of 157,254.96 hectares (ha), are included in the Guatemalan System of Protected Areas (SIGAP) and protect marine BD of global importance.

[19] It is reported that the Plan for the Reduction of Vulnerability and Impacts of Climate Change on Biodiversity and Ecosystem Services of the Pacific Coast of Guatemala was piloted.

[20] The design of the Project also mentions other regulations and public policies equally relevant to it, such as the Political Constitution of 1985; the governing Law of Environmental Protection and Improvement; the Protected Areas Law; the General Fishing and Aquaculture Law and its Regulation, among others. (Source: Project Document).

[21] Objective: "promote the conservation and long-term sustainable use of marine and coastal biodiversity of global importance through effectively and equitably managed MPAs, *which will contribute to improving the economic welfare of the Guatemalan population*".

of environmental services that they offer, or their potential as a development factors for the coastal and marine area of the Guatemalan Pacific was not substantially worked upon nor enhanced.

In terms of the concordance with the UNDP and GEF priorities, it should be noted that these are a given. In fact the project aligns with UNDAF Outcome 1 2014: *"environmental management is strengthened and risk is reduced, with the participation of civil society; there is a better use of renewable energy and improved access to water and sanitation, with special emphasis placed on populations vulnerable to climate and geological risks"* and Expected Outcome 6 of the CPD (also of 2014) *"the Guatemalan population especially those vulnerable to climate risks, have improved environmental management and have more access of renewable energy services"*. As to the GEF priorities, the intervention is framed with its BD1 Objective: *"Improve Sustainability of Protected Area Systems"*.

The project document was originally designed for a national implementation project. But the project was implemented in direct implementation modality by UNDP. Therefore, some impediments of the national implementation design are still in the Project Document's text and also in the perception of it by key actors. It should be noted, however, that the design was participatory, with a broad intervention of institutions and key individuals at the national level at the time of drafting of the project.[22]

Finally, other complications that the design faced was the question of the Project Document's language or translation. The original document is in English, and there are variations between the original and its translation into Spanish, with several errors in some sections, for example, in the key sections listing expected outputs and outcomes. Despite being Guatemala a Spanish-speaking country, the original English version was used in the majority of cases for the implementation and general approaches to this intervention, partly based on this lack of agreement in some sections of the translation vis-a-vis the original.

ASSUMPTIONS AND RISKS.

Assumptions and risks for project implementation were identified at the design phase. The risks were also ranked and the possibilities for mitigation of risks were outlined (taking into account the capability that a project has to mitigate exogenous risks).

Identified assumptions and risks were the following:

- Threats to biodiversity increase beyond currently projected levels
- Negative short-term impacts on local communities' livelihoods caused by resource use restrictions
- Security issues
- Climate change impacts upon coastal and marine biodiversity.

LESSONS FROM OTHER RELEVANT PROJECTS (E.G., SAME FOCAL AREA) INCORPORATED INTO PROJECT DESIGN.

At design it is made explicit that lessons from other projects in the same area of interest were incorporated. Projects such as the *Meso-American Barrier Reef System II in Mexico, Belize, Guatemala, and Honduras*, and the *Sustainable Management of the Shared Living Marine Resources of the Caribbean Large Marine Ecosystem (CLME) and Adjacent Regions* (both projects financed by GEF and implemented by UNDP) are mentioned for this purpose. Also, in the ProDoc it is mentioned that actions would be

[22] Participation included in the Project Document with activities such as definition workshops, participatory workshops, etc., and that were exposed and therefore validated by key actors in the interviews conducted in the context of this evaluation.

coordinated with the GEF-IADB regional project *Environmental Protection and Maritime Transport Pollution Control in the Gulf of Honduras (Belize, Guatemala, and Honduras)*.

It was also indicated that lessons learned and experiences in capacity development, local participation and monitoring of threats to biodiversity and MPAs (including climate change) would be exchanged with the *Strengthening the sub-system of coastal and marine protected areas project* (also funded by GEF and implemented by UNDP). Finally, it is indicated that synergies would be developed with other donors' interventions.

PLANNED STAKEHOLDER PARTICIPATION.

As indicated previously in this report, the project's design and planning was participatory and consultative. This, in turn, included a focus on and a prearranged participation plan for those potentially interested in implementation.

Many stakeholders do not coincide with the assertion that project design and planning were participatory and consultative. However, participation evidence shows the contrary to the assertion of the actors involved with the project in its final phase (phase in which this assessment is developed). These assertions are due to the fact that people who manifest lack of participation did not participate personally. However, their institutions did despite claims to the contrary. All of the above is related to the fact that institutions associated with coastal and marine issues in the country experience high turnover of staff and due to the lack of historical institutional memory that these changes carry.[23] [24]

The Project Document includes a stakeholders' participation plan throughout implementation. In it the concepts of participation functions and responsibilities of the main actors is formulated, ensuring the full knowledge by stakeholders about advances and obstacles in the development of the project. Also, to be done by taking advantage of the actors' experience and skills to enhance project actions, and identify the key moments within the project cycle where participation will be made effective. In addition, it is indicated that the ultimate objective of the stakeholders' participation plan would be the sustainability in the long term of project achievements.

Although, as noted earlier in this report (see Main Stakeholders section), design included a list of actors and a summary of the potential functions in project implementation, throughout the course of implementation the conclusion was made that this stakeholders typology was not complete. Through the identification of other actors relevant at different levels, these were incorporated in different capacities (such as implementation partners and/or as members of the Technical Advisory Committee).[25]

REPLICATION APPROACH.

In the context of GEF projects, replication approach is defined as the lessons and experiences that result from the project and that are repeated or applied in the design and implementation of other projects. Project design includes indications of promoting links with other national and international cooperation projects (from multilateral and bilateral agencies, etc.). Although they were not specific in design, during

[23] As will be seen in other sections of this report, staff turnover and the lack of historical memory within the relevant institutions have hampered several aspects of the Project and, in turn, are expected to hinder the sustainability of the results in the medium and long term. The subject is taken up in the pertinent sections below.

[24] This externality not only affected the view on the participation or not of key institutions in the design of the Project, it also affected to a certain extent other factors related to the implementation of the intervention as it is developed in other relevant sections of this report.

[25] This has been one of the best practices of the Project led by the PIU.

implementation these links were actively promoted. In particular with agencies that can provide continuity or try to implement some of the products generated by the project. This would be crucial for continuity or to ensure effects as a result of products. This subject is taken up below in the sustainability section.

UNDP COMPARATIVE ADVANTAGE.

The comparative advantage of UNDP in relation to this project is related to various Agency's facets with regard to the implementation of GEF-funded projects and in relation to its mandate. Firstly, given the Agency's trajectory in projects that deal with the conservation and management of protected areas within a development approach. Moreover, due to the experience of UNDP in projects dealing with conservation and sustainable development (including at regional and at country levels). The comparative advantage of UNDP is also focused on its global network of offices in countries, its experience in the formulation of integral development policies, institutional strengthening, the participation of the non-governmental sector and communities, and the promotion of gender equality. Although not explicitly stated in design, the transparency of the Agency's actions was one of UNDP's comparative advantages considered for the formulation and implementation of this sort of project. Finally, UNDP's trajectory in the country on projects dealing with sustainable development and management of resources (with a number of them financed by GEF) was also an UNDP comparative advantage in the formulation and implementation of this Project.

LINKAGES BETWEEN PROJECT AND OTHER INTERVENTIONS WITHIN THE SECTOR.

Project design establishes that the Project Coordinator should "*Foster, establish, and maintain links with other related national and international programs and national projects, including information dissemination through media such as web page actualization, etc.*". Furthermore, design provides guidance for linkages with another intervention within the sector, the *Sustainable forest management and multiple global environmental benefits* in Guatemala (also financed by GEF and implemented through UNDP). Other projects in progress in the country and in the region are also mentioned in the Project Document due to their potential ties with the *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)* Project. The Project being evaluated established administrative links (to the point of sharing the PIU at the beginning of both interventions) as well as thematic links with the *Sustainable forest management and multiple global environmental benefits Project.*

MANAGEMENT ARRANGEMENTS.

Administration provisions were established at design. According to the Project Document, it is determined that implementation would be carried out by UNDP through direct implementation modality. Although this is not usual for this type of interventions, the modality was due to an explicit request from the Government of Guatemala. To some extent this caused confusion in several stakeholders, more accustomed to national implementation projects, and some compromises in terms of key national stakeholders' visibility in a project of this nature. Despite these misunderstandings and compromises around the image on a *"who the project belongs to"*, there were not apparent problems in national ownership, nor in other processes such as decision-making (although leadership and ownership varied from time to time due to high turnover rates of policy and technical personnel in leading institutions).

In terms of directing mechanisms, the project has a Steering Committee or project Board (according to the project document this should have been composed of representatives of the MARN, CONAP, MAGA and INFOM as well as UNDP, however, in practice the Board has been tripartite - MARN, CONAP, UNDP).

Another decision and consultation body was the Technical Advisory Committee (CTA) at the national level. This Committee was limited in its composition in the beginning, but key institutional stakeholders were

incorporated in the course of the implementation period so that the CTA would be relevant and include the great majority of pertinent institutions of the marine coastal theme in the country.[26] The CTA has been a very well-positioned mechanism to underpin project actions in the various achievements as well as to support attaining products and processes resulting from project administration. In addition to this, an unexpected result that can be attributed to the project has been the facilitation of inter-institutionality among CTA members through its actions.[27]

Finally, in the two subregions in which the project operated (Southeast and Southwest) two Committees for Local Support were established. These committees were also key to the administration of the project at the local level and to promote inter-institutionality at specific and territorial levels.

The most salient issue in terms of what was planned for the project management unit (PIU) is the coordination that it would carry out in conjunction with another UNDP/GEF project (*Sustainable forest management and multiple global environmental benefits Project)* and the matter that the administrative sectors of both projects would share human resources. The issue of shared management between two projects of large dimensions and complexities caused several problems, including delays in implementation. Several of the delays, therefore, were due to administrative matters, procurement processes which were declared deserted, as well as the challenge of joint coordination between two GEF/UNDP projects.[28]

[26] As will be seen in the relevant sections of this report, this evolution from a basic committee to an inclusive committee has been one of the Project's best practice.

[27] The CTA institutionalization, in order to promote the continuity of achieved processes and products attained inter-institutionally, is a key issue for future sustainability, which is taken up in the relevant sections of this report.

[28] The PIU, however, is strengthened over time and this topic is analyzed in the adaptive management section and the good practices section below.

3.2 PROJECT IMPLEMENTATION:

ADAPTIVE MANAGEMENT (CHANGES TO THE PROJECT DESIGN AND PROJECT OUTPUTS DURING IMPLEMENTATION).

If adaptive management is defined as described in this section's title (i.e. "changes to the project design and project outputs during implementation" given current social, environmental, economic or any other factors interfering with the project's performance and proposed outcomes), then it be may indicated that adaptive management has been limited. With this definition, only few changes are evident.

Some of the changes occurred regarding indicators. For example, changes in the review of indicators relating to fishing and fisheries target species. Nevertheless, in this case, the mentioned substantive review (i.e. the revision of fish indicators) did not have a substantial impact as other indicators were added that did not necessarily improve adaptive management, but (as many relevant actors stated) it made the implementation process more complex in this case. Evidently, as stated in the section referring to design in this report, this problem not only responded to the indicator itself, but also to the lack of reliability of data available on this subject, as well as a lack of robust core indicators. The adaptation of indicators in general, not just individual indicator, specified that at the end of the project there were 17 indicators used for monitoring.

There were no other significant substantive changes to the design of the project. For example, there were no changes in relation to expected results. However, other changes were made if a broader view of adaptive management is taken than what is stated above as a definition for evaluations. The main alteration identified during the implementation process were the changes in the PIU which involved incorporation of support staff, incorporation of proactive staff at two local objective areas (Southeast and Southwest), and of staff in charge of the monitoring system. Changes in the PIU were key for project management. These changes, with others, underpinned management and execution and were a good practice in general.[29]

However, if a still broader view is taken, there are several additional instances where (implicitly or explicitly) adaptive management during the implementation of the project was applied if this is defined as general changes in management for a better implementation. The most salient ones are indicated as follows:

- Determine that PIU coordination would be carried out by a full-time person and implement this modality from January 2015 onward.
- Change the modality through which awards were made in order to expedite delivery from July 2016 onward and for the majority of agreements signed at the end of 2017.
- Expand the Technical Advisory Committee from 2015 onward in order to be inclusive and involve all relevant institutional actors in marine coastal subjects in the country.

PARTNERSHIP ARRANGEMENTS (WITH RELEVANT STAKEHOLDERS INVOLVED IN THE COUNTRY/REGION).

There were a series of partnership agreements with relevant stakeholders involved in marine and coastal matters in the country. A typology of associates is as follows:

- National level government institutions involved in marine and coastal matters in Guatemala.

[29] These adaptations were made following the midterm review recommendations.

- Government institutions at the local level involved directly and indirectly with marine and coastal issues (e.g., municipalities).
- Academic organizations.
- Non-governmental organizations, national and international.
- Local level productive associations (for instance, those related to fishing).
- Consulting companies.

Although not implemented through formal agreements, the project correlated to other cooperation agencies and donors who are key stakeholders at the country level or in the region with marine and coastal issues and with development of the Pacific coast in Guatemala.

FEEDBACK FROM MONITORING AND EVALUATION ACTIVITIES USED FOR ADAPTIVE MANAGEMENT.

As described in other sections of the present report, the strengthening of the PIU was due in part to the feedback of evaluation activities (mid-term review) used for adaptive management. The changes suggested by the mid-term review were the incorporation of support staff and also of staff in charge of the monitoring system. Therefore, in relation to this feedback, it not only strengthened the PIU and improved delivery and the implementation process, but it also strengthened the monitoring system, documenting and periodically updating project achievements.

PROJECT FINANCE:

It was planned that the project would receive 5,354,545 U.S. dollars from GEF and co-financing from UNDP and the Government of Guatemala of about USD 16,190,535. It was estimated that the total cost of the project would be $ 21,545,080. At the mission stage for the current evaluation process (August 2018), moment in which the search for information ended and six months before project's operating closure (planned for February 2019), a total delivery of 86.36% of the budget was reported.[30]

[30] Source: PIR 2018.

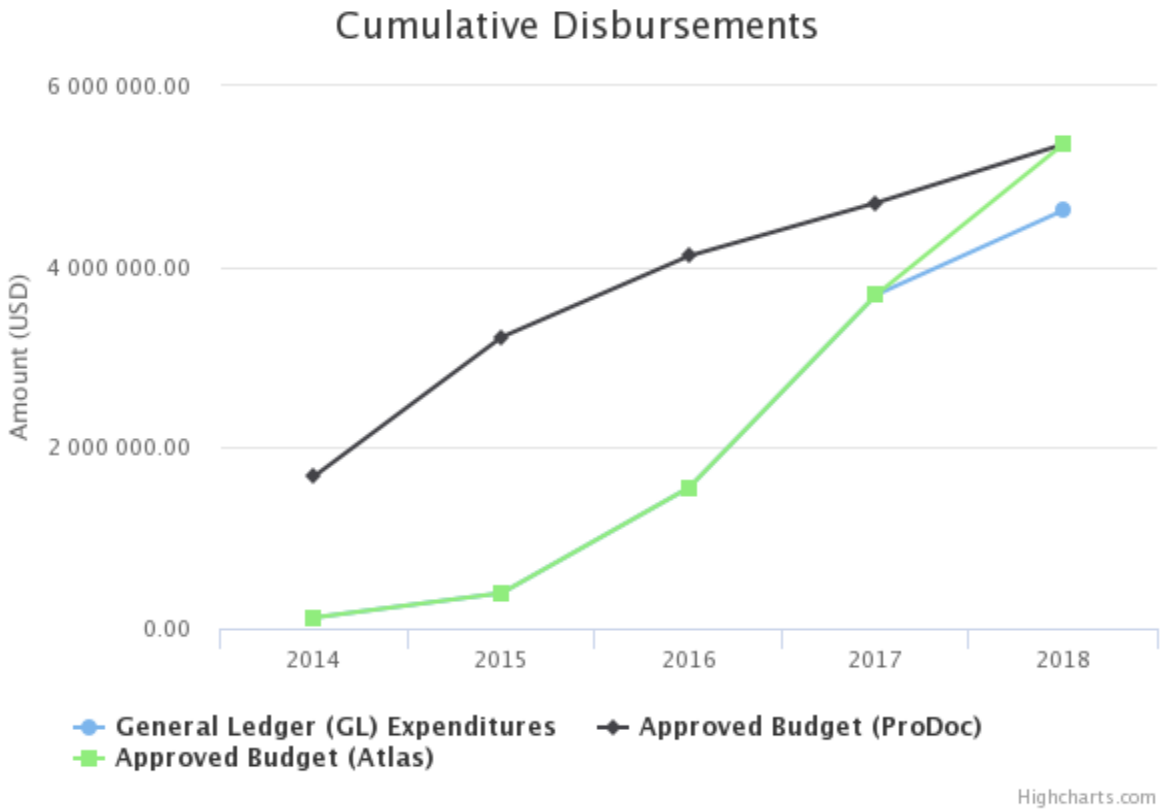

TABLE 1: TOTAL CO - FINANCING

Cofinancing	Own financing by PNUD (mill. US$)[31]		Government (mill. US$)		Total (mill. US$)	
	Planned	Actual	Planned	Actual	Planned	Actual
TOTAL Concessions and in - kind	2,775,693	2,775,693	11,414,839	13,717,506	16,190,535	16,493,199

Total co-financing turned out to be very similar to what was committed (101.8 per cent). Below is co-financing break down from the Government of Guatemala according to each of the three institutions that provided co-financing (CONAP, MARN and INFOM).

[31] Co – financing by UNDP was in the concessions modality.

TABLE 2: CO – FINANCING GOVERNMENT OF GUATEMALA

Co-financing entity Government of Guatemala	Co -financing type	Amount committed upon Project approval (US$)	Amount contributed upon evaluation broken down by type of co-financing when these modalities are reported (US$)	Amount contributed upon evaluation (US$)
CONAP	Concessions	2036901	2632727	2632727
	In kind	293158		
DIPESCA/MAGA	Concessions	512966	0	584781
	In kind	71814	584781	
INFOM	Concessions	3000000	9054999	10499998
	In kind	5500000	1444999	
		11414839	13717506	13717506

Co-financing reported as contributed by the Government of Guatemala at the time of the final evaluation was 120 percent of the committed at the time Project approval. That is, the amount reported as co-financed was about 20 percent more than what was committed.

MONITORING AND EVALUATION: DESIGN AT ENTRY AND IMPLEMENTATION (*)

Design at entry of the monitoring and evaluation system of the project is standard for this type of intervention. For this, the general design features a series of milestones and instruments to generate in order to comply with the implementation of the monitoring and evaluation system. These instruments and milestones would be:[32]

- Project Inception Workshop
- Inception Report
- Measurement of Means of Verification of project results
- Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)
- APR and PIR
- Tripartite Committee Reviews and Reports
- Steering Committee/Board Meetings
- Quarterly progress reports
- Technical reports
- Mid-term Evaluation
- Final Evaluation
- Audits
- Visits to field sites

[32] Source: Project Document.

Since the design is generic, the same was not project specific. Therefore, since the design is the standard and the only flaw is its lack of defined specificity for the project, design at entry for monitoring and evaluation is ranked as *Satisfactory (S)*.[33]

As it emerged in the mid-term review, and as a result of adjustments made in the final period of implementation, the monitoring system was designed and fully implemented in the project's last year and a half. Although a number of processes of monitoring and evaluation unfolded properly, the implementation of the monitoring and evaluation plan has encountered some obstacles. Firstly, in relation to a full monitoring system (with measurement of results mechanisms of verification and with measurement of progress) it has been implemented fully only in the last year and a half of the execution process. Secondly, the development of the mid-term review was long and extended, which undermined this process' effectiveness. Although the project reports that feasible mid-term review recommendations were considered to speed up the second half of the implementation period, even so, temporality was not adequate given that the process took almost two years. The project includes follow-up tools in monitoring (for example, METT analysis and Financial Sustainability Scorecard for Protected Areas).

This evaluation considers that the final review of the project (that is, the process that is giving a course to this report), did not have a fully adequate temporality either. As it will be seen in subsequent sections, the project has developed a large number of products in the last year. At the time of information search (field mission in Guatemala) a significant number of key products were still being generated. Although there was a very adequate access to these products and documents by the evaluation (even access to several of those products that were not completed nor approved), several key stakeholders had not accessed them.

Therefore, the dialogue that must engage between the evaluation and key stakeholders about the products generated (for example, looking for key actors' valuation about the suitability, quality, and potential effectiveness of these) was not able to fully take place since a number of key stakeholders had not had access to them. In relation to this (i.e. the synchronization of the final evaluation with other monitoring and evaluation processes) the formulation of the Final Project Report nor the lessons learned report (that is, the last two items in the Monitoring and Evaluation plan) had concluded. For what is expressed, it is considered that the implementation of the project's monitoring, systematization and evaluation have been *Moderately Satisfactory (MS*). Considering this rating and the previous one for the design of the Monitoring and Evaluation plan, it is considered that the M&E overall quality has been *Moderately Satisfactory (MS).*[34]

UNDP AND IMPLEMENTING PARTNER IMPLEMENTATION / EXECUTION (*) COORDINATION, AND OPERATIONAL ISSUES.

This was a direct implementation project under the sphere of UNDP as executing agency of the GEF funds and as an implementation partner. As for the first matter (Coordination of implementation and execution by UNDP), the Project Document clearly states that the execution and implementation of the project would be carried out by the UNDP, using the policies, standards and procedures of this Agency and at the request of the Government of Guatemala. The coordination of the application and implementation of UNDP had some drawbacks in terms of administrative processes agility. It was, however, adequate regarding the quality and timeliness of technical support. Taking into account the factors presented above, the ranking for coordination of the implementation and execution by UNDP is considered *Satisfactory (S).*

The implementation processes have been instrumented mainly through the execution and implementation by the PIU. As described in other sections, the PIU was a mechanism that was weak at the beginning of project implementation. It shared administrative/financial staff and coordinator with another project implemented by

[33] Satisfactory (S): minor shortcomings according to GEF/UNDP's final evaluation ratings scale (see **Error! Reference source not found.**).

[34] For these ratings see GEF/UNDP scales for final evaluations in Annex 1: RATINGS SCALE.

UNDP and funded by GEF. Also, it did not have staff om charge of monitoring and its presence in the field was also weak. In the second year of implementation a full-time coordinator was hired.

In the last three years of execution two people were hired to facilitate project presence in the target areas. Also, in the last stage of implementation a monitoring specialist was incorporated. Partly because of the PIU weakness in the project's first period, start was slow and implementation/execution delayed. Delivery in June 2017 (at three years of project start) was only 40% of the budget, while the degree of delivery a year later (Source: PIR 2018) was 86%. Firstly, this gives account of the slow process of implementation, which unfolded throughout most of the execution process. However, this gives account - also – of the agility with which the Project was executed in the last year and a half of activity, which is highly linked to the PIU management mode when this was strengthened.[35] The search for rapid financing mechanisms for the execution of products accelerated execution. Therefore, taking into account the factors set out above, the ranking for application and implementation of the project is considered *Satisfactory (S)* taking into account all of the implementation period.

Regardless of this being a direct implementation project by UNDP (with the agency fulfilling this role, as well as the role of GEF implementing agency), other organizations were identified as partners. The two agencies identified as partners at the design stage (MARN and CONAP according to the ProDoc) participated actively in decision-making processes, and participated dynamically in the various steps of products and processes execution (at the national as well as at the local level). The same happened also with other partners identified and incorporated in the course of project management and implementation. The dynamics of direct execution by UNDP did not adversely affect the ownership of processes and products that the project achieved.[36]

However, very key actors perceived that their roles were not adequately visualized. Likewise, there were a number of disquiets with the powers (explicit and implicit) that the Project was attributed. It is repeatedly highlighted by a number of key actors, and is evidenced in a number of documents that tacitly or explicitly suggest this, that the Project (especially a project of this kind) cannot be attributed powers of application and execution (neither implicitly nor explicitly) that are not its own, such as the creation or expansion of protected areas. It is assessed in this evaluation process, therefore, that the visibility of the partners was limited in many instances and that the tacit and / or explicit faculties often contributed to this limited visibility and to perceive that some faculties were not suitable for a project of this type. [37] The Project indicates that the procedures carried out follow the national guidelines (see footnote for an extensive explanation of this topic according to the Project).[38]

3.3 PROJECT RESULTS

OVERALL RESULTS (ATTAINMENT OF OBJECTIVES) (*)

[35] The modality of management, the incorporation of personnel with appropriate technical knowledge, as well as the strengthening of the PIU in the last stages of execution are identified as a good practice in the relevant sections of this report.

[36] This issue is not recent, it is even evident in the mid-term review.

[37] For example, the explicit attributions incorporated in some of the Project documents and that are explained in the section " ANALYSIS OF LFA/RESULTS FRAMEWORK (PROJECT LOGIC /STRATEGY; INDICATORS)" of this report, corresponding also to findings of the mid-term review.

[38] The Project responds to this triangulated and validated assessment by a number of actors indicating that for the proposal of declaratory of possible MPAs, the guidelines established institutionally by CONAP in the Protected Areas Law (Decree 4-89) and its modifications (Decree 110-96) were followed, as were the Instructions for conducting Technical Studies (CONAP, 1999). A proposal for the completion of a Technical Study can be presented to CONAP by "any public or private entity, including municipalities or grassroots organizations" (Article 12, Decree 4-89). Due to this, the Project indicates that it complied with submitting the proposals to CONAP, which will decide whether it continue with the arrangements for creation or expansion, in which its stewardship and institutional leadership are fundamental.

The Project objective was to "*promote the conservation and long-term sustainable use of marine and coastal biodiversity of global importance through effectively and equitably managed MPAs, which will contribute to improving the economic welfare of the Guatemalan population".* As for this purpose ("promote conservation..."), a satisfactory achievement of the same is discerned *(S)*.

The Project Objective was articulated through several results expected to be obtained (and these in turn through the execution of outputs and processes).[39] In annexes there is a table extracted from the last Project implementation reports, reports basically analogous in time with the final evaluation mission, where the compliance or not of the results is reported according to the project's target indicators. In this section, the most salient achievements of the project are reported analytically in terms of results (expected or not) based on the summative data of the implementation and, of course, on the general assessment made in an evaluation of this type. The main achievements (expected and not, planned and unplanned) in terms of results were the following:

- *Variations in management reflected in METT*. In terms of general results, key indicators for this type of project are those related to the Management Effectiveness Tracking Tool (METT).[40] The target indicators exceeded expectations in the analyzed MPAs.
- *Awareness generation*. The Project has been highly successful in generating awareness about marine and coastal issues in Guatemala, especially about a forgotten area of the country such as the Pacific Coast and around traditionally forgotten or recent MPAs.
- *Institutional strengthening.* Strengthening of individual and institutional institutions and capacities has been generated, in terms of and / or through training mainly, but also in support of new functions and new management modalities related to the marine and coastal issues and to the MPAs (such as multiple use modalities, impact of activities in buffer zones). It should be noted that the strengthening and generation of capacities is not only reflected at the institutional level, but also reflected in the generation and

[39] Outcome 1.1 – Two (2) new multiple-use MPAs (Las Lisas-La Barrona and Hawaii) and the expansion of three (3) existing MPAs (La Chorrera Private Natural Reserve—Manchón Guamuchal RAMSAR Site, Sipacate-Naranjo National Park, and Monterrico Multiple-Use Natural Reserve) with a total area of 157,254.96 hectares (ha), are included in the Guatemalan System of Protected Areas (SIGAP) and protect marine BD of global importance.

Outcome 1.2. An enabling policy/legal environment facilitates the conservation and sustainable use of BD in MPAs and their buffer areas.

Outcome 1.3 – Government and non-government sources increase funding by 50% for MPAs measured through the Total Average Score for all MPAs in the UNDP/GEF Financial Scorecard (baseline to be determined during the PPG phase).

Outcome 2.1 – Management effectiveness of Guatemala's three (3) existing MPAs improves by 15% according to Management Effectiveness Scorecard (METT).

Outcome 2.2 – Effective deployment of human resources and funds addresses threats (loss of habitat, overexploitation of marine-coastal resources, and contamination) in existing (137,855.76 ha, with expansions) and new MPAs (26,441.64 ha).

Outcome 2.3 – Monitoring and adaptive management systems to address threats to MPAs and marine-coastal BD.

Outcome 3.1 – Key species and ecosystem indicators remain stable in four (4) MPAs (Manchón-Guamuchal, Sipacate-Naranjo, Hawaii-Santa Rosa, and Las Lisas-Paraíso-La Barrona).

Outcome 3.2 – Stable catches and sizes of selected fisheries species in four (4) multiple-use MPAs and their buffer zones in the Pacific region by project end.

Outcome 3.3 – Sustainable use and extraction of resources contribute to the conservation of 6,725 ha of mangroves in MPAs and their buffer areas.

[40] Expectations regarding METT were exceeded between four and six percent: MPA La Chorrera-Manchón Guamuchal the target indicator was 25% and METT was 31%; MPA Sipacate-Naranjo the goal was 41% and a METT of 47% was obtained; while in the Monterrico MPA the goal was 55% and 59% was obtained.

strengthening of individual capacities.[41] The latter (strengthening of individual capacities) is important given the high turnover of individuals at a technical and political level in Guatemala on issues related to the Project. It is also important to emphasize that the tools (that are reported in the section on the generation of management products in subsequent segments), if implemented, improve management and strengthen the institutional framework.

- *Promotion of inter institutionality*. Inter institutionality has been fostered, which was a absent issue in the country regarding coastal and marine matters in general and regarding MPAs in particular. This generated inter-institutionality has occurred at the national level, in particular through the execution of products and processes as well as through the CTA. Regarding this inter-institutionality, support was added to solve interdisciplinary needs in the national governing functions. The interrelation and mutual knowledge among relevant institutions also occurred, although to a lesser extent, at the local level. Also, although to a lesser extent, exchanges between central and local institutions were generated.
- *Promotion of links between key actors*. In addition, a number of governmental institutions (national and local) generated connections and links with civil society and academic organizations regarding coastal and marine issues.[42]
- *Knowledge generation*. As a result of the Project, basic knowledge has been generated, not only for the management of current and future (potential) coastal and marine protected areas in Guatemala, but also information on environmental issues, ecological information, and of productive sectors related to fishing, as well as of urban environmental issues in the Pacific coastal marine zone in general.
- *Innovation*. It has incorporated innovation such as the aggregation of analysis technologies, of software, of instruments that reflect modalities of integrated and innovative protected area management.
- *Generation of management products*. Has generated or is generating a series of products that, if appropriated by the relevant actors and implemented, can have effects and even positive impacts (products such as studies for environmental urban planning in Pacific localities (including pre-feasibility studies for wastewater and solid waste), management protocols, integrated management plans for marine protected areas and adaptation to climate change, mangrove regulations, forest measurement methodologies, coastal and marine integrated management programs, and disaster risk management programs, proposed declarations of protected areas, Ramsar fact sheets, surveillance plans).

RELEVANCE (*).

The relevance of a project, for an evaluation like this, is defined in two ways (a) the extent to which the project is in agreement with GEF operational programs or with the strategic priorities based on which the project was financed and, (b) the extent to which an activity adapts to local and national development priorities and organizational policies, including changes over time. In final evaluations it is also analyzed, and in retrospect, whether the objectives of an intervention or its design are still adequate given changes in circumstances.

Regarding the first item in the paragraph above, the design and formulation section states that the Project was relevant in relation to the country's strategic priorities and in relation to the GEF's operational programs. The Project was also relevant given that it is fully adapted to local and national development priorities. First, given that the Pacific Littoral region of Guatemala is an area with relatively high socio-economic deficiencies (as indicated in the Project Document with an average of 56% of people in general poverty and 12 % in extreme poverty), and in general a postponed area within the development context of Guatemala. Secondly, due to the low representation of coastal and marine protected areas in the country, especially in the Pacific, since these represent only 3% of the national territory, including those of the Atlantic sector. Because of the limited hierarchy that is given to protected areas in general and to coastal and marine areas as possible core themes or factors of sustainable development. Finally, it

[41] As shown in the analysis of score cards for institutional capacities carried out by the Project

[42] For instance, work links were created with different entities (Segeplán, Sistema de Planificación Nacional, BIOFIN Project).

is considered that the relevance is still adequate when the project is about to end, since the conditions, circumstances and threats to the sustainable use of biodiversity in the Pacific Coast are still valid. Therefore, the Project is rated as *Relevant (R).*

EFFECTIVENESS & EFFICIENCY (*).

Effectiveness and efficiency are two criteria intrinsically linked to each other in the evaluations of projects financed by GEF and implemented by UNDP. The extent to which the development intervention objectives were achieved is considered effectiveness. Efficiency is a measure of how resources / contributions (funds, experience, time, etc.) are translated into results economically.

EFFECTIVENESS (*)

The Project has been comparatively effective as it largely achieved the intervention's objectives, and because it achieved the majority of the products expected to be attained. As this is not a project for the implementation of these products, the effects or impacts that could be analyzed based on results-based management are not discernible, since most of the products generated have not been piloted nor applied and a number of them were still pending conclusion during the final evaluation process. However, it is considered that the *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs)* Project has effectively generated a series of products, with the potential to drive future results / effects / impacts if there is ownership and sustainability of them. It has generated a positive institutional development (which is precisely what is proposed for the Project).

The Project faced some challenges that were largely solved with mitigation strategies and adaptive management, improving effectiveness. Among them, several strategies for mitigating the risks associated with implementation can be highlighted, such as: strengthening the PIU in the last management periods, strategies to change the contracting modalities in order to speed up the adjudication processes, and the strengthening of the CTA with the goal of being a proactive organization that generates ownership.

The lack of an implementation outlook for the outputs (by the Project and by the partners as appropriate) that were generated (which is one of the identified design gaps) to a certain extent affected effectiveness. It is understood that the project was not designed to implement outputs, but rather to generate instruments, capacities, etc., that once adopted (after the intervention has been completed) could generate effective changes in sustainable use and conservation related to MPAs in Guatemala. Therefore, it is considered that the Project was satisfactorily effective internally. That is, it was effective in fulfilling most of the tasks that were indicated in the project design. However, it is discerned that some expectations of the relevant actors were not met. This is related to the generalized repair by a large number of actors that the Project was broadly based on products, but not on looking for effects and that to a certain extent it should have been designed with this goal also, at least for some of the processes.

Although the acceleration of delivery in the last year was worthy in order to reach the Project's expected products and processes, a large number of these products and processes are reached at the very end of the implementation period. As indicated, many of these products were still in production at the time of the final evaluation. This temporality has to a certain extent affected the practical effectiveness of the Project's achievements since, upon reaching the end of the intervention management process, the products have not been adequately assimilated by the actors throughout project duration, and therefore the overall effectiveness cannot be determined since these products and processes were not implemented.

The agglutination of a number of processes and the generation of products in practically the last year of management implied a great demand from the actors, in particular from stakeholders in the field, in the last months of the Project with overlapping activities, a great amount of activities carried out practically at the same time (meetings, workshops, processes, etc.), removing in a certain way the effectiveness that could be expected if the planning and temporality of execution had been different.

The Project did not have a level of proactive communication at a general level.[43] Although the dissemination of information among peer stakeholders (for example, between the group of consultants and NGOs that carried out several of the studies and generated project documents, was active) the general effectiveness associated with the widespread dissemination of information and knowledge management products (inside and outside the Project) was not generated completely. Although there was dissemination of internal activities among and between the institutions considered partners by the Project (see footnote cited above), there have been several complaints about access to information in general and in particular access to content information.[44]

As it also emerges in the analysis of efficiency, effectiveness was similarly affected by externalities that had an impact upon the Project. For example, the high turnover of personnel (technical and political) in most of the institutions associated with the Project and the lack of institutional historical memory that this entails in Guatemala have resulted in a negative impact on efficiency and Project effectiveness.

EFFICIENCY (*)

The project was implemented efficiently in accordance with international and national standards and norms in some implementation periods and not in others, in some instances and not in others. For example, the aforementioned start-up delay (partly due to the lack of a suitable structure for the PIU to implement the Project in the first year of execution) had high percussions upon efficiency. It should be noted that until mid-2017 delivery in three years of implementation was only 40% of the project budget (Source: PIR 2017). However, the degree of delivery one year later (Source: PIR 2018) was 86%. First, this accounts for the slow implementation process that occurred in most of the execution process. However, this also accounts for the agility with which it was executed in the last year, demonstrating the above indicated efficiency shown in some implementation periods and not in others.

The execution agility in the last year has been meritorious. In spite of this, although a substantial number of programmed products were obtained, the speed with which they were developed (that is, practically in the last stage of execution) has resulted in a reduction in efficiency. Although the delivery speed at the end of the Project is praiseworthy and demonstrates adaptive management in relation to compliance with the execution times, and in terms of moving forward with the implementation quickly when verifying that the execution was stagnating, this has caused certain contrarieties regarding implementation. Several key partners of the Project indicate that the haste to generate products (which are concluding to a large extent in the last months of implementation) has resulted in some reduction of effectiveness and efficiency. Therefore, several key stakeholders value that in this last management phase the expenditure quality was not the best. In particular, these valorizations are made by key actors (governmental and non-governmental) and regarding results and especially concerning the concrete impacts that could have been derived from an intervention such as this one, but with another delivery timeframe. The fact that a large number of products were generated in the last months of implementation results in a lack of time and opportunity to pilot and / or implement, by the actors who could or should do it, the generated outputs. Several of the key actors see that, with this situation, in turn, there is little possibility of generating concrete results or

[43] From the Project it is indicated that partners at the CTA and CALs levels always had the QPRs, PIRs and APRs distributed electronically and that every effort was made to inform and disseminate about the products and reports generated. Communication and dissemination were also always an agenda of the CTAs and CALs, the partners were kept informed of the initiatives and that following a recommendation of the mid-term review the QPRs were translated into a newsletter format that was distributed in electronic format to the main actors at municipal and community levels.

However, this does take away from the fact that several of the relevant actors, and as indicated also in the mid-term review, did not receive full information about the Project or what was generated by the Project in a systematic and strategic manner.

[44] This issue also arises from the beginning of the Project, as indicated in the mid-term review.

adequate mechanisms to give continuity to the products generated by the project within the implementation period, as will be seen in the sustainability section. [45]

The reports that are assumed in the context of a project of this type can help efficiency since they are a key management tool. The reporting requirements were met in adequate terms with regard to punctuality and other factors. Despite this being a direct implementation project by UNDP, the reporting systems of the Government of Guatemala were also to be complied with. [46] The logical framework and work plans were used as management tools.

Regarding the last POA (generated at the end of 2017) some problems that concerned efficiency and other criteria were identified. When the last POA was generated and ratified by the Project's management bodies, the production of a number of outputs was approved and committed. However, when beginning to plan the execution of this series of products, the PIU found that it lacked the necessary funds to generate all the planned products. As a result, cuts were generated for those products for which funding was not available. This not only altered efficiency but also affected the expectations that several of the actors had in terms of the products to be generated. Finally, the long and complex contracting, reporting and administrative systems generated a detriment to expected efficiency.

Given what is mentioned above, it is considered that the efficiency of the Project has been *Moderately Satisfactory (MS).* It is ranked in this way since some moderate deficiencies have been identified taking into account the whole project implementation period of project execution (scope of this evaluation).

COUNTRY OWNERSHIP.

The level of national involvement regarding the Project was high. This was manifested not only by the adaptation of the country's development priorities, particularly given the development priorities of the Guatemalan Pacific region, but also by the high level of involvement of various government institutions and civil society in the region within the Project's framework (through the joint execution of some outputs with the Project, active participation in the CTA and in the two local committees, studies generated within the framework of the Project and approved by the relevant national government institutions, involvement of municipalities in local activities).

MAINSTREAMING.

Projects supported by UNDP and funded by GEF are key elements in UNDP country programming. As such, the objectives and results of a project should be aligned with UNDP country program strategies, as well as with the global environmental benefits required by GEF. As stated in the section of this report that deals with design, the project is aligned with the UNDAF and with the CPAP.

In the case of the *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs) Project* it is clear that it is aligned with benefits to global environment theme through the promotion of biodiversity conservation (in turn, complying with the central themes of action of the CBD and the Aichi Targets). In addition, the Project clearly aligns with other UNDP priorities such as improvement of governance.

[45] This is a circumstance that comes from design since the Project was conceived for the generation of products, not for the implementation of them. This aspect of the Project, and the fact that a large number of products were generated in the last months of implementation, results in a lack of time and opportunity to pilot and / or implement the inputs generated by the actors that can do so or who want to take ownership of these outputs.

[46] In addition to complying with the aforementioned, this is to comply with the reports according to UNDP rules -which were shared with the relevant government partners- the PIU supported MARN in the drafting and information needed to report in the government's reporting system and generated the SIGEACI report that Segeplán requests through MARN (which is the official government reporting system).

Yet effective integration with other UNDP priorities such as poverty reduction and women's empowerment are less evident. Although the project goal is to contribute to the human development of the Guatemalan population, in practice no specific products or activities were developed to reach this goal. For example, livelihoods issues were not worked upon specifically. The Project did not consider either the empowerment nor the promotion of women's equality as a core issue.

SUSTAINABILITY (*).

Within evaluations of projects financed by GEF and supported by UNDP, sustainability is stipulated as the probability that the effects and results achieved will remain in time when the project ends. Therefore, what is being evaluated is the *possibility* that results would be sustainable over time or not. The assessment of sustainability considers the risks that may influence the continuation of the project's results in four areas: financial risks, socio-economic risks, institutional framework and governance risks, environmental risks. These factors and how they would affect the probability of sustainability of the *Conservation and sustainable use of biodiversity in coastal and marine protected areas (MPAs) Project* are analyzed below and ranked in each subsection.

FINANCIAL RISKS

The Project's products and processes face financial risks that may compromise the sustainability of the results. In the first place, this occurs because government financing of the activities, processes, and products generated within the framework of the Project do not have assured funding. As stated in various documents from inception and conceptualization of the Project onward, the financing (or lack of financing) of protected areas by the State in Guatemala is a significant and complex issue. The effective management of the MPAs faces the lack of adequate financial mechanisms. MPAs financing depends mostly on national government resources (financing that, besides being limited, is subject to periodic cuts). Likewise, financing for or from municipalities to implement works and programs that improve environmental conditions in the buffer zones bordering marine and coastal protected areas is also weak. Although the Project generated some products with the potential to increase and / or diversify financing (such as business plans, as well as including budget clauses assigned in the proposals to declare expansion and declare new coastal and marine protected areas), the likelihood of these methods becoming operative in the near future is seen as unfeasible by a variety of actors (governmental, civil society, and academic). However, in the area of intervention (and to some extent associated with the visibility of coastal and marine issues in the Pacific Coast that the Project generated) there are various possibilities for financial sustainability of some of the products and results through financing by other international cooperation donors. Several bilateral donors are developing projects that, in theory, could finance the implementation of some of the products and processes already generated. Likewise, the base products that are being generated for and with the municipalities in the areas surrounding the coastal and marine areas targeted by this project, may turn out to be the foundations for investments from multilateral financing banks (such as sewage investment plans, waste management, etc.). Therefore, the probability of financial sustainability is mixed. It is considered a *Moderately Likely (M*L) rating. That is, there are moderate risks -as a whole- but with expectations that at least some results would be sustained.

SOCIO ECONOMIC RISKS

Project results face certain social and political risks that may threaten their sustainability. Although the appropriation of interested parties (national, non-governmental organizations, and some local governments in the Project area) was high in most cases (but not in all of them given that some municipalities did not agree to join the Project), and most of the long-term objectives are accepted, the framework related to social and political risks in particular can constrain future sustainability. As mentioned before, key governmental institutions for the integrated management of marine and coastal protected areas are very changing in the country (processes that have affected the Project). Likewise, these institutions are also weak structurally and - as indicated in the previous paragraph - financially. Also, imminent elections next year in Guatemala are a risk factor because new rotations are expected from State political and technical sectors and because the political sphere is expected to devote itself to the elections, leaving aside the debate and generation of policies necessary for the adoption of instruments for the

declaration, expansion as well as the generation of instruments for management of Pacific coastal and protected areas. With this, it is feared that the impetus or momentum that may have been generated will be lost given next year's political moment in the country. Therefore, the probability of socio - economic sustainability is mixed, taking into account the positiveness of appropriation, but at the same time taking into account the political moment. A *Moderately Likely (M*L) rating is considered. That is, there are moderate risks -as a whole- but with expectations that at least some results could be sustained.

GOVERNABILITY RISKS AND INSTITUTIONAL FRAMEWORK

The institutional framework and governability risks (including the policies and structures and governance processes within which the project functioned) pose risks that may compromise the sustainability of some of the benefits achieved by the Project. As mentioned, there are serious doubts about the generation of short-term governance instruments that expand, generate, or help manage coastal and marine protected areas in an integrated manner. Especially considering that, in other instances, the generation of these instruments and public policies took more than a decade, which evidently escapes the temporality of a project of this type. On the positive side, the Project did generate and promote the assimilation of technical knowledge and required capacities (individual as well as institutional to some extent) to promote the sustainability of some achievements. During the period of this final evaluation, the CTA continued to dialogue internally in order to extend its actions in the future as an inter-institutional governance body on coastal and marine issues in Guatemala. If this initiative prospers in an institutionalized manner (together with key alliances with sectors of civil society, academics, etc.) then the possibilities of sustainability within an institutional framework are broadened. In addition, several interlocutors indicate that, despite the fact that declarations of and expansion of MPAs are difficult to achieve in the near future, there are also possibilities that some components of them (such as fisheries management zones) may be adopted in other ways. Therefore, the probability of sustainability around institutional issues is mixed, taking into account the positive aspects of capacity building, but at the same time taking into account the risks of not creating in the immediate future or in the medium term the system of governance necessary for the expansion / creation of coastal and marine protected areas in the Pacific zone or the adoption of key management tools. A *Moderately Likely (M*L) rating is considered. That is, there are moderate risks -as a whole- but with expectations that at least some results are sustained.

ENVIRONMENTAL RISKS.

The environmental risks that may be a threat to the sustainability of this project's results of this project were identified from the inception and conceptualization of the Project onward. The environmental threats are still valid. Issues such as those arising from urban growth, the agricultural sector related to intensive crops, the industrial sector and even unplanned tourism (e.g. erosion, sedimentation / pollution), and marine transport that is not controlled or regulated properly (e.g. ballast water), as well as over-exploitation of marine and coastal resources, were and are specific environmental risks. Likewise, the environmental risks associated with climate change and its impact on coastal areas in general is a very current issue. Therefore, the risks are similar to those cataloged during the inception of the Project and to a large extent the reason for the intervention. It is therefore considered that environmental risks have not changed and sustainability expectations related to the environment is *Moderately Likely (ML)*.

PROBABILITY OF GENERAL SUSTAINABILITY

The general probability rating that the results are sustainable over time or not is *Moderately Likely (ML)* as there are financial, socio-economic, institutional and governance, and environmental risks, but there are also indications that some components of sustainability may take place. Project partners and beneficiaries indicate that, within their capacities and opportunities, they will give continuity to some of the activities beyond the completion of the Project within their possibilities. Likewise, in several of the institutions and organizations that collaborated with the Project in one way or another there is a degree of appropriation and commitment to continue working on Project.

IMPACT.

The key findings that should be highlighted in evaluations in terms of impact include whether a project demonstrated: verifiable improvements in the ecological status; verifiable reductions in tension in ecological systems; and / or that there is progress aimed at achieving the reduction of tension or ecological improvement through specific process indicators. This differs from effect analysis and must identify causal links with the results and yields of the project, as well as evaluate the extent to which changes occurred in scales that coincide with the limits of the natural system. This requires the availability of verifiable data on the improvement of the ecological status or the existence of process indicators that suggest that such impacts must occur in the near future as a result of the Project's achievements.

In the case of the Project, there are several issues that make it difficult and even impossible to fully analyze impact. In the first place, since the Project was conceptualized as a project to generate instruments, products, etc., not as a project that would seek the implementation of the outputs generated. Therefore, analyzing the impact in terms of verifiable improvements in the holistic ecological status *attributable* to the Project when it is about to close is not feasible. The main effort of the Project was the generation of outputs and processes that can be bases for the verifiable improvement in the ecological status of the marine-coastal systems of the Pacific in Guatemala. Therefore, it is considered that the project has set in motion some of the conditions (constitutive elements or processes) that could eventually lead to a positive environmental impact (defined as lasting improvements in the environmental status) but that the impact cannot be assessed because (a) the Project did not seek to apply products in a strict sense[47] and (b) the necessary temporality of possible environmental impacts does not match the temporality of the Project.

[47] It is reported by the Project that the only instrument/product that has been truly applied --as a pilot-- is the Plan for the Reduction of Vulnerability and Impacts of Climate Change on Biodiversity and Ecosystem Services of the Pacific Coast of Guatemala.

4. CONCLUSIONS, RECOMMENDATIONS & LESSONS

LESSONS LEARNED

Lessons learned from an evaluation include new knowledge which has been obtained that would be applicable and useful in other similar contexts, highlighting the strengths or weaknesses of the preparation, design and execution of a project. In the context of this evaluation, the following can be identified as lessons learned:

- The Project at the local level working with direct beneficiaries generates expectations, and the communities, when they do not visualize concrete results, can generate frictions or disappointments and can promote implementation problems. The specific lesson learned would be not to generate excessive expectations, ensuring the support of beneficiaries throughout the life of the project by forming realistic perspectives and generating and / or promoting concrete changes in the actors' livelihoods and quality of life.
- Beginning with the design of a project, clear robust administrative and management elements must be included. Designing a project, as was the case with this intervention, with shared management units and personnel without dedication commensurate to the tasks denoted by a large project implies problems at different levels.

BEST AND WORST PRACTICES

This section refers to what has worked particularly well and can be considered as "best practice", or what should not have been done due to a limited or negative contribution on what was planned as an effect (worst practices). The best practices identified are as follows:

- *Technical Advisory Committee:* The evolution of a constrained and reduced committee to an inclusive committee with the majority of institutional actors involved in coastal and marine issues was a good practice since this inclusion resulted in ownership and the promotion of inter-institutionality. Likewise, inclusive replicas at the local level (in the two subregions: Southwest and Southeast) of this type of committee reinforced inter-institutionality and appropriation of actions at that level.
- *PIU Management / Strengthening Modality*: The management modality, the incorporation of personnel with appropriate technical knowledge, as well as the strengthening of the PIU in the last stages of execution are identified as a good practice. The specific factors of this good practice were:
    - Proactive, adaptive and open management style.
    - Positive link with various types of Project's institutional partners as well as with various institutions that generated products and processes.
    - Incorporation of personnel with technical knowledge, not only administrative.
    - Incorporation of active personnel in the field, not only at the central level.
    - Incorporation of personnel with monitoring functions.

The worst practices identified are the following:

- The lack of an approach for implementing products and management tools (that is posed from the design of this project onward) to some extent was one of the deficiencies identified. Although it is understood that the Project was a pilot, the lack of implementation of products by the Project when relevant and by the partners when pertinent (even at the exploratory or test level) of a robust number of generated products was one of the deficiencies identified and one of the frustrations of a number of key actors in Guatemala.
- The Project did not fully and integrally incorporate[48] issues related to livelihoods, gender, development of local actors in relation to protected marine and coastal areas, and did not fully or completely incorporate

[48] As seen in the design section of this report, these issues were not incorporated from the conceptualization of the Project onward.

issues related to the economy of marine protected areas (such as, the economic value that MPAs represent as a development axis and for their contribution to environmental services). In this same line, the Project was weak in fully incorporating aspects related to the sustainable and integral financing of protected areas (current and future) in marine and coastal zones.

- The project did not contain a concrete and formal exit strategy in order to underpin and sustain continuity and sustainability to the intervention in the medium term.[49]

CONCLUSIONS

The *Conservation and Sustainable Use of Biodiversity in Coastal and Marine Protected Areas* Project in Guatemala is about to conclude with a series of achievements after having faced various challenges throughout its execution. The project was conceptualized as a process that would enhance the country's public policies. It concludes with a number of products and processes achieved with the potential to underpin policies and instruments required for the sustainable management of biodiversity related to marine and coastal protected areas in the Guatemalan Pacific shore.

The project faced a number of challenges. Some related to a somewhat ambitious design in some respects (such as regarding target indicators of expected effects or relating to what was expected to be obtained in general within the intervention period in terms of marine and coastal protected areas to declare or expand) and in other aspects with a design that was not appropriate insofar as the administrative and management structure defined for a project of the magnitude of this intervention. Also, some of the conceptual gaps that were brought about from design onward were the lack of a strong emphasis on issues relating to protected areas financing (with the economic value that these have) and with livelihoods associated to MPAs in particular and to the coastal and marine zones (including municipalities) specifically. However, despite these issues, the project was pertinent and relevant in terms of needs for managing marine and coastal areas in the Guatemalan context.

The project was successful in several achievements, some planned, yet others non - planned. These achievements fall under a general appreciation that the project focused in work on and in giving visibility to coastal and marine problems in a neglected area of Guatemala as is the Pacific coast. The project achievements were forged through the generation of awareness regarding marine coastal issues in Guatemala in the Pacific zone; strengthening and carrying out capacity building at the individual and at the institutional levels; the promotion of an inter institutional framework and linkages between key actors; the generation of knowledge; innovation; and through the generation of products for the management of marine and coastal areas and their surrounding zones.

Therefore, the project concludes with an unquestionable number of instruments and strengthening of the subject in the country. The greatest challenge at the end of implementation is the sustainability of the achievements and the products obtained. The likelihood of sustainability is mixed, due to the same shortcomings and weaknesses identified from the outset: weak institutions concerned with natural resources themes of in the country, weak financing of the structures that deal with the management of natural resources, weak management structures and financing of protected areas in general and, within these, of coastal and marine protected areas in particular, and lack of generalized conception that protected areas and that marine and coastal sectors are actual and potential factors of development for the country. There are a number of initiatives of institutionalization for some of the achievements and there are also a number of institutions of civil society that can sustain the implementation and

[49] The Project indicates that the sustainability expected from the project is that government partners take ownership of the initiatives and follow up on them from their own institutional framework. However, this does not detract from the finding that there was no strategic, strong, explicit, formal and clear exit strategy generated to underpin the sustainability that should occur (nor from design and neither from practice) as to generate conditions for institutionalization, formalization of proposals, or financial sustainability. The issue of sustainability is left to the fact that, according to the Project, the expected implementation on the part of the partners occurs once the Project is concluded, since it is indicated that the mandate of the partners is to ensure compliance with national policies and international agreements.

continuity of some of the project's achievements. Consequently, the challenge for all stakeholders at the Project's completion stage and at its mediate future is to obtain or promote sustainability processes.

RECOMMENDATIONS

Recommendations of a final evaluation such as this one should adhere to recommendations for future programming since, obviously, the implementation process should be completed. However, in this case, and given that the project has a few more months of implementation and closing, recommendations for this intervention are also generated in order to be considered in the coming months. Recommendations for actions for this project are geared towards the PIU. Recommendations for future programming are for GEF and UNDP.

RECOMMENDATIONS FOR ACTIONS TO FOLLOW UP OR REINFORCE RELATED TO FUTURE DIRECTIONS OF THE PROJECT

1 Generate and disseminate project's products, documents and final reports as soon as possible.
2 Generate distribution and dissemination mechanisms that are agile and decentralized in order to facilitate access to the outputs by the most relevant actors in the country and in the subregion, promoting that -- once the intervention has completed-- these materials are available with free access.
3 Strongly support the inclusive and well-defined institutionalization of the CTA in order to promote the continuity of processes and products achieved inter institutionally, strategically and even operationally.
4 Build alliances between the various institutional project stakeholders and key actors of civil society, academia, other projects and other donors in order to catalyze the results, as well as promote the appropriation, continuity and sustainability of the intervention achievements in the near future.

RECOMMENDATIONS FOR CORRECTIVE ACTIONS FOR THE DESIGN, IMPLEMENTATION, MONITORING AND EVALUATION OF THE FUTURE PROGRAMMING BY GEF / UNDP OR MEASURES THAT CAN REPLICATE ACHIEVEMENTS OF THIS PROJECT

5 The design of a project must be inclusive, incorporating key issues for an intervention that focuses on or should focus on sustainable development. From the design onward, a project of this type and in this subject should incorporate issues and lines of action related to livelihoods, to gender equality, with aspects related to the economic valuation of the MPAs and the environmental services they generate, and an emphasis on the financing of their management and administration.

6 The design of a project should also go beyond promoting the generation of products and focus proactively on results-based management, on effects and even (as far as possible due to the temporality of this type of intervention) on impact. Starting at design, projects should have a clear strategic roadmap that determines the pattern to follow: obtaining products, piloting them, adjustments. This should be designed with logical connections between the expected outputs and expected effects. In addition, all projects, starting early, should contain an exit strategy that promotes the adoption and sustainability of products and expected effects.

7 From design, a project must contain clear robust administrative and management elements. Administrative composition related to the management of a project should be comparative to the activities to execute, including the incorporation of personnel with time dedication commensurate with the magnitude of a project. Proposed management units should incorporate, in addition, personnel with inclusive management modalities, appropriate technical abilities, and with insertion at the local level when a project has field components.

8 Project planning (POAs) must be in strict accordance with the financial elements of the intervention. POAs should be developed, approved and implemented in correspondence with the funds available for such implementation.

9 In situations in countries with severe externalities (which are already known to affect management, implementation, and sustainability of expected results in different ways) mechanisms should be designed and generated to cope with these circumstances. For example, in order to minimize the negative impact of this type of externalities, such as the high turnover of technical and political staff in administrative areas relating to a project and the lack of institutional memory, these should be mitigated through some mechanisms. For instance, to confront these circumstances, projects should have mechanisms to generate the transfer of information (such as induction processes or knowledge management materials) for new staff members which are linked to a project. In addition, projects should generate alliances with other actors who have greater continuity (such as the academic sectors, civil society organizations, the private sector) in order to mitigate the negative impact that this type of externalities may have on a project's implementation.

10 Information should be provided to a project about the possibilities of what can be performed feasibly through adaptive management. Project management should possess information about what can be changed (for example, possibility of alterations of target indicators, changes in products and work plans) and how these changes should be brought about for better management and for the achievement of results. Information to be provided to a project on these possibilities is key especially once the period of a mid-term review takes place, since this is the basic time to carry out the necessary adjustments, and taking into account the changes that have taken place in relation to a project since its inception until it begins to be implemented.

ANNEXES:

ANNEX 1: RATINGS SCALE

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	***Sustainability ratings:***	***Relevance ratings***
6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major problems 1. Highly Unsatisfactory (HU): severe problems	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1.. Not relevant (NR) ***Impact Ratings:*** 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
Additional ratings where relevant: Not Applicable (N/A) Unable to Assess (U/A)		

ANNEX 2: TERMS OF REFERENCE

CONSULTORÍA

Evaluación Final del Proyecto Marino-Costero

TÍTULO DEL PROYECTO

"Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras".

INTRODUCCIÓN

De acuerdo con las políticas y procedimientos del Programa de las Naciones Unidas para el Desarrollo -PNUD- y el Monitoreo y Evaluación del Fondo para el Medio Ambiente Mundial -FMAM[50]-, todos los proyectos de tamaño completo y mediano con el soporte del PNUD y financiados por el FMAM deben someterse a una evaluación terminal una vez finalizada la ejecución[51]. Estos TdR establecen las expectativas para una Evaluación Terminal -ET- del Proyecto Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras (PIMS: 4639), ejecutado por el PNUD e implementado con el Ministerio de Ambiente y Recursos Naturales -MARN- y el Consejo Nacional de Áreas Protegidas -CONAP-, con el apoyo financiero del FMAM.

TABLA RESUMEN DEL PROYECTO

La información esencial del Proyecto a ser evaluado se presenta en la siguiente tabla:

Cuadro 01: Tabla Resumen del Proyecto.

TÍTULO DEL PROYECTO:	**Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras**			
No. de Identificación del Proyecto del FMAM:	4716		Al momento de la aprobación (Millones de US$)	Al momento de finalización (Millones de US$)
No. De Identificación del Proyecto del PNUD:	4639	Financiamiento del FMAM:	5,354,545.00	Ejecutado hasta el 30 de abril de 2018: **USD 4,164,258.63** Pendiente de ejecutar: **USD 1,190,286.37**
País:	Guatemala	IA[52]/EA[53] poseen:	PNUD: 2,775,693.00	Pendiente de determinar al cierre de Proyecto
Región:	Centroamérica	Gobierno:	**EN EFECTIVO:** CONAP: 2,036,901.47 DIPESCA/MAGA: 512,966.92 INFOM: 3,000,000.00 **EN ESPECIE:** CONAP: 293,158.71 DIPESCA/MAGA: 71,814.90 INFOM: 7,500,000.00	Pendiente de determinar al cierre de Proyecto
Área Focal:	Biodiversidad	Otros:		Pendiente de determinar al cierre de Proyecto
Programa Operativo:	GEF-5	Total de cofinanciamiento:	16,190,535.00	Pendiente de determinar al cierre de Proyecto
Agencia Ejecutora:	PNUD	Costo Total del Proyecto:	21,545,080.00	Pendiente de determinar al cierre de Proyecto
		Firma del PRODOC (fecha de inicio del proyecto):		febrero 2014

[50] GEF, por sus siglas en inglés.

[51] Tomar en cuenta que el proceso de evaluación se realizará previo al cierre del Proyecto.

[52] Agencia Implementadora.

[53] Organismo Nacional de Ejecución.

TÍTULO DEL PROYECTO:	Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras			
Otros socios involucrados:		Fecha de Cierre (Operativo):	Propuesta: 31/12/2018	Real: febrero 2019 Pendiente de Cierre: Fecha Prevista: 31/12/2018

OBJETIVOS Y ALCANCES

DESCRIPCIÓN DEL PROYECTO A EVALUAR

Guatemala está implementando una donación del Fondo para el Medio Ambiente Mundial -FMAM[54]- para la ejecución del Proyecto "Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras -APMs-". Este proyecto es ejecutado bajo modalidad directa por el Programa de las Naciones Unidas para el Desarrollo -PNUD- con el Ministerio de Ambiente y Recursos Naturales -MARN- como punto focal del GEF.

Para su ejecución el Proyecto coordina con el MARN y el Consejo Nacional de Áreas Protegidas -CONAP- como socio de gobierno, y con otros socios estratégicos: a) cofinancistas: FMAM; CONAP; Dirección de la Normatividad de Pesca y Acuicultura/Ministerio de Agricultura, Ganadería y Alimentación DIPESCA/MAGA; Instituto de Fomento Municipal -INFOM-; PNUD; y b) Actores clave: Instituto Nacional de Bosques -INAB-; Oficina de Control de Áreas de Reserva Territoriales del Estado -OCRET-; Secretaría de Planificación y Programación de la Presidencia -Segeplán-; Dirección General de Asuntos Marítimos del Ministerio de la Defensa Nacional -DIGEMAR-MINDEF-, municipalidades; comunidades locales; Organizaciones No Gubernamentales -ONGs-; universidades; sector privado.

Durante los 5 años de implementación del Proyecto, se promoverá la conservación y el uso sostenible de la biodiversidad -BD- marino-costera de importancia global a través de la gestión eficaz y equitativa de áreas protegidas marino-costeras, lo que contribuirá a mejorar el bienestar económico de la población guatemalteca, mediante la creación o ampliación de cinco (5) áreas protegidas marino-costeras existentes en la región del Pacífico, la mejora en la eficacia de la gestión del APMs y el aumento del financiamiento de las APMs. El Proyecto contribuirá a la protección y uso sostenible de la BD marino-costera a nivel local, regional y global, y con ello Guatemala hará un progreso significativo en la protección de su BD marino-costera en la costa del Pacífico.

Específicamente, el Proyecto permitirá un aumento en la protección de las zonas costeras de 6,043.00 hectáreas -ha- a 56,046.82 ha, y la ampliación de la protección de las áreas marinas de 999.44 ha a 108,250.58 ha, incluyendo las zonas de manglares de 4,004.67 ha a 12,803.10 ha. Al final del Proyecto el total de los ecosistemas marino-costeros bajo protección aumentará de 7,042.44 ha a 164,297.40 ha. El Proyecto también permitirá hacer frente a las amenazas de los sectores clave (pesca, puertos, transporte marítimo y desarrollo urbano) con el fin de fortalecer la gestión de las APMs y la conservación y utilización sostenible de BD marino-costera en la región del Pacífico de Guatemala.

El Proyecto dio inicio en el mes de febrero del 2014 y se tiene programado finalizarlo en el mes de diciembre de 2018, habiendo cumplido el tiempo planificado para ello y habiendo logrado avances significativos con respecto a las especificaciones del Documento del Proyecto -ProDoc-.

Los resultados y productos que contempla el Proyecto se describen brevemente a continuación:

COMPONENTE 1: Fortalecimiento del marco legal, político y financiero de las APM para la protección de la biodiversidad marino costera y su uso sostenible.

Resultado 1.1. Dos (2) nuevas APMs (Las Lisas-Paraíso-La Barrona y Hawaii-Santa Rosa) y la ampliación de tres (3) APMs existentes (Reserva Natural Privada La Chorrera-Sitio Ramsar Manchón Guamuchal, Parque Nacional Sipacate-Naranjo y Reserva de Usos Múltiples Monterrico), las cuales representan un área total de 157,254.96

[54] GEF, por sus siglas en inglés.

hectáreas (ha) y protegen biodiversidad marina de importancia global, se incorporan dentro del Sistema Guatemalteco de Áreas Protegidas (SIGAP).

Producto 1.1.1: Dos (2) nuevas APMs de usos múltiples (Categoría VI UICN) son creadas.
Producto 1.1.2: Acuerdo del Congreso legaliza la ampliación de tres (3) APMs existentes.

Resultado 1.2. Un marco legal/político habilitador, facilita la conservación y uso sostenible de la biodiversidad en APMs y sus zonas de amortiguamiento.

Producto 1.2.1: Reformas a las Regulaciones del ecosistema manglar del INAB y el CONAP promueven la conservación y uso sostenible de los manglares.
Producto 1.2.2: Se desarrolla un Programa de Gestión Marino-Costera -PGIMC- el cual permite: a) la implementación de la Política para el Manejo Integrado de las Zonas Marino Costeras de Guatemala -PMCG- y planes de desarrollo que mejoren la protección y uso sostenible de la biodiversidad marino costera; b) gestión efectiva de las APMs; y c) el desarrollo de líneas de política para la legislación vigente de Pesca (MAGA), Áreas de Reserva del Estado (OCRET) para reducir las amenazas a la biodiversidad marino-costera y facilitar la organización de instituciones gubernamentales y sectores no-gubernamentales en el apoyo a los esfuerzos de conservación.
Producto 1.2.3: La implementación de la línea Estratégica 8.3 de la PMCG en 10 municipalidades costeras mejora la coordinación inter-institucional, define objetivos comunes, roles y corresponsabilidades, mecanismos participativos y financieros para la gestión marino costera.

Resultado 1.3. El financiamiento de fuentes gubernamentales y no-gubernamentales para las APMs aumenta un 50% según el Puntaje del Promedio Total de la Ficha de Sostenibilidad Financiera de áreas protegidas del FMAM/PNUD.

Producto 1.3.1: Se establecen tarifas (OCRET) para los contratos de arrendamientos costeros que permitan la sostenibilidad financiera de las APMs.
Producto 1.3.2: Se desarrollan y/o actualizan los planes de negocios para las dos (2) nuevas APMs y las tres (3) APMs existentes que serán ampliadas
Producto 1.3.3: Planes de inversión municipal apoyan la gestión de APMs a través de recursos presupuestarios no utilizados por las municipalidades.

COMPONENTE 2: Fortalecimiento institucional y de las capacidades individuales para la gestión efectiva de las APMs y la conservación y uso sostenible de la biodiversidad marino costera.

Resultado 2.1: La efectividad de la gestión de 3 APMs existentes en Guatemala, aumenta en un 10% según la ficha de puntaje sobre la Efectividad del Manejo -METT-.

Producto 2.1.1: Se establecen unidades de gestión de recursos marino costeros dentro del MARN y CONAP para fortalecer la planificación y gestión de las APMs.
Producto 2.1.2: Se desarrollan Planes Maestros para dos (2) nuevas APMs y para tres (3) APMs existentes que serán ampliadas, dichos planes estarán alineados con los planes de desarrollo municipales de uso de la tierra y recursos marino costeros.
Producto 2.1.3: Se desarrollan estrategias participativas para el uso y gestión en tres (3) Zonas Marino Costeras en el Pacífico, y que incluyan los usos permitidos y restricciones para la biodiversidad marino costera y las APMs en diez (10) municipalidades y los mecanismos para resolución de conflictos y rendición de cuentas.

Resultado 2.2: Despliegue efectivo de recursos humanos y fondos atienden las amenazas (pérdida de hábitat, sobreexplotación de recursos marino costeros, y contaminación) en las APMs existentes (137,855.76 ha) y nuevas (26,441.64 ha).

Producto 2.2.1: Fortalecimiento de las capacidades nacionales y de gobiernos locales (CONAP, MARN, INAB, Base Naval y municipalidades), sector privado (pesquerías, portuarias, transporte marino), y sociedad civil (coadministradores no gubernamentales de APMs y comunidades locales) para la gestión de APMs y la conservación y uso sostenible de la biodiversidad marino costera.
Producto 2.2.2: Extensión técnica para pesquerías artesanales de pequeña escala en la implementación de prácticas amigables con la biodiversidad.

Resultado 2.3: Sistemas de monitoreo y manejo adaptativo para enfrentar las amenazas a las APMs y la biodiversidad marino costera.

Producto 2.3.1: Un sistema de gestión de información técnico–científica relacionado con los ecosistemas marino costeros y el manejo de las APMs contribuye al monitoreo y control de las amenazas a la biodiversidad marino costera.

COMPONENTE 3: Atender amenazas de sectores clave (pesca, puertos/transporte marítimo, y desarrollo urbano) con el propósito de fortalecer la gestión de las APMs y la conservación y uso sostenible de la biodiversidad en la región del Pacífico de Guatemala.

Resultado 3.1: Especies clave e indicadores ecosistémicos se mantienen estables en cuatro (4) APMs (Manchón-Guamuchal, Sipacate-Naranjo, Hawaii-Santa Rosa, y Las Lisas-Paraíso-La Barrona).

Producto 3.1.1: Tres (3) acuerdos de cooperación entre las autoridades de las APMs (CONAP y municipalidades) y los sectores de desarrollo urbano, pesca y puertos/transporte marítimo, incluyen comités de conservación/gestión que vigilen la conservación y uso sostenible de la biodiversidad en cuatro (4) APMs y sus zonas de amortiguamiento
Producto 3.1.2: Programa de gestión de agua de lastre y sistema de tarifas.
Producto 3.1.3: Programa para la prevención, reducción y control de contaminación de fuentes terrestres en las APMs y zonas de amortiguamiento definidas conjuntamente con las municipalidades, comunidades locales, y actores clave del sector privado (transporte marino, agroindustria, turismo y desarrollo urbano).
Producto 3.1.4: Estrategias para la reducción de la vulnerabilidad e impactos del cambio climático (CC) a la biodiversidad y servicios ecosistémicos en cinco (5) APMs y sus zonas de amortiguamiento.

Resultado 3.2: Capturas y tamaños estables de especies de pesca selectas en cuatro (4) APMs y sus zonas de amortiguamiento en la región del Pacífico al finalizar el Proyecto.

Producto 3.2.1: Prácticas de pesca amigables con la biodiversidad reducen impactos en dos (2) especies clave de importancia local (pesquería artesanal de pequeña escala) y tres (3) especies de importancia comercial en APMs de usos múltiples y sus zonas de amortiguamiento.

Resultado 3.3: El uso y la extracción sostenible de recursos contribuye a la conservación de 6,725 ha de manglares en las APMs y sus zonas de amortiguamiento.

Producto 3.3.1: Conservación participativa, rehabilitación y uso sostenible de los manglares en APMs y zonas de amortiguamiento de la costa del Pacífico favorecen la protección del manglar y el diseño de corredores de conservación ribereños.

OBJETIVO DEL PROYECTO A EVALUAR
Promover la conservación y el uso sostenible, en el largo plazo, de la biodiversidad marino-costera de importancia global a través del manejo efectivo y de manera equitativa de las Áreas Protegidas Marino Costeras -APMs-, que a su vez contribuirán a mejorar el bienestar económico de la población guatemalteca.

OBJETIVO DE LA EVALUACIÓN TERMINAL

Desarrollar de forma objetiva la Evaluación Final del Proyecto, identificando y analizando el logro de los resultados, los beneficios que el Proyecto proveyó a Guatemala, así como las lecciones aprendidas que contribuyan a la sostenibilidad de dichos beneficios, y ayudar en la mejora general de la programación del PNUD.

ALCANCE DE LA EVALUACIÓN TERMINAL

La Evaluación Terminal se desarrollará acorde a las guías, reglas y procedimientos establecidos por el PNUD y el FMAM, como se muestra en la Guía "*UNDP Evaluation Guidance for GEF Financed Projects*".

ENFOQUE Y MÉTODO DE EVALUACIÓN

Se ha desarrollado a lo largo del tiempo un enfoque general[55] y un método para llevar a cabo evaluaciones finales de proyectos respaldados por el PNUD financiados por el FMAM. Se espera que el/la evaluador/a enmarque el esfuerzo de evaluación usando los criterios de relevancia, efectividad, eficiencia, sostenibilidad e impacto[56], tal como se define y explica en la Guía "*Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects*"[57]. Se ha redactado un conjunto de **Preguntas de Evaluación** que cubren cada uno de estos criterios y se incluyen con este mandato (**Anexo A**). Se espera que el/la evaluador/a modifique, complete y envíe esta matriz como parte de un informe de arranque de la evaluación, y la incluirá como un anexo al informe final.

La evaluación debe proporcionar información basada en evidencia que sea creíble, confiable y útil; se espera que el/la evaluador/a siga un enfoque participativo y consultivo que asegure la participación estrecha con homólogos de gobierno, la Oficina de País del PNUD, la PIU, el Asesor Técnico Regional del FMAM/PNUD, e interesados clave.

El/La evaluador/a revisará todas las fuentes de información relevantes, como el documento del proyecto, informes de proyectos, incluyendo el *Quarterly Project Report* -QPR-, *Annual Project Report* -APR-, el *Project implementation Report* -PIR-, presupuesto del Proyecto, revisión intermedia, informes de progreso, herramientas de seguimiento del área focal del FMAM, archivos del Proyecto, documentos nacionales estratégicos y legales y cualquier otro material que el/la evaluador/a considere útil para proveer resultados basados en evidencia. Una **Lista de Documentos** que la Unidad de Gestión del Proyecto[58] -PIU- proporcionará al evaluador para su revisión se incluye en el **Anexo B** de estos TdR.

Se espera que el/la evaluador/a realice una misión de campo en Guatemala, incluidos los siguientes sitios del Proyecto:

- ✓ Departamento de San Marcos: municipios de Ocós y La Blanca.
- ✓ Departamento de Retalhuleu: municipios de Champerico y Retalhuleu.
- ✓ Departamento de Escuintla: municipios de Sipacate e Iztapa.
- ✓ Departamento de Santa Rosa: municipios de Guazacapán, Taxisco y Chiquimulilla.
- ✓ Departamento de Jutiapa: municipios de Moyuta y Pasaco.

[55] Para obtener más información sobre los métodos de evaluación, consulte el Manual de planificación, seguimiento y evaluación de los resultados de desarrollo, Capítulo 7, pág. 163. http://www.undp.org/content/dam/undp/documents/evaluation/handbook/spanish/documents/manual_completo.pdf

[56] Relevancia: La medida en la que los objetivos de una intervención de desarrollo son coherentes con los requisitos de los beneficiarios, las necesidades del país, las prioridades mundiales y las políticas de los socios y donadores. Efectividad: La medida en la que se lograron los objetivos de una intervención de desarrollo, o se espera que se logren, al tener en cuenta su importancia relativa. Eficiencia: Una medida sobre cómo se traducen económicamente los recursos/aportes (fondos, experiencia, tiempo, etc.) en resultados. Sostenibilidad: Evalúa la medida en la que los beneficios podrían continuar, dentro o fuera del ámbito del proyecto, desde un proyecto o programa particular después de que haya concluido la asistencia del FMAM o la asistencia externa. Los proyectos deben ser sostenibles tanto ambientalmente, como financiera y socialmente. Impacto: Cambios reales o anticipados, positivos o negativos en el beneficio del medio ambiente mundial, según se verificó a través de la tensión ambiental o el cambio de estado, y también a través de los impactos de desarrollo sostenibles, incluido el cambio en los ingresos.

[57] http://web.undp.org/evaluation/documents/guidance/GEF/GEFTE--Guide_SPA.pdf

[58] PIU = Coordinación, Técnicos, Asistente Administrativa y Secretaria.

Es altamente recomendable programar visitas de campo a las APMs que el Proyecto está apoyando:

1. Manchón-Guamuchal.
2. Sipacate-Naranjo.
3. Monterrico.
4. Hawaii.
5. Las Lisas.

Las entrevistas deben llevarse a cabo con las siguientes organizaciones e individuos:

- Oficial de Programa de Ambiente y Energía del PNUD.
- Analista de Monitoreo y Evaluación del PNUD.
- Coordinadora del Proyecto.
- Técnicos del Proyecto.
- Miembros del Comité Técnico Asesor -CTA- y de los Comités de Apoyo Local -CAL- del Proyecto.
- Socios clave del Proyecto:
    - Ministerio de Ambiente y Recursos Naturales -MARN-.
    - Consejo Nacional de Áreas Protegidas -CONAP-.
    - Dirección de Pesca y Acuicultura/Ministerio de Agricultura, Ganadería y Alimentación DIPESCA/MAGA.
    - Instituto de Fomento Municipal -INFOM-.
    - Instituto Nacional de Bosques -INAB-.
    - Oficina de Control de Reservas Territoriales del Estado -OCRET-.
    - Secretaría de Planificación y Programación de la Presidencia -Segeplán-.
    - Dirección General de Asuntos Marítimos del Ministerio de la Defensa Nacional -DIGEMAR-MINDEF-.

Otros Actores Claves que se consideran pertinentes:

- Administradores y/o entidades que trabajan en las áreas protegidas ubicadas en la zona del Proyecto: Centro de Estudios Conservacionistas de la Universidad de San Carlos de Guatemala -CECON- y Asociación para el Rescate y Conservación de Vida Silvestre -ARCAS-.
- Asociación de Pescadores de Champerico -ASOPECHAMP-.
- Ministerio de Educación -MINEDUC-.
- Ministerio de Salud y Asistencia Social -MSPAS-.
- Ministerio Público -MP-.
- Secretaría Nacional de Ciencia y Tecnología -SENACYT-.
- Instituciones Receptoras con quienes se firmaron Acuerdos de Subsidio de Microcapital: The Nature Conservancy -TNC-, Wildlife Conservation Society -WCS-, World Wildlife Fund -WWF-, International Union for Conservation of Nature -UICN-, entre otros.
- Consultores y Proveedores de Servicios actuales o anteriores que estén/hayan participado en el Proyecto: Defensores de la Naturaleza, Instituto Privado de Investigación sobre Cambio Climático -ICC-, Rainforest Alliance -RA-, ARCAS, entre otros.
- Universidades: Universidad de San Carlos a través del Centro de Estudios del Mar y Acuicultura -CEMA-USAC, Universidad Rafael Landívar a través del Instituto de Investigación y Proyección sobre Ambiente Natural y Sociedad de la Universidad Rafael Landívar -IARNA-URL-, y Universidad del Valle de Guatemala -UVG-.
- Estudiantes de: la Maestría en Ciencias Marinas y Costeras; el Diplomado en Ordenamiento Territorial en Zonas Marino Costeras; el Curso de Especialización en Observación Turística de Cetáceos y otra Fauna Marina; y del Diplomado en Gestión Integrada del Agua.

Se espera que el/la evaluador/a elabore y presente en su oferta técnica, una metodología detallada sobre cómo conducirá la evaluación. Esta propuesta metodológica debe incluir los instrumentos de evaluación a ser utilizados.

CRITERIOS Y CLASIFICACIONES DE EVALUACIÓN

Se llevará a cabo una evaluación del desempeño del Proyecto, basada en las expectativas establecidas en el **Marco Lógico / Marco de Resultados del Proyecto** (**Anexo C**), que proporciona indicadores de desempeño e impacto para la implementación del Proyecto junto con sus correspondientes medios de verificación. La evaluación cubrirá como mínimo los criterios de: relevancia, efectividad, eficiencia, monitoreo y evaluación e impacto.

Las calificaciones deben proporcionarse según los criterios de rendimiento presentadas en la siguiente tabla, la cual debe incluirse completa en el resumen ejecutivo de evaluación; las **Escalas de Calificación Obligatorias** se incluyen en el **Anexo D**.

Cuadro 02: Calificaciones de Evaluación.

1. Seguimiento y Evaluación:	**Calificación**	**Comentarios**
Diseño del Seguimiento y Evaluación al inicio del Proyecto		
Ejecución del plan de Seguimiento y Evaluación		
Calidad general de Seguimiento y Evaluación		
2. Ejecución de los IA y EA[59]:	**Calificación**	**Comentarios**
Calidad de la implementación del PNUD		
Calidad de ejecución: organismo de ejecución		
Calidad general de aplicación y ejecución		
3. Evaluación de los resultados:	**Calificación**	**Comentarios**
Relevancia		
Efectividad		
Eficiencia		
Calificación general de los resultados del proyecto		
4. Sostenibilidad:	**Calificación**	**Comentarios**
Recursos financieros:		
Socio-políticos:		
Marco institucional y gobernanza:		
Ambiental:		
Probabilidad general de sostenibilidad:		
5. Impacto: Considerable (C), Mínimo (M), Insignificante (I)	**Calificación**	**Comentarios**
Mejora del estado ambiental		
Reducción del estrés ambiental		
Progreso hacia el cambio del estrés y el estado		
Resultados generales del proyecto:		

FINANCIAMIENTO / COFINANCIAMIENTO DEL PROYECTO

La evaluación permitirá valorar los aspectos financieros clave del Proyecto, incluido el alcance de la cofinanciación planificada y realizada. Se requerirán datos sobre el costo y la financiación del Proyecto, incluidos los gastos anuales. Las variaciones entre los gastos planificados y reales deberán evaluarse y explicarse. Los resultados de auditorías financieras recientes, según estén disponibles, deben tomarse en consideración.

[59] IA = Implementing Agency, EA = Executing Agency

La persona evaluadora recibirá asistencia de la Oficina del País -OP- y de la PIU para obtener datos financieros a fin de completar la tabla de cofinanciación que figura a continuación, que se incluirá en el Informe de Evaluación Final.

Cuadro 03: Financiamiento y cofinanciamiento del Proyecto.

Cofinanciamiento (tipo/fuente)	Financiamiento propio del PNUD (mill. US$)		Gobierno (mill. US$)		Socios (mill. US$)		Total (mill. US$)	
	Presupuesto	Real	Presupuesto	Real	Presupuesto	Real	Presupuesto	Real
Subvenciones								
Préstamos / Concesiones								
✓ Apoyo en especie								
✓ Otros								
TOTALES:								

INTEGRACIÓN

Los proyectos respaldados por el PNUD y financiados por el FMAM son componentes clave en la programación nacional del PNUD, particularmente del Documento de Programa de País (CPD por sus siglas en inglés) así como también en los programas regionales y mundiales. La evaluación valorará el grado en que el Proyecto se integró con otras prioridades definidas dentro del Programa de País del PNUD, entre ellos la reducción de la pobreza, mejor gobernanza, gobernabilidad, la prevención y recuperación de desastres y el género.

IMPACTO

El/La evaluador/a valorará el grado en que el Proyecto está logrando impactos o está progresando hacia el logro de impactos; los resultados clave a los que se debería llegar en las evaluaciones incluyen si el proyecto demostró: a) mejoras verificables en el estado ecológico, b) reducciones verificables en el estrés de los sistemas ecológicos, y/o c) un progreso demostrado hacia el logro de estos impactos[60].

CONCLUSIONES, RECOMENDACIONES Y LECCIONES

El informe de evaluación debe incluir un capítulo que brinde un conjunto de conclusiones, recomendaciones y lecciones.

ARREGLOS DE IMPLEMENTACIÓN

La responsabilidad principal de gestionar esta evaluación reside en la Oficina de País -OP- del PNUD en Guatemala. La OP del PNUD contratará al/ a la evaluador/a y la PIU será responsable de coordinar con el/la evaluador/a para organizar entrevistas a los interesados, coordinar visitas de campo, gestionar reuniones con el Gobierno, entre otras actividades que sean consideradas.

RESPONSABILIDADES Y ACTIVIDADES DEL/DE LA EVALUADOR/A

En coordinación con la PIU el/la evaluador/a será responsable de realizar como mínimo las actividades relevantes descritas a continuación:

ACTIVIDADES RELEVANTES

1. Revisar toda la documentación del Proyecto que se relacione a este proceso.
2. Coordinar y realizar las reuniones y entrevistas necesarias para el logro del objetivo planteado.

[60] Una medida útil para medir el impacto del avance realizado es el método del Manual para la Revisión de Efectos Directos a Impactos (RoTI, por sus siglas en inglés) elaborado por la Oficina de Evaluación del FMAM: ROTI Handbook 2009.

3. Realizar reuniones periódicas (por vía presencial o virtual) para presentar los avances y las coordinaciones que sean necesarias con la PIU y la OP.
4. Realizar las visitas y recorridos que sean necesarios a las áreas de interés del Proyecto.
5. Es muy importante que las actividades a realizar en el Litoral Pacífico sean coordinadas con la PIU con al menos 2 semanas de anticipación.
6. Realizar las presentaciones de resultados que sean requeridas por la PIU y la OP.
7. Presentar los productos de acuerdo a los tiempos establecidos en estos TdR y dirigirlos a los responsables designados para su análisis y revisión.

De ser necesario, realizar cualquier otra actividad relacionada en mutuo acuerdo con las partes involucradas, mientras que las mismas no representen retraso en las actividades principales y sean vinculadas a los resultados de la presente consultoría.

LOGÍSTICA DE LAS REUNIONES

La logística de las reuniones debe asegurar una participación justa, equitativa e incluyente, que debe ser propuesta por el/la evaluador/a, quien propondrá en la metodología de trabajo la opción más eficiente de celebración de reuniones según el análisis que realice, tomando en cuenta los días más efectivos para asegurar una amplia participación.

Las convocatorias serán realizadas bajo la coordinación de la PIU, quien estará a cargo de la convocatoria, el seguimiento de reuniones particulares con autoridades nacionales y locales. En función de los requerimientos y tipos de reuniones, el/la evaluador/a deberá contemplar el pago de salón y refrigerios para la realización de las mismas.

CRONOGRAMA DE ENTREGAS Y DESCRIPCIÓN DE PRODUCTOS

La consultoría se propone para un período de 20 semanas calendario (5 meses) a lo largo del 2018, iniciando al día siguiente hábil de la firma del contrato. Se ha estimado una dedicación de 100 días hábiles por parte del/de la evaluador/a para el cumplimiento de las tareas requeridas. Sin embargo, se espera que éste proponga el número efectivo de días de trabajo que estima dedicar a la presente consultoría.

Se esperan cuatro (4) entregas de productos descritos a continuación:

Cuadro 04: Descripción de los productos y periodo de entregas.

PRODUCTOS		CONTENIDO	PERIODO	RESPONSABILIDADES
1.	Informe Inicial*	El/la evaluadora debe preparar un informe inicial antes de la misión de evaluación principal, en donde se detalle que el/la evaluador/a tienen información sobre el proyecto que se está evaluando y el motivo, y en donde se muestre cómo se responderá cada pregunta de la evaluación mediante métodos propuestos, fuentes de datos propuestos y procedimiento de recopilación de datos. El informe inicial debe incluir un cronograma propuesto de tareas, actividades y resultados finales, el informe debe detallar el plan, la metodología y los períodos de ejecución de la misión.	**2 semanas después de la firma del contrato** y previo a la misión al terreno.	El/La evaluador/a lo envía a la OP del PNUD.
2.	Borrador del Informe Final	Informe completo, (**Esbozo del Informe de Evaluación, Anexo E**) con anexos.	**8 semanas después de la firma del contrato** y de haber finalizado la misión al terreno.	A ser revisado por la OP (Oficial de Programa y Oficial de Monitoreo) y el Asesor Técnico Regional.
3.	Informe Final (en español)**	Informe revisado, corregido y con anexos incluidos.	**14 semanas después de la firma del contrato** y de	

PRODUCTOS		CONTENIDO	PERIODO	RESPONSABILIDADES
			haber recibido los comentarios del PNUD sobre el borrador.	
4.	Informe Final (en inglés)	Informe traducido a idioma inglés.	**18 semanas después de la firma del contrato** y de haber recibido aprobación del informe final por parte de PNUD.	

* Realizar una presentación con los hallazgos iniciales después de la misión de campo.
**Cuando se presente el informe final de evaluación, también se requiere que el/la evaluador/a proporcione un "itinerario de la auditoría", donde se detalle cómo se han abordado (o no) todos los comentarios recibidos en el informe final de evaluación. En esta entrega también deberá rendir una presentación con el abordaje de los hallazgos iniciales.

TIEMPOS DE ENTREGA, REVISIÓN Y APROBACIÓN DE LOS PRODUCTOS

Los productos serán revisados y aprobados por la OP; los tiempos de entrega y revisión serán según el cuadro siguiente:

Cuadro 05: Entrega de productos y revisiones.

PRODUCTOS	TIEMPO DE ENTREGA DESPUÉS DE LA FIRMA DEL CONTRATO	DEVOLUCIÓN DE PRODUCTOS REVISADOS	APROBADO POR
Producto 1.	1er. Mes (semana 2)	5 días hábiles	Coordinación del Proyecto y Oficial de Programa del PNUD
Producto 2.	2do. Mes (semana 8)	10 días hábiles	
Producto 3.	3er. Mes (semana 14)	10 días hábiles	
Producto 4.	4to. Mes (semana 18)	10 días hábiles	

ENTREGA DE LOS PRODUCTOS

El/La evaluador/a deberá entregar los productos descritos, tanto en versión preliminar sujeta a revisión, como en versión final. En la primera reunión de trabajo se informará al/a la evaluador/a la forma de entrega de la versión preliminar de sus productos, la ruta de revisión y aprobación de los mismos, así como los formatos y logotipos definidos por el proyecto.

La versión final aprobada de cada producto debe ser presentada a:

Proyecto

"Conservación y Uso Sostenible de la Biodiversidad en APMs"

UNIDAD DE ADQUISICIONES

Programa de las Naciones Unidas para el Desarrollo -PNUD-
5ª Avenida 5-55 Zona 14, Torre IV, Nivel 10; Edificio Euro Plaza World Business Center
Ciudad de Guatemala, Guatemala 01014

Informe No. _ _ de _ _: (Nombre del Producto)

CONTRATO CI- 87534 1807/18

Nombre del/de la Evaluador/a

"Evaluación Final del Proyecto Marino-Costero"

Debe incluir:

1. Carta formal de entrega de producto, firmada por el/la evaluador/a.

2. Al momento de entregar cada producto, se debe identificar de la misma manera que aparece en los Términos de Referencia, tanto el número como el nombre del producto.
3. Carátula de identificación del producto firmada por el/la evaluador/a (el formato será entregado por PNUD).
4. Versión impresa: Un (1) original y una (1) copia, de preferencia en dúplex, presentados en folder o de preferencia encuadernados.
5. Versión digital:
   - ✓ Dos (2) CDs o USBs (correspondientes al contenido de cada documento impreso).
   - ✓ La USB deberá contener una etiqueta con el número del Contrato, nombre de la consultoría, nombre del/de la evaluador/a y número de informe.
   - ✓ Los CDs deben identificarse con el número del Contrato, nombre de la consultoría, nombre del/de la evaluador/a y número de informe, la etiqueta debe ir correctamente pegada sobre el disco o colocarlo en marcador permanente y escrito de forma legible.
   - ✓ Los CDs deben contener la información ordenada por carpetas según el orden que se establece en los Términos de Referencia.
   - ✓ Los nombres de los archivos digitales deben ser prácticos y cortos, de manera que se comprenda su contenido.
   - ✓ Todos los anexos (gráficas, fotografías, mapas, organigramas y otros) deben incluir archivos originales, editables, plenamente identificados y por separado. El formato de los créditos y logotipos se hará llegar al/a la evaluador/a, así como las plantillas para los informes, listas de asistencia y otros. Debe incluirse una carpeta con las imágenes en calidad óptima para posteriores usos de divulgación o publicación cuando aplique.

PROPIEDAD DE LOS PRODUCTOS

Todas las adquisiciones de materiales o insumos (tales como ortofotos, hojas cartográficas, etc.) que se hicieran con fondos de la consultoría (si aplica), serán manejadas adecuadamente para preservar su integridad y serán entregadas al Coordinador del Proyecto junto con el informe final; dichas adquisiciones, pasarán a ser propiedad de PNUD. Su financiamiento deberá ser considerado por el/la evaluador/a en su propuesta financiera, dentro del costo total de la consultoría.

ACUERDOS INSTITUCIONALES

1. El contrato será suscrito entre el Programa de las Naciones Unidas para el Desarrollo y el/la evaluador/a.
2. Línea de coordinación: el/la evaluador/a deberá presentar sus informes o productos a la Oficial del Programa del PNUD.
3. La versión final impresa de los productos se solicitará hasta el momento en el que se haya efectuado la revisión de los productos, evitando así generar impresiones que puedan ser sujetas de cambio.
4. El/La evaluador/a deberá aprobar dos cursos virtuales de seguridad básica conforme la normativa PNUD y presentar los certificados correspondientes al momento de entregar el primer producto de consultoría.
5. Es importante que el/la evaluador/a en caso de ser guatemalteco/a, identifique si al firmar un contrato con base en la oferta económica presentada, tendrá que cambiar su régimen tributario, ya que el monto de la oferta no podrá ser modificado como consecuencia de cambios en régimen tributario, una vez se firme el contrato.

LUGAR DE TRABAJO

Ni el PNUD ni el Proyecto de "Conservación y uso sostenible de la biodiversidad en Áreas Protegidas Marino Costeras (APMs)" ofrecerán dentro de sus instalaciones un espacio físico al/a la evaluador/a.

Para la asistencia a reuniones y entrevistas podrá coordinar con la PIU quien facilitará apoyo; los trabajos se realizarán principalmente en la Ciudad Capital, pero también se requerirán visitas a diferentes regiones del país. El/La evaluador/a deberá tomar en cuenta que se requieren viajes para realizar consultas, reuniones y entrevistas

con los socios locales, atender a las reuniones pertinentes con los distintos actores involucrados, autoridades y entidades relacionadas. Por la naturaleza de las actividades esta consultoría sí contempla viajes o misiones fuera de la Ciudad Capital, costos que deben ser asumidos por el/la evaluador/a, razón por la cual se requiere que éstos sean reflejados y detallados en el presupuesto respectivo.

INSUMOS A SER PROVISTOS POR EL CONTRATANTE

La Unidad de Gestión del Proyecto -PIU- "Conservación y Uso Sostenible de la Biodiversidad en APMs" entregará a solicitud del/de la evaluador/a, toda la información disponible y vinculada a la evaluación.

PERFIL DEL/DE LA EVALUADOR/A

El/La evaluador/a debe tener experiencia previa en evaluación de proyectos similares, y es deseable que cuente con experiencia en proyectos financiados por el FMAM. El/La evaluador/ha seleccionado/a no debe haber participado en la preparación o ejecución del Proyecto ni debe tener ningún conflicto de intereses con las actividades relacionadas al mismo. Se requiere que cuente con disponibilidad para viajar a zonas rurales.

El/La evaluador/a debe reunir las siguientes calificaciones:

FORMACIÓN ACADÉMICA

1. Profesional en Ciencias Ambientales o carreras afines.
2. Posgrado en Ciencias relacionadas a gestión de proyectos, gestión ambiental, manejo de recursos naturales o temas afines.

EXPERIENCIA GENERAL

1. Mínimo de cinco (5) experiencias relacionadas a evaluación de proyectos.
2. Mínimo de cinco (5) experiencias relacionadas a la gestión de proyectos de desarrollo.

EXPERIENCIA ESPECÍFICA

1. Mínimo de tres (3) experiencias en la aplicación de indicadores SMART y/o en la reconstrucción o validación de escenarios iniciales (*Baseline scenarios*) aplicada de preferencia en áreas focales de biodiversidad del GEF.
2. Mínimo de tres (3) experiencias de participación relacionadas a gestión de proyectos en áreas protegidas y/o gestión de recursos naturales marino-costeros en Guatemala.
3. Mínimo de tres (3) experiencias en la facilitación de procesos de consulta con actores locales, institucionales y otros participantes.
4. Mínimo de tres (3) experiencias en asuntos relacionados al área focal de biodiversidad del GEF y en el análisis y evaluación con sensibilidad de género.

COMPETENCIAS Y VALORES CORPORATIVOS

1. Cualidades de liderazgo y trabajo en equipo.
2. Conocimiento de planificación estratégica.
3. Excelente comunicación y habilidad de análisis, redacción y comunicación.
4. Habilidad para redactar publicaciones, reportes y presentaciones.
5. Habilidad para manejar y trabajar con equipos multidisciplinarios y multiculturales.
6. Fuerte motivación y habilidad para trabajar bajo presión y con límites de tiempos.
7. Capacidad de trabajar de manera independiente o con poca supervisión.
8. Familiarización con el contexto gubernamental (deseable).
9. Excelentes habilidades en el área financiera y de manejo de presupuestos.
10. Conocimiento y habilidad en el manejo de programas de cómputo.
11. Integridad y ética.
12. Respeto por la diversidad.
13. Excelentes relaciones humanas.

14. Actitud de servicio.
15. Orientación a resultados.
16. Efectividad operacional.

ÉTICA DEL/DE LA EVALUADOR/A

El/La evaluador/a asumirá los más altos niveles éticos y deberá firmar un **Código de Conducta (Anexo F)** al aceptar la asignación. Las evaluaciones del PNUD se realizan de conformidad con los principios que se describen en las "Directrices éticas para evaluaciones" del Grupo de Evaluación de las Naciones Unidas (UNEG).

MODALIDAD DE PAGO Y ESPECIFICACIONES

Los pagos corresponderán al siguiente cuadro:

Cuadro 06: Cronograma de Pagos.

PRODUCTOS	TIEMPO DE ENTREGA DESPUÉS DE FIRMA DE CONTRATO	DEVOLUCIÓN DE PRODUCTOS REVISADOS POR PNUD	PORCENTAJE DE PAGO
Producto 1.	1er. Mes (semana 2)	5 días hábiles	10%
Producto 2.	2do. Mes (semana 8)	10 días hábiles	30%
Producto 3.	3er. Mes (semana 14)	10 días hábiles	30%
Producto 4.	4to. Mes (semana 18)	10 días hábiles	30%

DOCUMENTACIÓN REQUERIDA PARA LA PRESENTACIÓN DE LA OFERTA

El pago correspondiente consiste en una suma global puede pagarse en Dólares, de ser un consultor internacional extranjero sin residencia en Guatemala, o en Quetzales, de ser un consultor guatemalteco o un consultor internacional con residencia en Guatemala.

Una vez aceptado y validado cada producto en su versión final, habiendo incorporado todas las revisiones requeridas, se solicitará al Contratista Individual que presente la factura correspondiente al porcentaje de pago del producto entregado (de acuerdo al siguiente cuadro), la cual deberá ser emitida en Quetzales o en Dólares – según la condición de residencia del contratista- a nombre de:

- Programa de las Naciones Unidas para el Desarrollo
- NIT 312583-1
- Dirección Fiscal: 5ª. Av. 5-55 Zona 14. Europlaza Torre IV Nivel 10.
- Descripción: "Pago correspondiente al producto No. _x_, según contrato No. _x_ por los servicios de consultoría para "xxx".

En el caso de emitir una factura en Quetzales deberá asegurarse que la factura a presentar esté vigente.

El tiempo mínimo aproximado para realizar el pago por medio de cheque o transferencia a cuenta es dentro de los 15 días hábiles posteriores a la recepción de la factura.

"Los pagos a contratistas nacionales se harán efectivos en Quetzales, y cuando aplique, se emitirá exención de IVA". El PNUD no es agente retenedor de impuestos, por lo que el Contratista Individual deberá proceder conforme la legislación tributaria que le aplique para el pago de Impuestos sobre la Renta (ISR) y otros que le correspondan según su inscripción en el Registro Tributario Unificado (RTU).

El/La evaluador/a interesado/a, y que actualmente resida en Guatemala, debe remitir su propuesta impresa foliada en la esquina superior derecha, con índice de contenido en el orden solicitado, en sobre cerrado debidamente identificado dirigido a:

De no residir en el país, se puede enviar por correo electrónico dirigido a la oficina de adquisiciones del PNUD-Guatemala (procurement.gt@undp.org).

En ambos casos se deben incluir los siguientes documentos para demostrar sus calificaciones:

CARTA DEL OFERENTE

Dirigida a PNUD confirmando interés y disponibilidad (formato adjunto). Anexos:

1. Formulario P11 firmado, que incluya fechas, experiencias en actividades similares y un mínimo de tres (3) referencias profesionales.
2. *Curriculum Vitae* que identifique claramente la experiencia requerida en estos Términos de Referencia.
3. Propuesta Financiera que indique el precio fijo total de la propuesta financiera (todo incluido), y sustentado con un desglose de los costos según formato adjunto, el cual puede ser modificado según los rubros que el/la evaluador/a considere pertinente. Considerar los siguientes rubros (si aplican):
   - ✓ Honorarios.
   - ✓ Reuniones.
   - ✓ Viáticos.
   - ✓ Combustible y lubricantes para giras al mar y/o arrendamiento de lanchas (transporte acuático).
   - ✓ Combustible y lubricantes para giras de campo (transporte terrestre).
   - ✓ Material impreso y suministros de oficina.
   - ✓ Impuestos.
4. Términos de Referencia firmados.

PROPUESTA TÉCNICA

1. Carta explicando por qué se considera como el candidato más idóneo para desarrollar los servicios.
2. Documento que describa sustantivamente lo siguiente:
   - ✓ Evidencia de la comprensión del Proyecto a revisar y del objetivo de la evaluación final.
   - ✓ Metodología por medio de la cual enfocará y conducirá las actividades para cumplir con los servicios de la consultoría.
   - ✓ Las actividades propuestas para el ejercicio de evaluación final.
   - ✓ Cronograma de las respectivas etapas y actividades a desarrollar, considerando la entrega y revisiones requeridas.
   - ✓ Propuesta de instrumentos a aplicar en la evaluación.
3. Plan de Trabajo y Cronograma que detalle las actividades mínimas especificadas en estos TdR y otras que el/la evaluador/a considere convenientes según su experiencia; fechas con base en la duración de los servicios estipulada para la consultoría, considerando entrega, revisión y pago de los productos.

PROPUESTA FINANCIERA

El pago correspondiente consiste en una suma global en Quetzales incluyendo todos los gastos relacionados a la presentación de los productos requeridos, el número previsto de días de trabajo e impuestos. El/La evaluador/a deberá tener en consideración el cubrimiento total del costo necesario para la elaboración de los productos solicitados (por ejemplo: transporte terrestre y acuático, combustible y lubricantes, viáticos, contratación de servicios para talleres y alimentación, artículos de oficina, impuestos, material impreso, entre otros). El monto del contrato a firmar será fijo, independientemente del cambio en los componentes de los costos.

DOCUMENTOS ADICIONALES

1. Fotocopia de Documento Personal de Identidad -DPI- (si es nacional) o pasaporte (si es extranjero).
2. Fotocopia de Inscripción/Modificación en el Registro Tributario Unificado -RTU- (solo para guatemaltecos o residentes registrados ante la SAT en Guatemala).
3. Fotocopia(s) de credenciales académicas: Constancia(s) de cursos universitarios aprobados, Título(s) Universitario(s) y/o Diplomas por cursos de especialización.
4. Fotocopia de por lo menos tres (3) cartas de referencias laborales/contratos/finiquitos por actividades similares a las requeridas en estos Términos de Referencia.

PROCESO DE APLICACIÓN Y CRITERIOS PARA LA SELECCIÓN DE LA MEJOR OFERTA

La evaluación de la propuesta se hará por medio del método de puntuación combinada, en donde las calificaciones se ponderarán con un máximo de 70%, combinándose con la propuesta financiera, la que se ponderará con un máximo de 30%. Se adjudicará al puntaje combinado más alto. Si el candidato no cumple con los requisitos OBLIGATORIOS, no se continuará la evaluación.

Los criterios para la valoración del/de la evaluador/a se presentan a continuación:

CRITERIOS DE EVALUACIÓN:		TIEMPO/NÚMERO	PUNTUACIÓN Específica	Subtotal	Total
FORMACIÓN ACADÉMICA	Profesional en Ciencias Ambientales o carreras afines.	Título de Licenciatura	OBLIGATORIO		8
	Posgrado en Ciencias relacionadas a gestión de proyectos, gestión ambiental, manejo de recursos naturales o temas afines.	Título de Doctorado	8	8	
		Título de Maestría	5		
		Diplomados Académicos	3		
EXPERIENCIA PROFESIONAL	Mínimo de cinco (5) experiencias relacionadas a evaluación de proyectos.	Más de 5 experiencias	7	7	32
		5 experiencias	5		
	Mínimo de cinco (5) experiencias relacionadas a la gestión de proyectos de desarrollo.	Más de 5 experiencias	5	5	
		5 experiencias	3		
	Mínimo de tres (3) experiencias en la aplicación de indicadores SMART y/o en la reconstrucción o validación de escenarios iniciales (Baseline scenarios) aplicada de preferencia en áreas focales de biodiversidad del GEF.	Más de 3 experiencias	9	9	
		3 experiencias	7		
	Mínimo de tres (3) experiencias de participación relacionadas a gestión de proyectos en áreas protegidas y/o gestión de recursos naturales marino-costeros en Guatemala.	Más de 3 experiencias	3	3	
		3 experiencias	1		
	Mínimo de tres (3) experiencias en la facilitación de procesos de consulta con actores locales, institucionales y otros participantes.	Más de 3 experiencias	3	3	
		3 experiencias	1		
	Mínimo de tres (3) experiencias en asuntos relacionados al área focal de biodiversidad del GEF y en el análisis y evaluación con sensibilidad de género.	Más de 3 experiencias	5	5	
		3 experiencias	3		
Propuesta Técnica Metodológica	¿La metodología evidencia comprensión del objetivo y el alcance de la evaluación del proyecto?	Sí= 10	10	60	60
		No= 0			
	¿Se ha comprendido la temática y los componentes del proyecto?	Sí= 10	10		
		No= 0			
	¿La metodología propuesta para realizar la evaluación es adecuada y responde a lo requerido en los TDR?	Sí= 10	10		
		No= 0			
Plan de Trabajo y Cronograma	¿La propuesta describe los principales instrumentos y métodos a implementar?	Sí= 10	10		
		No= 0			
	¿La metodología propuesta evidencia comprensión y una adecuada aplicación de los criterios de rendimiento y sus calificaciones?	Sí= 10	10		
		No= 0			
	¿El plan de trabajo y cronograma abarcan toda la cobertura geográfica especificada y consideran un balance entre actividades y plazos de ejecución para una eficiente implementación de la evaluación?	Sí= 10	10		
		No= 0			
PROPUESTA TÉCNICA=			SUBTOTAL=	70	%
PROPUESTA FINANCIERA=	(Propuesta más baja / Propuesta Evaluada) * 0.3		SUBTOTAL=	30	%
			TOTAL DE LA PUNTUACIÓN DE OFERTA=	100	%

CONSULTAS Y ACLARACIONES

Los oferentes interesados podrán remitir consultas al PNUD a la 5ª. Avenida 5-55 zona 14, Edificio Europlaza, Torre 4, Nivel 10; al correo procurement.gt@undp.org o al fax 2384-3202, a más tardar el 23 de mayo de 2018, las cuales se responderán a más tardar el 28 de mayo de 2018.

Cualquier retraso en la respuesta del PNUD no podrá ser motivo para ampliar el plazo de presentación, a menos que el PNUD decida que estima necesaria dicha ampliación y comunique un nuevo plazo límite a los solicitantes.

Las ofertas presentadas por correo electrónico estarán limitadas a un máximo de ocho (8) MB por correo. Los archivos estarán libres de cualquier tipo de virus o daño; si no es así, serán rechazados.

Será su responsabilidad asegurarse de que su propuesta llega a la dirección antes mencionada en o antes de la fecha y hora límite. Las ofertas que se reciban en el PNUD después del plazo indicado, por cualquier razón, no se tomarán en consideración a efectos de evaluación. Si usted envía su oferta por correo electrónico, le rogamos se asegure de que está firmada y en formato pdf y libre de cualquier virus o archivo dañado.

FIRMA DEL CONTRATISTA INDIVIDUAL

Certifico que:

Acepto que los términos de referencia que anteceden especifican claramente los servicios y las actividades a ser contratadas así como el grado de conocimientos requeridos.

Nombre de Oferente: _____

Firma: _____

ANNEX 3: MISSION AGENDA AND MEETINGS

DATE | TIME	ACTIVITY
Tuesday 3 July	Meeting online PIU, UNDP Country Office
Monday 23 July	Meeting online Project Implementation Unit
Guatemala City: 7 - 11 August	
Día 1: Tuesday 7 August 08:00 - 12:00	Meeting - PIU
12:00 - 14:00	Meeting The Nature Conservancy –TNC
14:00 - 16:00	Meeting MARN
16:00 - 18:00	Meeting DIPESCA
Day 2: Wednesday 8 August 08:00 - 10:00	Meeting CONAP
10:00 - 12:00	Meeting Segeplán
12:00 - 14:00	Meeting CECON-USAC
14:00 - 16:00	Meeting DIGEMAR-MINDEF
16:00 - 18:00	Meeting Rainforest Alliance
Day 3: Thursday 9 August 07:00 - 10:30	Project Technical Advisory Committee Meeting
10:30 - 11:30	Meeting WCS
12:00 - 14:00	Meeting ARCAS
14:30 - 16:00	Meeting INAB
Day 4: Friday 10 August 08:00 - 10:00	Meeting OCRET

DATE | TIME	ACTIVITY
10:00 - 12:00	Meeting INFOM
12:00 - 14:00	Meeting Defensores de la Naturaleza
14:00 - 15:00	Meeting Iarna
15:00 - 16:00	Meeting Semilla de Sol
South West 12 -15 August	
Day 6: Sunday 12 August 14:00 - 17:00	Transfer Guatemala City - Retalhuleu
Day 7: Monday 13 August 08:00 - 10:00	Interview Municipality of Champerico
Day 8: Tuesday 14 August 08:00 - 10:00	Municipality of La Blanca
10:00 - 12:00	Interview INAB Mazatenango
Day 9: Wednesday 15 August 08:00 - 10:00	Interview Sipacate-Naranjo administration
South East 15 - 17 August	
15:00 - 17:00	Meeting community leaders Las Lisas
Day 10: Thursday 16 August 09:00 - 15:00	Local Support Committee -CAL- MARN, CONAP, DIPESCA/MAGA, INFOM, INAB, Segeplán
18:00 - 19:00	Meeting World Wildlife Fund -WWF
15:00 - 17:00	Meeting Municipality of Chiquimulilla
Day 11: Friday 17 August 09:00 - 11:00	Meeting Municipality of Taxisco-
14:00 - 16:00	Meeting administration CECON-USAC

DATE | TIME	ACTIVITY
Guatemala City: 20 - 21 August	
Day 14: Monday 20 August 08:00 - 10:00	Meeting PNUD
10:00 - 11:30	Interview IUCN
12:30 - 13:00	Interview PIU
14:00 - 16:00	*Debriefing* / First Findings
16:30 - 17:30	Meeting DIGEMAR-MINDEF
Day 15: Tuesday 21 August	Meeting MINEDUC
Friday 24 August	Meeting online UNDP Regional Office for Latin America and the Caribbean

ANNEX 4: LIST OF CONTACTED PERSONS

PIU	1. Raquel Sigüenza 2. Dafne Domínguez 3. Fernando García 4. Frendy Palma 5. Edson Flores 6. Celia Mendoza
The Nature Conservancy –TNC	7. Juan Carlos Godoy 8. Juan Carlos Villagrán
MARN	9. Otto Fernández 10. Luisa Fernández 11. José de la Rosa 12. Gustavo Fabián 13. Julio Virula
DIPESCA	14. Manoel Cifuentes 15. David Valle
CONAP	16. Jimmy Navarro 17. Andrea Fernández 18. Marlon Chilín
Segeplán	19. Julio Navarro 20. Delia Núñez
CECON-USAC	21. Francisco Castañeda 22. Mercedes Barrios
DIGEMAR-MINDEF	23. Axel Colindres Mayorga 24. Hilario Sal Uz 25. Luis Carlos Cobón Galicia 26. Edwin Alejandro Raxón
Rainforest Alliance	27. Oscar Rojas 28. Mario Jolon 29. Violeta Reyna
WCS	30. José Moreira 31. Miriam Castillo
ARCAS	32. Colum Muccio
INAB	33. Anaité López
OCRET	34. Jorge Mario Lucero 35. Byron Ortiz
INFOM	36. Carlos Quezada 37. Roberto Casasola
Defensores de la Naturaleza	38. Oscar Núñez 39. Andrea Navas
Iarna	40. María Mercedes López-Selva
Semilla de Sol	41. Joram Gil 42. Victor Lionel Mux
Municipality of Champerico	43. José Santos Grijalbo 44. José Vallejo Diaz
MPA Manchón-Guamuchal	45. Julio Interiano

Municipality of La Blanca	46. Byron Pérez 47. Aroldo Cordero
INAB Mazatenango	48. César Zacarías
MPA Sipacate-Naranjo	49. Carlos Velásquez /CONAP
ICC	50. Marco Tax 51. Alex Guerra
Community of Las Lisas	52. Fidel Hernández 53. Claudio Reyes 54. Andrea Marroquín
Regional Project USAID	55. Manuel Ixquiac / GOAL
WWF	56. María Amalia Porta
Municipality of Chiquimulilla	57. Guadalupe Aguirre 58. Manuel Gaitán 59. Isabel Morales 60. Manuel Herrarte
Municipality of Taxisco	61. Edgar Rubén Catalán 62. Vidal Montepeque 63. William Rodríguez 64. Edy Pineda
CECON-USAC Monterrico	65. César Flores 66. César Grijalva 67. Pablo Castellanos
UNDP Country Office	68. Flor Bolaños 69. Nely Herrera
IUCN	70. Úrsula Parrilla 71. Orsibal Ramírez 72. Melany Ramírez
MINEDUC	73. Miguel Ángel Guzmán
UNDP Regional Office	74. Santiago Carrizosa

ANNEX 5: LOGICAL FRAMEWORK

	Indicator	Baseline	Goal (of the Indicator)	Verification Mechanisms	Risks and Assumptions
Project Objective: To promote the conservation and long-term sustainable use of marine and coastal biodiversity (BD) of global importance through effectively and equitably managed marine-coastal protected areas (MPAs), which will contribute to improving the economic welfare of the Guatemalan population.	Total area (in hectares [ha]) of marine and coastal areas under protection by MPAs in the Pacific	– 7,042.44 ha	– 164,297.40 ha	– Databases, technical reports, and maps. – Resolution of the CONAP Council – Technical study and proposal of Law	– Political willingness and social consensus to create new MPAs and expand existing MPAs
	Change in the management effectiveness of three (3) existing MPAs as measured through the METT scorecard	– La Chorrera Private Natural Reserve – Manchón Guamuchal RAMSAR site: 10% – Sipacate – Naranjo National Park: 26% – Monterrico Multiple-Use Natural Reserve:40%	– La Chorrera Private Natural Reserve – Manchón Guamuchal RAMSAR site: 25% – Sipacate-Naranjo National Park: 41% – Monterrico Multiple-Use Natural Reserve: 55%	– Updated METT scorecards – Annual project evaluation reports	– The Government of Guatemala (national and local), the civil sector, and the private sector maintain an interest in improving the management of the MPAs – Environmental variability is within normal ranges, including climate variability – There is effective inter-institutional coordination for reaching agreements and the establishment of MPAs
	Change in the financial capacity of the MPAs according to that established through the total average score in the UNDP/GEF Sustainability Scorecard	– Legal, regulatory, and institutional framework: 7.78% – Business planning and tools for cost-effective management: 1.69% – Tools for generating income and its allocation: 12.68% – Total: 7.73%	– Legal, regulatory, and institutional framework: 32.78% – Business planning and tools for cost-effective management: 16.69% – Tools for generating income and its allocation: 42.68% – Total: 32.73%	– Updated Financial Sustainability Scorecard	– Stable national and international economic conditions
Component 1: Strengthening the MPA legal, policy, and financial frameworks for the protection of marine-coastal BD and its sustainable use.	Number of multiple-use MPAs declared and included in the SIGAP	– Tree (3)	– Five (5)	– Databases, technical reports, and maps. – Resolution of the CONAP Council – Technical study and proposal of Law	– There is willingness by the decision-makers to declare new MPAs – Social consensus
	Legal and regulatory framework facilitates the conservation and sustainable use of BD in the MPAs and buffer zones	– Regulations for Mangroves from the National Forest Institute –INAB, CONAP, and OCRET – Fishing Regulations (Law of Fishing and Aquaculture) (DIPESCA and MARN) – Strategic Line 8.3 for the Policy for the Integrated Management of Marine-Coastal Areas in Guatemala	– Regulatory reforms regarding the use and management of mangroves (INAB-CONAP-OCRET) – Proposed reforms to the Law of Fishing and Aquaculture – Implementation of the Strategic Line 8.3 of the PMCG (to strengthen governance mechanisms)	– Government agreement on regulating the use and management of mangroves (INAB-CONAP) – Inter-institutional agreements – Reports of compliance of the Marine-Coastal Management Program (MCPM)	– There is political willingness to make and implement reforms – Interinstitutional coordination is optimal – There is legal feasibility

		(PMCG) and the National Hydrographic Commission (Vice Ministry of the Ocean – Defense Ministry)			
	Total annual budget from the central government (USD) assigned to the management of the MPAs and amount of financial resources received annually from private sources for the MPAs' management	– $673,326.48	– $1,009,989.72 (50% increase)	– Updated Financial Sustainability Scorecard – Databases with financial and accounting information of the MPAs	

Outputs:

1.1. Two (2) new multiple-use MPAs (IUCN Category VI) gazetted.
1.2. Congressional Decree legalizes the expansions of three (3) existing MPAs.
1.3. Reforms of the Mangrove Regulations of the National Forest Institute – INAB and CONAP promote mangrove conservation and its sustainable use.
1.4. An integrated Marine-Coastal Management Program (MCMP) is developed facilitating: a) creation of the National Administrative Council for Maritime Affairs; b) the implementation of the PMCG and development plans to enhance the protection and sustainable use of marine-coastal BD; c) effective MPA management; and d) the development of policy guidelines on the Fisheries Act (MAGA) and the National Reserves Act (OCRET) to reduce threats to marine-coastal BD and organize government and non-government sectors to support conservation efforts.
1.5. Strategic Guideline 8.3 of Guatemala's Policy for the Integrated Management of Marine-Coastal Zones (PMCG) improves inter-institutional coordination, define common goals, roles, and co-responsibilities, and participatory and financial mechanisms for marine-coastal management in ten (10) coastal municipalities.
1.6. Coastal land lease rates (OCRET) established for the financial sustainability of MPAs.
1.7. Business plans developed and/or updated for the two (2) new and three (3) expanded MPAs.
1.8. Municipal investment plans support MPA management through unused budgeted resources by municipalities.

Component 2: Strengthening the institutional and individual capacities for effective management of MPAs and the conservation and sustainable use of marine-coastal BD.	Change in the capacity development indicators for MPAs management and the conservation and sustainable use of marine-coastal BD according to the total score of UNDP Capacity Development Scorecard (national and local government, private sector	National Government - MARN: 42.86% - CONAP: 45.24% - INAB: 61.54% - DIPESCA: 43.59% Municipalities - Retalhuleu: 5.56% - Champerico: 25% - La Gomera: 44.44% - Iztapa: 0.00% - Taxisco: 47.22% - Guazacapan: 2.78% - Chiquimulilla: 36.11% - Pasaco: 27.78%	National Government - MARN: 62.86% - CONAP: 65.24% - INAB: 81.54% - DIPESCA: 63.59% Municipalities - Retalhuleu: 25,56% - Champerico: 45% - La Gomera: 64.44% - Iztapa: 20% - Taxisco: 67.22% - Guazacapan: 22,78% - Chiquimulilla: 56.11% - Pasaco: 47.78% - Moyuta: 58.39% Civil Society - NGO (ARCAS): 83.89% - Fishermen's Association of Champerico: 31.11% - Fishermen's Association of El Gran Pargo: 20% - Champerico ports companies: 24.76%	– Updated Capacity Development Scorecard – Project evaluation reports	– Institutional climate is conducive to coordinating efforts of national and local stakeholders around the MPAs.

	and civil society)	- Moyuta: 38.39% Civil Society - NGO (ARCAS): 63.89% - Fishermen's Association of Champerico: 11.11% - Fishermen's Association of El Gran Pargo:0.00% - Champerico ports companies: 4.76% - CECON: 57.14%	- CECON: 77.14%		
	Number of management plans for existing and new MPAs	– Two (2) existing management plans outdated: Sipacate – Naranjo National Park (2002 – 2006) and Monterrico Multiple-Use Natural Reserve (2000 – 2005)	– Three (3) new management plans – Two (2) management plans updated: Sipacate – Naranjo National Park and Monterrico Multiple-Use Natural Reserve	– Approved management plan documents	– Consensus among government, private sector, and civil society stakeholders to jointly develop the management plans for MPAs.
	Number of staff from national and local governments, private sectors, and civil society, including women, trained in monitoring and control of threats to marine and coastal BD	– CONAP: 14 – MARN: 6 – OCRET: 0 – DIPESCA: 5 – Municipalities: 0 – NGOs: 12 – Local associations: 50 – Defense Ministry: 2 – Ports Commission: 4	– CONAP: 30 – MARN: 40 – OCRET: 3 – DIPESCA: 15 – Municipalities: 20 (2 x 10 municipalities) – NGOs: 50 – Local associations: 110 – Defense Ministry: 10 – Ports Commission: 10	– Minutes and databases from the training events	– Monitoring of marine-coastal BD accepted as part of the management activities of the MPAs and their buffer zones – Effective coordination between national and local authorities
	Increase in the number of monitoring, control, and surveillance plans and patrolling events	– Monitoring work plans: 0 – Patrolling events: 0	– Work plans: 5 (one/MPA/year during 5 years) – Patrolling events: 120 per MPA (2/month/MPA during 5 years)	– Monthly/annual work and patrol programs – Patrolling reports	
Outputs: 2.1. Marine units within the MARN and CONAP are established for improving MPA planning and management. 2.2. Management plans for three (3) expanded MPAs and for two (2) new MPAs are developed and aligned with the municipal participatory land and marine-coastal use plans. 2.3. Participatory resource use and management strategy for three (3) marine-coastal zones in the Pacific include the permitted uses and restrictions for marine-coastal BD and MPAs in ten (10) municipalities and mechanisms for conflict resolution and accountability. 2.4. Strengthened capacity of national and local government institutions (CONAP, MARN, INAB, OCRET, DIPESCA, the Navy, and municipalities), private sector groups (fisheries, urban development, tourism, maritime ports/transportation), and civil society organizations (non-governmental MPA co-administrators and local communities) in MPAs' management and the conservation and sustainable use of marine-coastal BD. 2.5. Extension support to small-scale artisanal fisheries for implementation of BD-friendly practices. 2.6. A technical-scientific information system related to coastal and marine ecosystems and MPA management contributes to the monitoring and control of threats to marine-coastal BD.					
Component 3: Addressing threats from key sectors	Coverage (ha) of key marine-coastal ecosystems in five	– Estuaries: 1,715 ha	– Current levels are maintained	– GIS: Databases and maps	– There is a commitment at the

(fisheries, maritime ports/transportation, and urban development) in order to strengthen MPAs' management and the conservation and sustainable use of marine-and coastal BD in the Pacific region of Guatemala.	(5) MPAs and their buffer zones	– Coastal lagoons: 2,141 ha – Herbaceous wetlands: 8,138 ha – Sandy beaches: 21,135 ha – Muddy beaches: 3,858 ha		– Technical reports and publications – Project monitoring and evaluation reports	local level and by the productive sectors for the conservation and sustainable use of marine-coastal BD – Effective monitoring and control – Sampling efforts are optimal
	Number of hatchlings released per reproductive period of the sea turtle *Lepidochelys olivacea* in the nesting beaches of the Pacific	– 150,000	– 165,000	– Field notes – Monitoring databases – Project technical reports	
	Minimum sizes (cm) of select fish species in four (4) multiple-use MPAs and their buffer zones in conformance with FAO regulations[61]	Commercially important species: – White Shrimp (*Litopenaeus vannamei)* – Blue Shrimp (*Penaeus stylirostris*) – Brown Shrimp *(Farfantepenaeus. californiensis*) – Hammerhead Shark (*Sphyrna lewini*)	Commercially important species: – White Shrimp (*Litopenaeus vannamei)*: 3 g or 6.6 cm. – Blue Shrimp (*Penaeus stylirostris*): 3 g or 6.6 cm. – Brown Shrimp (*Farfantepenaeus californiensis*): 3 g or 6.6 cm. – Hammerhead Shark (*Sphyrna lewini*): 220 cm total length for females and 178 cm for males.	– Field notes – Monitoring databases – Project technical reports	– There is a commitment by the local and commercial fishermen for the sustainable use of fishing resources (minimum sizes allowed) – Effective monitoring and control – Sampling efforts are optimal
	Change in average income received by fishermen implementing BD-friendly fishing practices.	– 0%	– 20%	– Annual surveys of fishermen's income – Project monitoring and evaluation reports: PIR/APR, mid-term and final evaluation reports	– The fishermen are interested in participating – Stable market – Sampling efforts are optimal
	Coverage of mangroves in five (5) MPAs and their buffer zones	– 4,004.67 ha: a. Sipacate – Naranjo National Park: 1,682.32 ha; b. Monterrico Multiple-Use Natural Reserve: 1,412.77 ha; c. La Chorrera Private Natural Reserve – RAMSAR site Manchón Guamuchal: 909.58 ha d. Hawaii Multiple-Use Area: 0 e. Las Lisas – La Barrona: 0	– 12,803.10 ha: a. Sipacate – Naranjo National Park: 1,936.22 ha. b. Monterrico Multiple-Use Natural Reserve: 2,664.32 ha. c. La Chorrera Private Natural Reserve – RAMSAR site Manchón Guamuchal: 5,028.53 ha. d. Hawaii Multiple-Use Area: 1,753.44 ha. e. Las Lisas – La Barrona: 1,420.59 ha.	– GIS: Databases and maps – Technical reports and publications – Project monitoring and evaluation reports	– There is a commitment at the local level and with the productive sectors for the conservation and sustainable use of mangroves in the Pacific – Environmental variability, including climate change, within normal ranges – Effective monitoring and control
Outputs:					

[61] The regulation proposed by the FAO is aimed at the minimum sizes; in the case of fisheries maximum sizes are not considered, since the concern with the stocks of fish is that the organisms reach at least their initial reproduction size, which allows them to maintain stable populations. For other species there are no regulations regarding sizes.

3.1. Three (3) cooperation agreements between MPA authorities (CONAP and municipalities) and the urban development, fisheries, and maritime ports/transportation sectors include conservation/management committees to oversee the conservation and sustainable use of BD in four (4) MPAs and their buffer areas. 3.2. Ballast water management program and fee system. 3.3. Program for the prevention, reduction, and control of land-based contamination of MPAs and buffer areas defined jointly with municipalities, local communities, and key private sector groups (maritime transportation, agro-industry, tourism, and urban development). 3.4. Strategies for reducing vulnerability and the impacts of CC to BD and ecosystem services in five (5) MPAs and their buffer areas. 3.5. BD-friendly fishing practices reduce the impacts on two (2) key species of local importance (small-scale artisanal fisheries) and three (3) species of commercial importance in multiple use MPAs and their buffer zones. 3.6. Participatory conservation, rehabilitation, and sustainable use of mangroves in MPAs and buffer areas of the Pacific coast favor mangrove protection and the design of riparian conservation corridors.

ANNEX 6: LIST OF CONSULTED DOCUMENTS

- Analysis of problems and risks.
- Educational materials developed by the Project.
- Financial and administrative guidelines used by the Project Team.
- Financial sustainability sheets (scorecard).
- Initiation Plan.
- Institutional capacity sheets.
- Management effectiveness tracking tool -METT-.
- Management Response.
- Map of sites where the Project operates
- Mid Term Review
- Minutes of the meetings of the Steering Committee and other meetings.
- Monitoring and evaluation tools for the Project (tracking tools), used both for the establishment of baselines and Project progress.
- Monitoring reports prepared by the Project.
- Project Document -PRODOC-.
- Project Identification Form -PIF-.
- Project Implementation Reports (PIRs).
- Project Inception Report.
- Quarterly Reports -QPRs- and Annual Operating Plans -POAs-.
- Reports of follow-up missions.
- UNDAF UNDP Country Program - Guatemala.
- *UNDP Evaluation Guidance For GEF-Financed Projects Version for External Evaluators.*
- *UNDP Handbook on Planning, Monitoring and Evaluating for Results*

ANNEX7: ALCANCE DE RESULTADOS SEGÚN PIR 2018

Objective: To promote the conservation and long-term sustainable use of marine and coastal biodiversity (BD) of global importance through effectively and equitably managed marine-coastal protected areas (MPAs), which will contribute to improving the economic welfare of the Guatemalan population.	
Description of Indicator	**Cumulative progress since project start**
1. Total area (in hectares [ha]) of marine and coastal areas under protection by MPAs in the Pacific	A total area of 281,722.90 ha is being proposed for protection according to the five (5) Technical Studies finalized and delivered to CONAP: - Hawaii: 18,415.36 ha total, 5,709.02 ha coastal and 12,706.34 ha marine. - Las Lisas: 104,059.48 ha total, 2,211.86 ha coastal and 101,847.62 ha marine. - Manchón-Guamuchal: 47,168.60 ha total, 836.12 has coastal and 46,332.49 has marine. - Monterrico: 53,672.11 ha total, 11,033.03 has coastal and 42,639.08 has marine. - Sipacate-Naranjo: 58,407.34 ha total, 4,016.95 has coastal and 54,390.39 has marine. This proposed protected areas subsystem is 88% marine and 12% terrestrial. Willingness to officially declare MPAs goes far beyond the project end. The project is making all arrangements and necessary advocacy, but it will depend on the CONAP Council to endorse the five proposals to be considered by the National Congress of Guatemala.
2. Change in the management effectiveness of three (3) existing MPAs as measured through the METT scorecard	1) Proposed MPA and Ramsar Site Manchón-Guamuchal: 31% (La Chorrera Private Natural Reserve is part of the Ramsar Site). 2) Sipacate-Naranjo National Park: 47% 3) Monterrico Multiple-Use Natural Reserve: 59%. Management effectiveness progress was also measured in this MPA, officially declared on February 2016: 4) Hawaii Multiple Use Area: 57%
3. Change in the financial capacity of the MPAs according to that established through the total average score in the UNDP/GEF Sustainability Scorecard	- Legal, regulatory and institutional framework: 31.58% - Business planning and tools for cost effective management: 11.86% - Tools for the generation of income and its allocation: 18.31% Total: 22%
Outcome 1: Strengthening the MPA legal, policy, and financial frameworks for the protection of marine-coastal BD and its sustainable use.	
Description of Indicator	**Cumulative progress since project start**
4. Number of multiple-use MPAs declared and included in the SIGAP	Five (5) Initiatives of Law proposals have been finalized and delivered to CONAP. All of them consider the Coastal-Marine Multiple-Use Area category (according also to IUCN Category VI) for declaration of MPAs: 1) Manchón-Guamuchal 2) Sipacate–Naranjo 3) Monterrico 4) Hawaii 5) Las Lisas
5. Legal and regulatory framework facilitates the conservation and sustainable use of BD in the MPAs and buffer zones	On June 1st, 2018, the Ministry of Agriculture, Cattle Ranching and Nutrition (MAGA) sent the case file containing the Regulation for Mangrove Ecosystem Sustainable Management to declare it as a Governmental Agreement, to the General Secretariat of the Presidency of the Republic of Guatemala. This secretariat has returned the file making recommendations in accordance with the Forestry Law, to the Board of Directors of the National Forest Institute (INAB). On June 27, with the leadership of the Ministry of Environment and Natural Resources (MARN), the Integrated Marine-Coastal Management Program (MCMP) was released, and its summary version distributed. Support given by the Project and other parties to DIPESCA-MAGA in 2017, ended in reforms to the actual Law of Fishing and Aquaculture officially delivered in December 12th to the National Congress of the Republic.
6. Total annual budget from the central government (USD) assigned to the management of the MPAs and amount of financial resources received annually from private sources for the MPAs' management	Coastal land lease rates are included in the Law proposal for Regulation and Control of Reserve Areas Under State Domain of OCRET and were submitted to the National Congress of the Republic in June 5th, 2018. The initiative Analysis of the Municipal Budget Investment for the Mobilization of Financial Resources that supports Marine-Coastal Protected Areas Management finished with five (5) municipalities allocating $286,812.86 for marine-coastal actions, as follows*: - Ocós Municipality (San Marcos Department): $47,313.36 - La Blanca Municipality (San Marcos Department): $2,673.07 - Champerico Municipality (Retalhuleu Department): $119,987.62 - Chiquimulilla Municipality (Santa Rosa Department): $5,212.49

	- Taxisco Municipality (Santa Rosa Department): $111,626.32 Five (5) Business Plans were finalized (one for each MPA), according to the Business Model defined by the Ministry of Economy. Based on the demand characteristics, specific potential activities were identified and if they were implemented (along with respective initial investments), each MPA will obtain the following profits during year 1: - MPA Manchón-Guamuchal: $998.41 - MPA Sipacate-Naranjo: $14,069.04 - MPA Monterrico: $48,690.29 - MPA Hawaii: $12,326.17 - MPA Las Lisas: $9,286.79 *USD$1 = Q.7.48203 (http://www.banguat.gob.gt/cambio/)
7. Number of areas of biological importance declared by the Convention on Biological Diversity ()CBD) and regulated by a ministerial decree	First marine research cruise for the Biological and Oceanographic Characterization of the Pacific was done and second phase will be carried out in September 2018. All the information obtained is supporting the management strategy for the marine-coastal zone, as a basis to draft the Ministerial Agreement that will declare and regulate resources use at the Cañón de San José EBSA. .
Outcome 2: Strengthening the institutional and individual capacities for effective management of MPAs and the conservation and sustainable use of marine-coastal BD.	
Description of Indicator	**Cumulative progress since project start**
8. Change in the capacity development indicators for MPAs management and the conservation and sustainable use of marine-coastal BD according to the total score of UNDP Capacity Development Scorecard (national and local government, private sector and civil society)	National Government - MARN: 71.43% - CONAP: 66.67% - INAB: 76.92% - DIPESCA: 56.41% Other key government institutions: - OCRET: 53.85%-Segeplán: 61.54% -INFOM: 43.59% Municipalities - Retalhuleu: ---% (project could not reach an agreement with local authorities to implement actions) - Champerico: 47.22% - La Gomera: N/A (separation of Sipacate municipality resulted in local government priority focused on setting up the administrative and technical infrastructure) - Iztapa: 11.11% - Taxisco: 55.56% - Guazacapán: 8.33% - Chiquimulilla: 55.56% - Pasaco: 22.22% - Moyuta: 25% Due to high technical staff turnover, inexistence of municipal environmental offices, and lack of political will, very low progress is shown in Iztapa, Guazacapán, Pasaco and Moyuta. Other municipalities: - La Blanca: 30.56% - Ocós: 19.44% Civil Society NGO (ARCAS): 72.22%. The capacity of monitoring and evaluation appear to be the main institutional flaw. - Fishermen Association of Champerico: 16.67%. Weakness in capacities of monitoring and evaluation, capacities to generate, access and use information and knowledge, and capacities for strategy, policy and legislation development were encountered. Fishermen Association of El Gran Pargo: ---% (due to security concerns, the Project did not continue work with them) - Champerico ports companies: N/A (according to the National Ports Commission -CPN-, Champerico is nowadays a “ghost port”; just a small administrative office remains in the area) - Center for Conservation Studies (CECON-USAC): 61.90%. Monitoring and evaluation capacities persist to be an aspect that needs work.
9. Number of management plans for existing and new MPAs	Five (5) Management Plans have been finalized and delivered to CONAP, all the processes were broadly participatory: 1) MPA Manchón-Guamuchal 2) MPA Sipacate–Naranjo 3) MPA Monterrico 4) MPA Hawaii 5) MPA Las Lisas

10. Number of staff from national and local governments, private sectors, and civil society, including women, trained in monitoring and control of threats to marine and coastal BD	Total number of staff trained since project start (2015-2018), is as follows: - CONAP: 45 - MARN: 50 - OCRET: 15 - DIPESCA: 30 - Municipalities (13 prioritized): 97 - NGOs: 66 - Local associations: 146 - Defense Ministry: 72 - Ports Commission: 14 Participation by gender: 28% women and 72% men.
11. Increase in the number of monitoring, control, and surveillance plans and patrolling events	The cumulative progress (from 2015 to 2018) is 22 Work Plans and 93 Patrolling Events. For this reporting period, details as follows: TOTAL Work Plans: 13 - Manchón-Guamuchal MPA: 1 - Sipacate-Naranjo MPA: 2 - Monterrico MPA: 3 - Hawaii MPA: 3 - Las Lisas MPA: 2 - Marine Turtles (South East region): 2 TOTAL Patrolling Events: 57 (of 70 expected till October 2018) - Manchón Guamuchal MPA: 15 - Sipacate-Naranjo MPA: 12 - Monterrico MPA: 9 (including 2 Marine Turtle patrols) - Hawaii MPA: 13 (including 2 Marine Turtle patrols) - Las Lisas MPA: 8 New technology for patrolling is being applied, which also allows to monitor marine-coastal biodiversity using SMART methodology app for GPS. Interinstitutional patrols are prioritized in collaboration with CONAP, INAB, DIPESCA, MARN, DIPRONA, Navy, CECON, NGOs and municipalities.
Outcome 3: Addressing threats from key sectors (fisheries, maritime ports/transportation, and urban development) in order to strengthen MPAs' management and the conservation and sustainable use of marine-and coastal BD in the Pacific region of Guatemala.	
Description of Indicator	**Cumulative progress since project start**
12. Coverage (ha) of key marine-coastal ecosystems in five (5) MPAs and their buffer zones	Based on the five (5) MPAs Technical Studies, a GIS detailed analysis was carried out and specific coverage of key marine-coastal ecosystems is as follows: - Estuaries: 532.66 ha - Coastal lagoons: 332.48 ha - Herbaceous wetlands: 5,032.65 ha - Sandy beaches: 59.89 ha - Muddy beaches: 282.19 ha Differences between baseline and data presented are probably due to different criteria and/or methodology used, and less likely due to habitat loss. The Marine Gap Analysis (CONAP-MARN, 2009) as the official reference for marine-coastal ecosystems coverage, indicates the following hectares for the whole Pacific coast: herbaceous wetlands 8,142.2 ha, sandy beaches 768.2 ha and muddy beaches 288.6 ha. Same GIS analysis done in 2009 was done with the 5 MPAs proposed polygons. If these areas are officially declared as protected, levels of coverage under conservation at national level will be as follows: - Herbaceus wetlands: 61.80% - Sandy beaches: 7.79% - Muddy beaches: 97.78% .
13. Number of nurseries certified by CONAP for their good practices and compliance with the official Guidelines of the National Strategy for Sea Turtle Conservation in Guatemala.	The following technical tools have been defined to identify nurseries that will be eligible for certification by CONAP: a. Statistical System of Turtles and Nesting Beaches. b. Updated Guide for the Conservation of Marine Turtles of Guatemala, with emphasis on the Management of Turtle Nurseries. c. Guidelines for the Management of Sea Turtle Eggs. Nurseries close to fulfill the administrative and technical criteria during the next nesting season (2018-2019), from thirty-one (31) under evaluation are: 1- CECON Nursery (Monterrico MPA) 2- ARCAS Nursery (Hawaii MPA) 3- El Paredón Nursery (Sipacate-Naranjo MPA) 4- El Garitón Nursery (Monterrico MPA) 5- El Banco Nursery (Monterrico MPA)

14. Minimum sizes (cm) of select fish species in four (4) multiple-use MPAs and their buffer zones in conformance with FAO regulations[1] [1] The regulation proposed by the FAO is aimed at the minimum sizes; in the case of fisheries maximum sizes are not considered, since the concern with the stocks of fish is that the organisms reach at least their initial reproduction size, which allows them to maintain stable populations. For other species there are no regulations regarding sizes.	*There was a change on the name of the species: from Litopenaeus vannamei to Penaeus vannamei. http://www.marinespecies.org/aphia.php?p=taxdetails&id=377748 The following average sizes data were collected during characterizations of artisanal fisheries (2017-2018) with methodological distinction between estuarine and marine species results: Estuarine species: - White Shrimp (Penaeus vannamei*): 8.1 cm or 3.4 g - Hammerhead Shark (Sphyrna lewini): 51 cm or 636.4 g for females Marine species: - White Shrimp (Penaeus vannamei*): 16.5 cm or 44.3 g - Blue Shrimp (Penaeus stylirostris): 19.3 cm or 62.3 g - Brown Shrimp (Farfantepenaeus californiensis): 10 cm or 9.5 g - Hammerhead Shark (Sphyrna lewini): 398 cm or 911.7g for females
15. Change in average income received by fishermen implementing BD-friendly fishing practices.	Final report of artisanal fisheries characterization gathered data of 1,670 fishermen from seven (7) prioritized localities along the Pacific for one year. Data standardized as follows (fisherman average income/month) in US$ ((*7.48203 Q/US$): - Las Mañanitas: US$814.00 - Sipacate: US$954.00 - El Paredón: US$309.00 - Tulate: US$137.00 - Tecojate: US$734.00 - Tahuexco: US$155.00 - Las Lisas: US$2,082.00 Bycatch persists but has decreased in part due to fishermen trained regarding BD-friendly fishing practices, .
16. Coverage of mangroves in five (5) MPAs and their buffer zones	Coverage of mangroves in five (5) MPAs and their buffer zones accounts 7,262.33 ha, according to the final versions of the Technical Studies and Management Plans: a. Sipacate–Naranjo: 1,792.41 ha; b. Monterrico: 1,608.77 ha; c. Manchón-Guamuchal: 441.47 ha; d. Hawaii: 2,443.39 ha; e. Las Lisas: 976.29 ha. Main difference with the indicator goal are related to the MPA Manchón-Guamuchal. Proposed hectares for protection are in a national jurisdiction polygon and additional to those already included in the Private Natural Reserve (PNR) La Chorrera-Tamaxán (7,861.05 ha). Mangrove coverage for the Pacific according to INAB and CONAP (2015) is 22,765 ha. If the 5 MPAs are officially declared as protected, adding the already protected La Chorrera-Tamaxán PRN, mangrove coverage under conservation will be 66.43%.
17. Number of hatchlings released by certified nurseries per reproductive period of the sea turtle Lepidochelys olivacea in the nesting beaches of the Pacific	Nurseries that could satisfy the technical and administrative certification criteria (see Indicator 13) have released 330,760 hatchlings on 2017-2018 nesting season: a- CECON Nursery (Monterrico MPA): 69,447 b- ARCAS Nursery (Hawaii MPA): 47,895 c- El Paredón Nursery (Sipacate-Naranjo MPA): 9,298 d- El Garitón Nursery (Monterrico MPA): 16,087 e- El Banco Nursery (Monterrico MPA): 188,033

ANNEX 8: EVALUATION QUESTIONS

1 How relevant is the project for Guatemala?
2 What have been the design problems with which the project had to deal with? Adaptive management?
3 What have been the achievements of the project (at the levels of products, effects and results)?
4 How were these results achieved?
5 What problems have arisen that hindered the achievement of outcomes?
6 What planning instruments were designed, adopted or implemented to effectively address the equitable management of coastal and marine areas on the Pacific shore of Guatemala?
7 How has gender mainstreaming been incorporated (or not) in the project?
8 What effects or impacts (change) have been produced by the project (policy, declarations of marine and coastal protected areas in the Pacific, etc.?)? At national level and/or at the level of pilots in the Pacific coast.
9 Were relevant representatives, from Government and civil society, as well as from the private sector and universities, NGOs, community-based organizations, associations, etc., participants in the preparation of the project and its implementation?
10 What has been the role of the project's directing committees? When has the collaboration and management between different institutions worked when not? Was it effective? Efficient?
11 What were the weaknesses of the project and its components, if any?
12 How was the work with communities carried out? With other actors? (NGOs, private sector, etc.?)
13 What are the probabilities that results be sustained in the medium to long term? What factors can help or impede sustainability? (risks) What financial, socio-economic, institutional and governance, and environmental risks to sustainability have been identified to date? What has been done to mitigate these, if anything?

Lessons learned and recommendations:

1. If you could change something in the development of the project, which would be? -lesson learned-/ if something could have been done differently, in retrospect what could this have been (lessons learned)? What are the lessons learned in relation to the performance of achieved results?
2. What good practices can be considered transferable to other programs, projects?
3. What are your general recommendations?

ANNEX 9: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM.

Evaluators:

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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[62]

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

Name of Consultant: __MARIA ONESTINI_____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation. Signed at *Buenos Aires Argentina* on *July 23 2018*

Signature:  _____

[62]www.unevaluation.org/unegcodeofconduct