



Darwin Initiative Final Report

*To be completed with reference to the Reporting Guidance Notes for Project Leaders (<http://darwin.defra.gov.uk/resources/>) it is expected that this report will be a **maximum** of 20 pages in length, excluding annexes)*

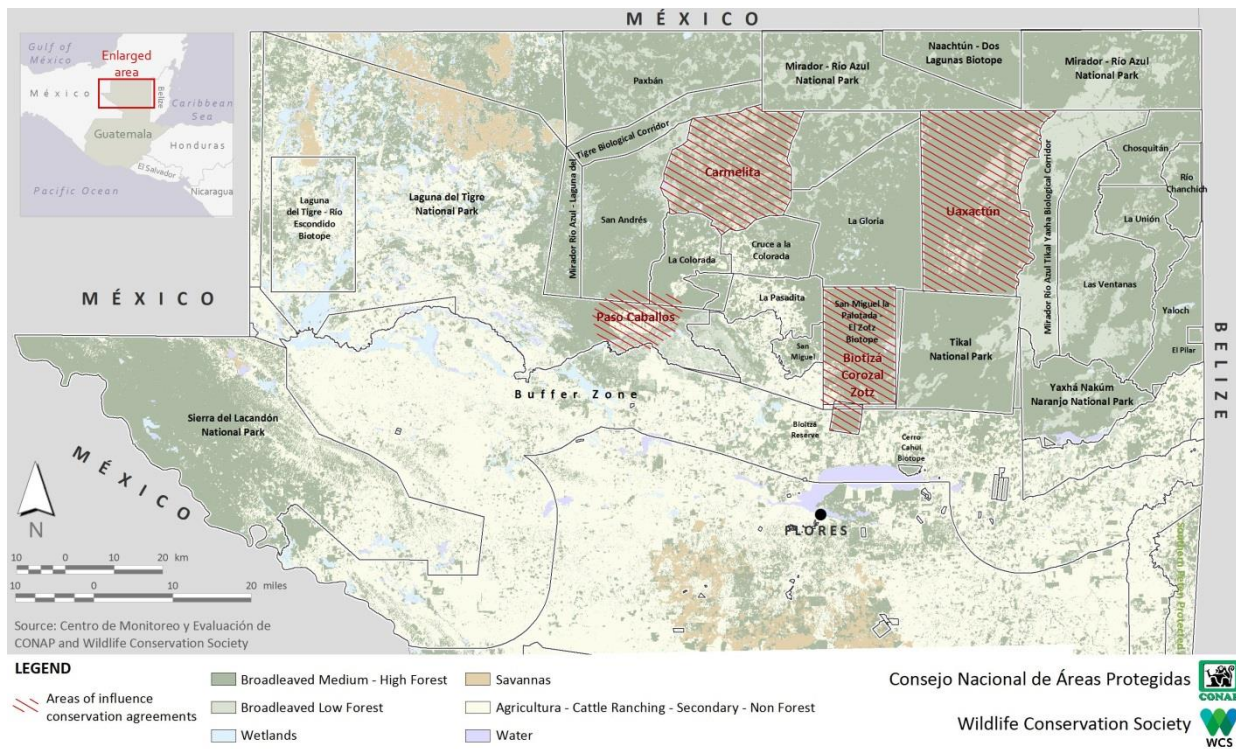
Darwin project information

Project Reference	20-008
Project Title	Evaluating community-based Conservation Agreements in Guatemala's Maya Biosphere Reserve
Host country(ies)	Guatemala
Contract Holder Institution	Wildlife Conservation Society
Partner Institution(s)	Protected Areas Council of Guatemala (CONAP); Asociación Balam; Uaxactún COCODE, Paso Caballos COCODE and Carmelita COCODE; Center for Evaluation and Monitoring of CONAP (CEMEC); Organización, Manejo y Conservación (OMYC); Fundación ProPetén, Center of Conservation Studies/University of San Carlos, Guatemala (CECON/USAC); Asociación Bioitzá; COCODE Corozal; Tikal National Park; Conservation International (CI)
Darwin Grant Value	£ 269,681
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Start/End dates of Project	April 2013 to March 2016
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1 Project Rationale

The Maya Biosphere Reserve (MBR) is Guatemala's largest protected area, located at the heart of the largest contiguous block of forest in Mesoamerica, the Selva Maya of Guatemala, Belize, and Mexico. In line with more than 2000 Biosphere Reserves recognized by the United Nations Educational, Scientific and Cultural Organization (UNESCO), the 2.1 million hectare reserve is designed to support differentiated levels of human impact to safeguard natural and managed ecosystems [and] promote innovative approaches to economic development that are socially and culturally appropriate and environmentally sustainable.

With the assistance of the DARWIN Initiative, the Wildlife Conservation Society (WCS) and national partner organizations implemented four community-based "Conservation Agreements" (see Map above: 1) Bioitzá-Corozal-Zotz; 2) Carmelita; 3) Paso Caballos; and 4) Uaxactún) and evaluated their efficacy at delivering tangible conservation results and improving livelihoods in rural communities.



The MBR spans 19% of Guatemala’s terrestrial surface area. In this massive conservation arena, poverty, landlessness, weak governance systems, and rapid population growth have put increasing pressure on the MBR’s natural resources, spurring deforestation and forest fires that threaten the MBR’s biodiversity, and which also undermine the proven potential for sustainable streams of natural resources commodities and services of vital importance to rural economies. Deforestation and fire are the most severe proximate threats. Indirect threats that spur deforestation and fire include cattle ranching and intensified palm plantations, typically led by elites with political power. Drivers (i.e. underlying factors) include weak governance systems, corruption, poverty, landlessness, rapid human population growth, climate change, and economic globalization.

The MBR is home to approximately 187,000 people; in 2008 60% of the MBR’s population was estimated to live in poverty or extreme poverty, with San Andres, the MBR’s largest municipality, registering a poverty rate of 80%, the national rural norm. In Guatemala, few development organizations focus on the rural poor, choosing instead to maximize impacts by working in peri-urban areas where the majority of the nation’s poor exist. In this regard, one of the (multiple) challenges faced by the project was the need to ensure efficient delivery of projects, typically led by conservation-oriented organizations that yield results in both conservation and poverty alleviation.

The project was funded by DEFRA. However, we set out to reach at 4,000 participants within the four Conservation Agreements, and demonstrate that at least 25% of the beneficiaries demonstrated improved livelihoods through increased access to education, health services, or economic alternatives. In the big picture, one additional challenge related to providing investments in services and economic opportunities that were sustainable, both in terms of institutional viability over the mid-term, as well as in term of environmental sustainability.

The relevance of this project is that on one hand, the fate of the planet’s last wildlands is clearly and inextricably linked to the aspirations of the rural human inhabitants within and around these areas. On the other, conservation literature is replete with examples of failed “sustainable development” initiatives, some of which have even worsened the state of conservation. We thus set out to test Conservation Agreements as a potential, or at least partial, remedy to this conundrum, holding workshops with local partners including community leaders, government representatives, and civil society partners (NGOs) to identify key problems facing each community, and then designing consensus approaches to improve the status quo.

The project was designed to sustain and expand a portfolio of community-based Conservation Agreements implemented in distinct environmental and cultural contexts. We negotiated agreements based in free, prior informed consent, and injected financial incentives into partnering communities through the mechanism of the agreements; all negotiations were undertaken in partnership with established community institutions, the Guatemalan government, represented by the National Council of Protected Areas (CONAP), and diverse civil society partners known locally as “witnesses of honor”. Subsequently, we undertook rigorous, independent and project-led evaluations of the environmental, socioeconomic, and social awareness impacts of the agreements to generate conclusions about the overall impact, the replicability of this approach, and value for money.

Independent evaluation of the environmental impacts (focused on deforestation and fire) was led by the Center for Monitoring and Evaluation of CONAP (CEMEC); independent evaluations were also undertaken regarding the degree of social support for agreements, as well as a final independent technical audit. Project personnel and community assistants gathered most of the socioeconomic data in the villages, using the Basic Necessities Survey methodology to evaluate wellbeing/poverty, augmented to collect additional information on local opinions, educational levels and employment, among other variables.

2 Project Achievements

2.1 Outcome

Outcome:	Community conservation incentives agreements are successfully implemented with four communities of Guatemala’s Maya Biosphere Reserve and impacts are rigorously tested, providing an innovative scalable model for reducing poverty and conserving biodiversity while providing value for money.		Comments (if necessary)
	Baseline	Change by 2016	Source of evidence
Indicator 0.1	4000+residents of four target communities demonstrate increased access to basic necessities, with at least 25% of the target population reporting improved access to education and/or health services and/or locally prioritised development initiatives during the three-year project timeframe.	A total of 3476 residents of five community groups participated in Conservation Agreements (CAs). On average, according to village surveys 48% (SD 11.8%) of households received a direct benefit from the agreements; we estimate a total of 1724 individuals benefitted.	Annex 9.1.2 and 10.2 See: Annex list (electronically submitted) <i>Note: The most widely reported benefit was education (by 34.2% of respondents), followed by institutional strengthening (21.8%), and improved access to health services (11.2%).</i>
			According to Basic Necessities Surveys (BNS) undertaken in 3 of the 4 agreement sites, statistically significant improvements in wellbeing ¹ were registered in each village (Carmelita, Uaxactún, Paso Caballos).

¹ Wellbeing was defined as access to 31 Basic Necessities (goods and services defined with local communities and counterparts); we compared baselines (2009, 2010, and 2012) for specific households to the results of final BNS surveys taken in 2015.

Indicator 0.2	<p>In the four target community sections, at least 50% (900 hectares) of forest cover will be protected that-without intervention-would likely have been deforested, based on the historical average deforestation rate of the 3 years before community agreements.</p> <p><i>Note: the 900 hectares estimate is based upon 3 years of avoided deforestation rates recorded in target communities between 2007-2009: Uaxactún (26 ha/yr), Carmelita (103 ha/yr) and Cruce a la Colorada² (514 ha/yr)</i></p>	<p>Independent analysis by CEMEC revealed a 49.9% decrease in the amount of deforestation in the four agreement areas expected based tendencies three years prior to agreement initiation. Based on these projections, during the entire evaluation period³, a total of 1367 hectares were “saved” from deforestation that would otherwise have been lost during business as usual⁴. The total estimated deforestation reduction during the Darwin project was 908 ha.</p>	<p>Table in Annex 7</p> <p>Annex 9.2.3, 10.2</p> <p>See: Annex list (electronically submitted)</p>	<p>The change of the fourth target community did not require a change in the logframe, as the possibility of another community was noted in the original logframe.</p>
Indicator 0.3	<p>The annual amount of forest degraded by fire in each of the four target community forest management units is reduced by 10% or more as compared to the historical average of 10</p>	<p>Based on fire “hot points” as the most relevant proxies for efficacy in controlling fire, independent analysis by CEMEC reported a 34.9% reduction in the number of hot</p>	<p>See table in Annex 7</p> <p>Annex 9.2.3 and 10.2 in Annex list (electronically submitted)</p>	<p>In regard to “amounts of forest degraded”, CEMEC’s evaluations of fire scars revealed reductions of -10.3%, -94.5%, -61.2% and</p>

² Due to severe governance challenges in the area prior to project initiation, Cruce a la Colorada was not selected as an implementation site; we instead substituted the “block” area of the BioItzá municipal reserve, Corozal village, and the El Zotz Biotope. Delays in identifying this agreement implied that we only accrued one year of implementation in this third agreement, as opposed to the two years originally planned. Greater details are provided in previous annual reports, and in the White Paper.

³ While the Darwin Initiative supported the agreements during the last 3 years, three of the four agreements were implemented for longer periods and for this reason our evaluations focused on changes prior to, and after implementation of the approach. The entire evaluation period consisted of 6 years in Uaxactún, 5 years in Paso Caballos, 4 years in Carmelita, and 1 year in the BioItzá, Corozal, Zotz Biotope block area.

⁴ Land use changes (deforestation) were reduced by 21.6% in Uaxactún, 44.2% in Carmelita, 64.0 % in Paso Caballos, and 27.5% in BioItzá-Corozal-Zotz during the diverse periods of agreement implementation.

	years before community agreements.	points in the four agreement areas ⁵ as compared to the number expected by calculating a 10-year average prior to agreement implementation.		-100% for Uaxactún, Carmelita, Paso Caballos and Bioltzá-Corozal-Zotz respectively ⁶ .
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The Outcome was achieved despite several significant hurdles which were overcome. Four conservation incentives agreements were implemented with five community organizations, and the ecological, socioeconomic, and social awareness impacts of these agreements were rigorously evaluated (see White Paper and technical reports). Independent evaluations were done to generate and verify the majority of the project indicators and a final independent assessment was undertaken.

After project approval, due to significant social conflicts⁷ we opted to avoid developing the fourth agreement in the area originally proposed (Cruce a la Colorada). During subsequent pre-evaluations of alternative areas two potential agreements were rejected (Buen Samaritano, and Yaloch). In the case of Buen Samaritano, an agreement was (again) determined to be unviable due to the presence of powerful ranchers rumoured to have links to organized crime that had usurped community lands. In the case of the Yaloch forest concession, a participatory viability study undertaken with community managers and CONAP initially affirmed the potential for an agreement. But during as negotiations advanced community leaders rejected some clauses of the agreement⁸. The final outcome was the abandonment of negotiations and the subsequent negotiation of the Bioltzá/Corozal/Zotz agreement with the support of ProPeten.

We also faced a challenge with the loss of a committed donor⁹ to the Carmelita Conservation Agreement. Despite this, Asociacion Balam was able to identify and fund the agreement at roughly half force throughout the final two years of the project.

We cite the following evidence: 1) four signed conservation agreements; 2) technical reports detailing the environmental, socioeconomic, and social awareness impacts during agreements; and 3) the White Paper produced by WCS and project partners analysing the impacts obtained, and providing recommendations for future implementers, including numerous angles assessing aspects of the value for money of agreements, 4) despite reaching only 3476 of 4000 intended beneficiaries (86.9%), according to rural village inhabitants at least 1724 of these received direct tangible benefits leading to improved wellbeing, considerably above the original goal of 1000; 5) statistically significant improvements in household wellbeing using the Basic Necessities Survey methodology in the villages of Carmelita, Paso Caballos and Uaxactún; 6)

⁵ According to CEMEC, MODIS hot points (active fires) declined by 71.2%, 47.4%, and 20.9%, for Carmelita, Bioltzá-Corozal-Zotz, and Paso Caballos respectively. In Uaxactún, a 71.4% increase was registered, but the small number of hot points (nearly all in permitted agricultural areas) did not imply greater forest impacts, nor neutralize the gains in fire management in other agreement areas.

⁶ These reductions led to an estimate of 1,548.2 hectares saved from fire that would otherwise have been affected in the four areas with business as usual during the entire period of agreement implementation.

⁷ CONAP personnel had been threatened after attempts to recuperate land from extremely powerful illegal ranchers in the Cruce a la Colorada area. The powerful ranchers were also rumoured to be intimidating village inhabitants and leaders, leading to an environment where the incentive was unlikely to make headway, and potentially placing project personnel at risk.

⁸ Concession leaders rejected several clauses (for example, the requirement to use a CONAP-sanctioned form for reporting effort and threats encountered during patrols). They also expressed concern that CONAP would use the agreement to monitor the concession more closely and intervene (i.e. “interfere”) in concession management.

⁹ PACUNAM (Foundation for Maya Cultural and Natural Patrimony) had provided a letter of support to the proposal, and verbally declared intent to continue their financial support for the Carmelita agreement. After a change in management, they subsequently abandoned community-based initiatives, returning to their principle projects focused on archaeological research and restoration.

deforestation reduced by 49.9%, leading to an estimate of 1367 hectares saved from deforestation during the full implementation period of agreements, and 908 hectares saved during the 3-year Darwin project lifespan; and 7) fire hot points reduced by 34.9% among all conservation agreements; and according to CEMEC based on previous fire scars a total of 1,148 hectares were saved from fire during the 3-year Darwin project lifespan.

Despite the aforementioned challenges, we believe we did fully achieve the project Outcome as originally stated, generating a vast amount of data, learning important lessons, and raising awareness about the Darwin Initiative among project partners and local communities in Guatemala.

According to the external independent project evaluation (audit) undertaken during the last 6 months of the project: *“This evaluation considers that the project reached an overall success in its goals and objectives, since it helped improve the relations in Corozal and Paso Caballos with their main partner, CONAP, strengthened the relations and institutional presence of the administrator entity in its efforts to recover the governability in these communities as well as to strengthen the institutional presence in the ZUM. The participation of CONAP was determinant in the development of the project, that also consolidated the local civil organizations and showed to the local, national and global community that it’s possible to involve responsibly the communities to [consolidate] efforts in favor of the biodiversity defence and the accomplishment of well-being in the communities that inhabit protected areas strategically important as the MBR, contributing to maintaining after 26 years, the 69% tropical forest cover of the reserve. It is obvious that without the contributions of the Conservation Agreements project this would have not been possible, and the tropical forest cover of the MBR would be no doubt seriously decreased.”* (Page 7/External evaluation; Annex 9.3.3).

2.2 Impact: achievement of positive impact on biodiversity and poverty alleviation

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

Rigorous evaluations revealed significant potential of Conservation Agreements (CA) as a transparent delivery mechanism for international financial assistance (and other types of investments) focused on the simultaneous goals of conserving environmental integrity and ensuring improved quality of life for inhabitants of wildlands frontiers. Evidence for this includes indicators detailed in section 2.1 (Outcome). That said, significant advances were also made in terms of raising awareness about the CA methodology, including 1) adoption of the Carmelita Conservation Agreement as the starting point of the GuateCarbon REDD+ project (Annex 11.4.2); 2) broad awareness of, and support for CAs among community participants and civil society and governmental partners (Annex 9.4); and 3) Incorporation of CAs within CONAP’s new Human Settlement policy as a potential tool for engagement of communities living in and around protected areas (Annex 11.4.1). These advances towards improving forest management by communities in the Maya Biosphere Reserve set the stage for the future expansion of Conservation Agreements across the reserve and the entire Guatemalan Protected Areas System.

Significant improvements in access to basic necessities were reported among 178 households surveyed within three partnering communities ($P=3.77E-12$); on average, local households increased their access to basic necessities by 5.9% (Annex 10.2 page 33). Notable improvements included improved access to education in all participating communities, delivery of women’s health services in Paso Caballos, and increased income from improved sustainability of xate management, among numerous others. For greater detail please see Case Studies located within the White Paper.

2.3 Outputs

Output 1:	Four community agreements in four sections of Guatemala's Maya Biosphere Reserve		
	Baseline	Change recorded by 2016	Source of evidence
Indicator 1.1	Three existing conservation agreements signed and maintained valid through 2015 (in communities of Carmelita, Uaxactún and Paso Caballos)	The Uaxactún and Paso Caballos agreements were maintained in full during the grant period. Following the unexpected loss of a donor, the Carmelita agreement was maintained throughout the grant period at half force by Asociación Balam.	Annex 8; 8.1.1 9.3; 10.2, In Annex 8.1.1 see Balam agreements
Indicator 1.2 etc	One new conservation agreement developed signed and implemented by 2014 with Cruce a la Colorada (or another community based on feedback from CONAP) and maintained through 2015.	In late 2014, a fourth agreement was signed with the Asociación Bioltzá, the agrarian community of Corozal, and the El Zotz Biotope (CECON), led by the Guatemalan NGO ProPetén ¹⁰ .	Annex 8.2; 8.3; 9.3; 10.2
Output 2:	Report on the impacts of community conservation agreements synthesizing experiences in the distinct community contexts, evaluating biodiversity and poverty reduction impacts, and demonstrating value for money		
Indicator 2.1	Annual measurements taken of socioeconomic indices, deforestation and forest fires in community-managed forests where agreements are implemented.	Baselines were established and annual measurements of deforestation and fire were undertaken by CEMEC in all areas. Socioeconomic information was gathered two times during the project lifespan, with the exception of the final Bioltzá-Corozal-Zotz agreement, where one	Annex 9.1; 9.2; 9.3, 10.2.

¹⁰ Note: Cruce a la Colorada was discounted in early 2013 due to a high level of conflict in the area. Partners subsequently evaluated the village of Buen Samaritano, in Laguna del Tigre National Park; results of the formal feasibility study were negative due to the strong influence of "narco-ranchers" over the village. Under the guidance of CONAP, a second feasibility study was developed for the Yaloch community Forest concession; results were positive but the agreement did not proceed due to the lack of consensus on the terms of the community commitments.

		measurement was taken ¹¹ .	
Indicator 2.2	Independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation and biodiversity conservation conducted in year 3 (2015)	Completed by Dr. Bayron Milian.	Annex 9.3.2 (report in Spanish) and 9.3.3 (report in English)
Output 3:	Synthetic outreach materials to disseminate lessons learned, each uniquely targeted toward a different audience.		
Indicator 3.1	A total of 12 meetings (in four communities annually for 3 years) held to present and discuss results achieved and challenges of conservation agreements (including initial consultation in community N.4) by 2015	Completed. Aside from a number of informal and spontaneous meetings, 14 formal meetings were held in the communities to consult about agreements and coordinate agreement implementation, as well as provide feedback.	Annex 10.1
Indicator 3.2	White paper on conservation agreements, impacts and lessons learned shared with all governmental institutions and NGOs working in and impacting the MBR, and more widely through social networks, websites and through partner institutions networks in 2015	Completed. A comprehensive White paper was developed with implementing partners providing detailed analysis of results and recommendations for institutions interested in conservation agreements. The White paper will be presented locally at conferences, and made available via the WCS website.	Annex 10.2
Indicator 3.3	One paper on conservation agreements submitted for publication in a	Not completed, in process.	

¹¹ Note: in our opinion it was not possible to evaluate socioeconomic impact in the fourth agreement due to its limited implementation (12 months). The evaluation of socioeconomic impacts was thus based on the Carmelita, Paso Caballos, and Uaxactún agreements.

	peer-reviewed journal in 2015.		
Output 4:	Policy recommendations including analysis of opportunities for, and limitations to the replication of conservation agreements across the MBR and the Guatemala protected areas system.		
Indicator 4.1	By 2015, a participatory policy statement developed with CONAP on the feasibility of replication conservation agreements across the MBR and throughout the Guatemalan System of Protected Areas.	Completed. Two workshops were held with CONAP leaders to raise awareness about agreements. An independent consultant also interviewed MBR stakeholders about agreements and their viability as a formal Conservation approach in Guatemala, yielding positive feedback.	Annex 11.1, 11.2, and 11.4.2 Annex 9.4
Indicator 4.2	Three proposals submitted by 2015 to support the financial sustainability of the implementation of four conservation agreements, post-Darwin Initiative funding, and as a temporary measure to ensure the sustainability of initiatives while permanent financial mechanisms are developed.	Completed	Annex 11.3
Indicator 4.3	Policy recommendations incorporated by 2015 within the CONAP policy on conservation incentives in the MBR as a pilot policy for the Guatemalan System of Protected Areas.	Completed: CONAP has updated their policy relating to human settlements in protected areas, and has included recommendations regarding Conservation Agreements. The final document is pending approval of CONAP's Honorable Consejo.	Annex 11.4.1, pages 39 to 41 Annex 11.4.2 pages 69 to 71 Annex 10.2 section Conclusions and recommendations. Pages 99 to 103

Please see Table 2.3 detailing outputs. We set forth four outputs, all of which were completed. The verifiers are listed accordingly in Table 2.3.

The project identified six assumptions in the original logframe. We summarize the disruptive potential of each element as follows: 1) Weakened market demand for forest products; 2) El Niño droughts leading to massive fire events; 3) Community disinterest; 4) CONAP disinterest in an agreement with Cruce a la Colorada or another community; 5) Crop failure, and 6) Government disinterest in the Maya Biosphere.

The project did effectively anticipate the complexity of developing an agreement with Cruce a la Colorada, and responded as intended by developing an alternative agreement. We did not anticipate however, the time required to finally sign the fourth agreement as detailed previously. This led to delays in project implementation, but we did finally initiate the Bioltzá-Corozal-Zotz agreement with the assistance of ProPeten. It is also worth noting that as of this report, this fourth agreement has received funding for another year of implementation, assuring its persistence beyond the Darwin grant. (Annex 11.3.1)

We did not however, anticipate the need to encounter funding for the Carmelita agreement which resulted from the change in funding focus of the PACUNAM Foundation. With the assistance of Asociación Balam, approximately \$20,000 of funding was invested per year in Carmelita to maintain key activities of the agreement (control and vigilance, fire prevention, education). At the end, this unforeseen problem allowed us to evaluate the degree of impact on local enthusiasm and the sustainability of planned outputs when funding is reduced. (Annex 11.1.1)

3 Project Partnerships

Partnerships in the project were voluntary and formally sanctioned within the written agreements. As described in the White Paper, partners participated throughout the entire process of agreement consultation, design, implementation, and evaluation. Particularly important roles were played by partnering community organizations (as lead implementers), and CONAP as the governmental institution with legal mandate in the MBR. Asociación Balam and ProPeten also played key roles as leading “accompanying NGOs”; “witness of honor” organizations also participated within all design and evaluation stages.

Whereas this final report was produced by WCS, project partners collaborated over an eight-month period to develop the aforementioned White Paper, with authorship ascribed to all partners. Lessons learned are detailed in the Discussion and Conclusions of the White Paper. All four agreements continue in force and WCS continues to provide technical accompaniment and assistance with fund raising to our project partners; we are confident that these partnerships will continue.

According to the final external evaluation: *“Improving inter-institutional cooperation: The Conservation Agreements project in the MBR catalyzed the development of very productive cooperation relations between different government institutions and local communities represented through their COCODE and concessionary groups, which have remained stable throughout the execution of the project. Participating community organizations through their officials achieved a steady and effective leadership aimed at reaching the commitments made in the agreements of conservation, which not only gained them credibility and respect from its constituent members, but also provided tangible direct benefits to them. This showed that it is possible to work hand in hand with CONAP to achieve governance in the MBR under human and environmental standards all this with the support of Conservation Agreements”* (Pag.11/External Evaluation, Annex 9.3.3).

4 Contribution to Darwin Initiative Programme Outputs

4.1 Contribution to SDGs

No poverty: Agreements promoted an integrated approach to addressing poverty, propelling increased demand side attention to governmental investment in health, education, and infrastructure, while also attending the issue of environmental sustainability to ensure future generations would have a sound natural resource base in the future.

Quality education: Education was the most valued impact of agreements by community beneficiaries of agreements, cited by 34.2% of respondents. Agreement investments were repeatedly directed by local communities towards education as their top priority. A school was

built in Paso Caballos, and teachers and educational inputs supported in all the other agreements.

Decent work and economic growth: Agreements provided limited income to some beneficiaries, and also provided a financial incentive to xate collectors in Uaxactún as an innovative method to distribute agreement benefits widely among the village's most needy inhabitants. They also helped reforest xate populations in Carmelita and Uaxactún, helping to ensure that future harvests would remain economically and ecologically viable.

Sustainable cities and communities: Land tenure and/or increased security of usufruct rights was increased through improved compliance with contracts and "agreements of intent" previously signed between the communities and the Guatemalan government. Due to the results obtained, all communities are now more likely to persist within the protected area with an acceptable level of ecological impacts.

Partnerships: Agreements were founded upon the concepts of partnership and prior informed consent; agreements were designed with community representatives and other local stakeholders, subsequently requiring approval of agreements within community general assemblies. Guatemalan government participation played a significant role in strengthening agreements throughout, and the incorporation of "witnesses of honor" ensured that other NGOs and stakeholders active in the area were taken into consideration as allies.

4.2 Project support to the Conventions or Treaties (CBD, CMS, CITES, Nagoya Protocol, ITPGRFA)

Darwin Initiative support provided direct contributions to the Convention on Biological Diversity (CBD), and the advancing completion of Aichi Targets in Guatemala.

CBD: project results assisted in helping Guatemala comply with the National Policy on Biological Diversity (Governmental Accord 220-2011) and the associated National Strategy for Biodiversity and the associated Action Plan¹². Some highlights included:

- Conservation and restoration of biological diversity: Through the prevention of deforestation and habitat loss in agreement areas, the prevention of fire and forest degradation, and the in situ conservation of vulnerable species including scarlet macaws, jaguar, Baird's tapir, white-lipped peccary, and Central American river turtle;
- Sustainable use of biological diversity and ecosystem services: Through participatory planning, agricultural zoning, watershed conservation, increasing the sustainability of xate palm frond harvests by reducing harvesting impacts, and improving sustainability of timber management by protecting regenerating seedlings from fire;
- Biological diversity in the mitigation and adaptation of climate change: Through improved fire management regimes (use of Early Warning System for Fire or "SATIF"¹³) to ensure agricultural subsistence of farmers without degrading forests and biodiversity through uncontrolled fires.

Aichi Targets: Specific advances included:

- Aichi Target 3: Conserving forest carbon stocks via incentives that strengthen conservation and sustainable use of biodiversity;
- Aichi Target 5: Reducing loss of natural habitats (forests), degradation and fragmentation;
- Aichi Target 7: Strengthening agricultural management to ensure the conservation of biodiversity (for example, in Carmelita, Paso Caballos, and Uaxactún);
- Aichi Target 12: Maintaining relevance of traditional knowledge of local communities that contributes to sustainable use (via xate and diversified forest management, and the incorporation of the Council of Elders in agreement design in the Q'eqchí village of Paso Caballos);

¹² http://www.conap.gob.gt/phocadownload/Centro_Documentacion/diversidad_biolologica/pndb-endb-2010-22.pdf

¹³ *Sistema de Alerta Temprana de Incendios Forestales:* a community-based system to warn of the risk of fire spreading out of control using green, yellow, and red flags.

- Aichi Target 14: Collaborating with the management of key biodiverse areas and their ability to generate ecosystem services that improve local livelihoods, including women, indigenous populations, and vulnerable rural and poor inhabitants of biodiverse areas.

4.3 Project support to poverty alleviation

Our project was funded by DEFRA, yet we consider agreements provided played a key role in catalyzing collective action to improve wellbeing and reduce poverty. Full details are reported in the White Paper (Annex 10.2), including changes in sources of income, education levels, and wellbeing as evaluated by the Basic Necessities Survey method employed.

Though complex to quantify and ascribe causality, in all agreements project personnel and community counterparts suggested that “*indirect benefits accrued to the entire target population of each site. The most common indirect benefit was an enhanced sense of security among participants regarding their rights to land and/or usufruct of natural resources, particularly in the village of Paso Caballos*¹⁴. Members of Carmelita and Uaxactún manifested increased confidence that their community forest concession contracts would be renewed as a result of positive engagement with CONAP facilitated by the agreements. Additional indirect benefits included: 1) Uaxactún: recuperation of OMYC’s financial solvency¹⁵ and confidence in the community forest concession among village inhabitants; 2) Paso Caballos: the recuperation of a supportive working relationship with CONAP; 3) Carmelita: the inclusion of the Carmelita agreement as the initial field activity of a large scale reduced emission from deforestation and degradation project (REDD+) entitled “GuateCarbon”; and 4) Bioltzá/Corozal: strengthening of the multi-stakeholder collaboration between Corozal village, the Bioltzá Association, CECON, and Tikal National Park led by ProPetén”. These included the (generally more isolated and vulnerable) Q’eqchí Maya communities of Paso Caballos and Corozal, as well as women (who are addressed in 4.4).

4.4 Gender equality

Project leadership included three women: the Technical Director of the project (Miriam Castillo), the lead field technician in the Q’eqchí village of Paso Caballos (America Rodriguez), and the lead technician supporting the community of Corozal on behalf of ProPetén (Anita Castellanos).

Project leaders attempted to cultivate gender participation throughout, leading by example and through the use of “soft approaches” as described in the section in gender within the White Paper. Project monitoring included the percentage of female participation within community leadership positions (see Table 10, White Paper), as well as the number of female beneficiaries of specific agreement investments, particularly in Uaxactún (see Appendix 4, White Paper, Annex 10.2, Annex 10.3.3). Notable impacts focused specifically on women include the leveraged increase in wages for female xate harvesters obtained in Uaxactún as a result of the xate incentive paid to (generally male) xate collectors, and the initiation of a program on female reproductive health in the Q’eqchí village of Paso Caballos (see Case Study No. 3, White Paper and Annex 10.3.3).

4.5 Programme indicators

Conservation Agreements by definition depended upon reinforcing the status of rural inhabitants living with or adjacent to biodiverse areas, and ensuring their usufruct rights and standing to manage nature based on established guidelines.

¹⁴ In 2007, select families in Paso Caballos supported an organized movement to illegally occupy land in Laguna del Tigre National Park adjacent to the village. Approximately 80 families were forcefully evicted in 2008, leading to a deteriorated relationship between CONAP personnel and Paso Caballos.

¹⁵ Prior to initiating implementation of the Conservation Agreement in Uaxactún, OMYC was saddled with a Q. 2.3 million debt, and nearing bankruptcy. One of the specific stipulations of the agreement called for improved financial management and transparency in financial reporting to OMYC’s general assembly. CONAP and WCS also joined forces with OMYC to finance a professional financial manager as a key clause of the agreement. At the mid-point of the third year of the agreement, the debt had been totally repaid, and to date OMYC remains free of any significant debt.

No management plans for biodiversity were developed. Conservation Agreements did however set clear benchmarks designed to reduce environmental impacts.

Household wellbeing increased by an average of 5.6% using 31 indicators of basic necessities among the three communities surveyed. We did not survey household income directly. (Please see Annex 10.2 for a complete discussion of socioeconomic impacts obtained, and/or Annex 9.1.2)

4.6 Transfer of knowledge

The project did not result in any formal qualifications. However, according to the external evaluation, the project yielded impacts by *“encouraging learning and divulgation for the conservation of the MBR. The continuous learning of community groups in the implementation of this project is as important as the divulgation thereof. The education component implemented in the participating communities, improved the perception of the local population towards the MBR and its resources. Disclosure reports were drawn up periodically and achieved its mission, and consensus with the communities was consolidating basis of the operating Conservation Agreements, managing to promote a comprehensive understanding of the commitments and obligations undertaken by the participating communities”* (P.12/Annex 9.3.3).

4.7 Capacity building

As previously reported, project outputs and lessons learned were shared at multiple events and through 2 national and 2 international conferences. Miriam Castillo and Julio Zetina (both WCS staff) participated in Chengdu, China, both Guatemalan citizens (Annex 10.3.5; Annex 10.3.7 and see: <https://sites.google.com/a/conservation.org/csp-learning-network-meeting/>). Miriam Castillo also presented the agreement methodology and results to date to CONAP’s leadership body (the Honorable Council) and CONAP’s lead representative before the CBD, subsequently obtaining support for the inclusion of agreements within the national policy for human settlements in protected areas (Annexes 10.3.4 and 11.4.1).

In 2014, Roan Balas McNab presented agreements, results, and lessons learned to two large audiences in New York (WCS headquarters) and Washington DC (Conservation International headquarters); (Annex 10.3.7). Finally we expect the White Paper to help transfer knowledge and shape conservation and development practice in the future.

4.8 Sustainability and Legacy

We believe that the vast majority of project achievements will be sustained; some high profile achievements likely to endure include: 1) OMYC is likely to maintain solvency far into the future, avoiding the pitfall of massive debt since they have adopted a formal financial manager as the result of the agreement, and now also pay for 70% of the cost of this position; 2) Improved capacity and organization to respond to fire is now ingrained in the participating communities; 3) Tangible education infrastructure, including the new school in Paso Caballos will continue to house students and leverage additional investment by the Ministry of Education.

Sustainability will also be enhanced by three advances: 1) the adoption of agreements as an official approach in the new policy for human settlements in protected areas; 2) the White Paper assessing impacts study will be disseminated and hopefully, will contribute to conservation policy debates in the country and beyond, and 3) WCS and partners will continue to seek and additional funding to sustain the approach and maintain experienced staff able to contribute to new partnerships and agreements.

Key legacies of the Darwin project are likely to be 1) the recuperation of the solvency of the Uaxactun forest concession; 2) the positive relationship established between CONAP and Paso Caballos, CONAP’s only truly positive engagement with any of the 37 communities in Laguna del Tigre National Park, and 3) the consolidation and documentation of Conservation Agreements a viable model for implementing Payments for Ecological Services (i.e. REDD+) and other donor funding designed to promote a win-win for rural people and nature alike.

5 Lessons learned

Project management structure was sleek, with one person leading financial administration, one providing technical oversight of the four agreements, and field technicians leading implementation at each site. We believe that a key lesson learned was that permanent accompaniment by a dedicated technician helped rural communities add value to the project through leveraging and obtain impacts. The project was planned based on a deep understanding of the challenges facing the MBR, including a number of participatory threats analyses previously undertaken by WCS, as well as diagnoses of governance challenges undertaken during a DFID-funded Governance and Transparency Fund project. Project interventions were also co-designed with community and CONAP leaders. We believe that this as well led to increased impacts. A substantial list of lessons learned regarding the strengths and limitations of Conservation Agreements are presented in the White Paper, including recommendations to donors.

5.1 Monitoring and evaluation

No modification of the project logframe occurred during the three-year period. That said, the M&E system and annual reporting was helpful to both keep WCS project leaders on track, and to raise awareness about and track project benchmarks (outcome, outputs, activities) with partners. Put simply, donor formality helped us cultivate formality with national partners. In regard to external evaluations, we note: 1) an independent consultant hired to undertake the final socioeconomic study in Carmelita village; 2) an independent consultant hired to survey project partners and other institutions regarding their awareness of, and opinions about agreements (Annex 9.1.3); and 3) an independent consultant hired to perform an external programmatic audit or review during the final six months of the project (Annex 9.3.1). We footnote here¹⁶ some of the specific findings of the consultancy.

Additional recommendations include our conclusion related to socioeconomic monitoring; we considered regular monitoring of household or individual financial income to be extremely intrusive and potentially inaccurate. Instead, we used Basic Necessities Surveys (BNS) periodically (once every 2 years) as an indirect and more tangible method to evaluate socioeconomic trends.

5.2 Actions taken in response to annual report reviews

In the first set of feedback (May 2014) we received suggestions on five points¹⁷, and all were addressed by the final annual report submitted last year. In feedback from Darwin provided June, 2015, two issues were highlighted: 1) poor visibility of the Darwin identity; and 2)

¹⁶**Co-responsibility and commitment:** *The Conservation Agreements have differences with most projects structure as they focus on coordinating activities with communities and creating space for cooperation, learning and joint action in a joint way within the community territories. This is an innovative element that should be highlighted, since the agreements are built together with the community, also giving the government participation. In this regard the agreements are based on cooperation and internal consensus of the community assemblies with state institutions (P.25/External Evaluation).*

Community commitment: *An important lesson learned in the implementation of this project is that communities are able to take direct responsibility and coordinate with CONAP, NGOs and other organizations, work, take risks and strive when material resources and tangible benefits for their communities, and also have resources promptly and effectively. This fades the idea that communities are reluctant to make commitments or simply do not want to resume their contracts or work and renew confidence in the possibilities of community forest management and conservation of protected areas (P.26/External Evaluation).*

Institutional leadership: *Much of the impact of the project was due to the leadership of CONAP, who responded positively to the initiatives and actions coordinated by the implementing partners. In this sense the alignment of proactive and committed to MBR inter-action actors enabled the project successfully (P.25/External Evaluation).*

¹⁷ Points included: 1) a plan for dissemination of project results; 2) cost of a new feasibility study; 3) half-year updates; 4) clarity on how to engage youth and marginalized populations; and 5) filling in the logframe.

recommendation that the planned “study” (i.e. White Paper, Annex 10.2) consider the “multi-dimensional aspects of poverty”, and that gender disaggregated information be included. In both cases, we made a concerted effort to respond, including local partners in all discussions about these improvements. Final results are available in the White Paper and at the following websites: www.wcsguatemala.org; www.asociacionbalam.org.gt, www.propeten.org.

6 Darwin identity

Numerous outreach events were held with local institutions to raise awareness about Conservation Agreement approach and the support provided by the Darwin Initiative. This included considerable mention of the UK and Darwin in participating rural communities, to the point where community members became extremely familiar with both the name and the Darwin identity. Also, during the first year of implementation UK Ambassador in Guatemala, Mrs. Sarah Dickson made a visit to Peten to meet with project partners, and subsequently wrote a blog about the project on her official page. The following year, in August 2013, she returned to visit project field site of Uaxactun village, participating in the formal signing ceremony of the Uaxactun Conservation Agreement alongside the President of Guatemala, Otto Perez Molina (Annex 10.3.6). Project partners were also urged to use the Darwin logo in all reports and presentations to increase awareness of the brand across Guatemala. Finally, WCS and partner institutions have expanded our websites to distribute the White Paper summarizing the impacts obtained and lessons learned, and added additional information such as project “bulletins” and case studies of individual community agreements, all of which publicize the Darwin identity (Annex 10.3). Our project has not employed Twitter/Flickr/Blogs or You Tube.

Local familiarity with the Darwin identity went hand in hand with greater recognition of the UK’s role in Guatemala. In 2015, Mr. Thomas Carter, the new UK Ambassador in Guatemala, also paid a visit to Peten, and Darwin (and IWT) project partners had an opportunity to have breakfast with the Ambassador and thank him for UK’s support. During both ambassadorial visits, extensive local press coverage was obtained, with TV and radio stations interviewing both ambassadors who provided clarification of the UK’s role in Guatemala and in the Maya Biosphere Reserve. (Annex 10.3.6 includes a bulletin of the last visit of Mr. Thomas Carter)

Additional awareness of UK’s contributions was obtained as result of the project outreach plan developed during Year 2 of the project (Annex 10.3.5), leading to ten presentations to key stakeholders (i.e. government institutions, donors, and civil society organizations). The Darwin identity was also publicized at international conferences within presentations by WCS personnel, including at Chengdu, China (2016), New York, and Washington DC (2014).

The Darwin Initiative was the principal donor of the Conservation Agreements, and was recognized as such despite some leveraging throughout the three years of implementation. Subcontracts and donations provided included clear reference to Darwin as the source and required public recognition of such. During the last year of funding, a grant was obtained from Conservation International to sustain the agreements, and to assist with the development of the White Paper.

7 Finance and administration

7.1 Project expenditure

Project spend (indicative) since last annual report	2015/16 Grant (£)	2015/16 Total actual Darwin Costs (£)	Variance %	Comments (please explain significant variances)
Staff costs (see below)			-3%	
Consultancy costs			2%	
Overhead Costs			-1%	
Travel and subsistence			-6%	
Operating Costs			1%	
Capital items (see below)			0%	
Others (see below)			3%	
TOTAL	111,185	110,952.82		

Staff employed (Name and position)	Cost (£)
Julio Zetina, WCS Uaxactún Coordinator	
América Rodríguez, WCS Paso Caballos Coordinator	
Miriam Castillo, WCS Incentive Program Coordinator	
TOTAL	18,841.33

Capital items – description	Capital items – cost (£)
TOTAL	

Other items – description	Other items – cost (£)
Camera include GoPro Accessory kits	1
FedEx paquete 10 lb,4.5kg a Portland	
Corel Draw Suite x7 DVD	
Canon LP-E12, Battery Pack	
Lens Band lens Band one size fits all	
Tiffen lens cleaning paner (50 sheets)	493.70
HP 83 light cyan UV SDXC-VHS-1	17.43
Sandisk 64 GB Ultra SDXC-VHS-1	65.35
GoPro Battery Bac Pac	97.60
Tintas papel p/ploter	
Encomienda Victor Hugo Ramos	2.62
Imágenes satelitales RapidEye de archivo en nivel 3 ^a	3.48
Bank fees por pago de imágenes CEMEC	6.60
Garmin battery pack for virb x,XE Garmin Virb XE,1DxD optics	

proElite+ 1 film pack Elite+ 1viewpoint+discount (reemb.sum.p.oficina CEMEC) Revisión impresora HP de CEMEC Mantenimiento Cámara Nikon/CEMEC 2 Rollos de papel p/ploter, 4 resmas papel bond, 5 pares de baterías. CD (sum.de oficina p/CEMEC) Envío impresora HP CEMEC Envío factura reparación cámara CEMEC FedEx envío reporte final	
TOTAL	1,659.60

7.2 Additional funds or in-kind contributions secured

Source of funding for project lifetime	Total (£)
PACUNAM	
Conservation International	
USAID (Biological Monitoring)	
WCS (direct support to Uaxactún)	
BALAM (direct support to Carmelita)	
TOTAL	158,869

Source of funding for additional work after project lifetime	Total (£)
Conservation International	
TOTAL	160,106

7.3 Value for Money

Perhaps the first consideration in evaluating value for money is the degree of impact obtained, and in this regard we are extremely proud of the project; notable returns were obtained by Darwin's investment for nature and local people alike. We can then proceed to an evaluation of the cost of the return. In this regard, the White Paper concluded that *"considerable value for money was obtained through the implementation of agreements. Annual costs of Conservation Agreement investments spanned between \$0.62 and \$4.47 per hectare; on a per capita basis, annual agreement investments ranged from \$28.81 to \$181.40. In both cases these ranges include protection benefits and social investments, as well as technical assistance and additional funding provided by partnering institutions. However, value for money was also delivered through the long-term nature of agreements and the strengthening of local partners to enhance the staying power of agreement interventions. Investments responded to local needs, thereby helping to promote community "ownership" of the approaches developed, as demonstrated by the broad endorsement of agreements within participating communities. It is also important to note the positioning of agreements among State institutions such as CONAP, and the adoption of the Carmelita agreement as the first community-based pre-investment of the GuateCarbon REDD+ project."* (Discussion/White Paper).

Finally, by the project's end we believe we also addressed the main weakness identified during the project's implementation, increasing awareness in Peten and nationally about the UK's support to Guatemala and about the Darwin Initiative per se.

Annex 1 Project's original (or most recently approved) logframe, including indicators, means of verification and assumptions.

Note: Insert your full logframe. If your logframe was changed since your Stage 2 application and was approved by a Change Request the newest approved version should be inserted here, otherwise insert the Stage 2 logframe.

Project summary	Measurable Indicators	Means of verification	Important Assumptions
<p>Impact: Community conservation incentives agreements are successfully implemented in community-managed forest across the entire Guatemalan Protected Areas System, leading to a significant reduction in deforestation and forest fires, and improved basic necessities and quality of life for the people in and around protected areas in Guatemala.</p>			
<p>Outcome: Community conservation incentives agreements are successfully implemented with four communities of Guatemala's Maya Biosphere Reserve and impacts are rigorously tested, providing and innovative scalable model for reducing poverty and conserving biodiversity while providing value for money.</p>			
<p>Outputs: 1. Four community agreements in four sections of Guatemala's Maya Biosphere Reserve.</p>	<p>1.1 Three existing conservation agreements signed and maintained valid through 2015 (in communities of Carmelita, Uaxactún, and Paso Caballos). 1.2 One new conservation agreement developed, signed and implemented by 2014 with Cruce a la Colorada (or another community based on feedback from CONAP) and maintained through 2015.</p>	<p>1.1 Signed conservation agreements, photos, annual reports, final external report, meeting minutes. 1.2. Signed conservation agreement, photos, annual reports, final external report, meeting minutes.</p>	<ol style="list-style-type: none"> 1. Institutional support and legal framework remain favourable to the implementation of community conservation agreements, including the persistence of CONAP as the lead governmental entity in regard to the MBR. 2. Communities are able to reach consensus and maintain an adequate amount of cohesion regarding their participation in community agreements. 3. External factors do not significantly change the socioeconomic or ecological context in a manner that confounds the attribution of impacts to conservation agreements (e.g. El Niño impacts on forest fires) 4. After election year, in 2016, CONAP authorities will be willing to support Community Incentives and particularly conservation agreements in Petén

<p>2. Report on the impacts of community conservation agreements synthesizing experiences in the distinct community contexts, evaluating biodiversity and poverty reduction impacts, and demonstrating value for money</p>	<p>2.1 Annual measurements taken of socioeconomic indices, deforestation and forest fires in community-managed forests where agreements area implemented.</p> <p>2.2 Independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation conducted in Year 3 (2015).</p>	<p>2.1 Annual reports including results of Basic Necessities Surveys, and remote sensing results.</p> <p>2.2 Final external report.</p>	
<p>3. Synthetic outreach materials to disseminate lessons learned, each uniquely targeted toward a different audience.</p>	<p>3.1 A total of 12 meetings (in 4 communities annually for 3 years) held to present and discuss results achieved, and challenges of conservation agreements (including initial consultations in community 4) by 2015.</p> <p>3.2 White paper on conservation agreements, impacts and lessons learned shared with all governmental institutions and NGOs working in and impacting the MBR, and more widely through social networks, websites, and through partner institution networks in 2015.</p> <p>3.3 One paper on conservation agreements submitted for publications in a peer-reviewed journal in 2015.</p>	<p>3.1 Meeting reports, photos, annual reports.</p> <p>3.2 Informational materials produced, list of institutions reached.</p> <p>3.3. Article draft, message for peer-reviewed journal acknowledging article submission.</p>	
<p>4. Policy recommendations including analysis of opportunities for, and limitations to the replication of conservation agreements across the MBR and the Guatemala protected areas system</p>	<p>4.1 By 2015, a participatory policy statement developed with CONAP on the feasibility of replicating conservation agreements across the MBR and throughout the Guatemalan System of Protected Areas</p> <p>4.2 Three proposals submitted by 2015 to support the financial sustainability of the implementation of four conservation</p>	<p>4.1 Report on the feasibility of replicating conservation agreements, meeting minutes, list of meeting participants, photos.</p> <p>4.2 Three proposals submitted, notices</p>	

	<p>agreements, post-Darwin Initiative funding, as a temporary measure to ensure the sustainability of initiatives while permanent financial mechanisms area developed.</p> <p>4.3 Policy recommendations incorporated by 2015 within the CONAP policy on conservation incentives in the MBR as a pilot policy for the Guatemalan System of Protected Areas.</p>	<p>of funding support from donors.</p> <p>4.3 Report on policy recommendations.</p>	
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Activities (each activity is numbered according to the output that it will contribute towards, for example 1.1, 1.2 and 1.3 are contributing to Output 1)

1.1 Implement the 3 existing conservation agreement in the MBR.

1.2 Prepare a feasibility analysis for a new agreement, in a community with different context

1.3 Develop a new conservation agreement in a participatory manner with the selected community, accompanying NGOs and government representatives

2.1. Develop baseline and annual socioeconomic monitoring to measure the social impact of existing conservation agreements.

2.2. Conduct annual monitoring of deforestation and biodiversity in areas where agreements are implemented.

2.3. Commission an independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation.

3.1 Hold annual meetings in each community implementing a conservation agreement to present and discuss results achieved, challenges, and lessons learned.

3.2 Develop informational material highlighting results and lessons learned from conservation agreements to share with institutions working in and impacting the MBR

3.3 Share information about conservation agreements more widely in electronic form on networks, websites and through partner institution networks.

3.4 Submit article for publication in peer-reviewed journal, focused toward academic and development practitioner audiences.

4.1 Organize a workshop with key players in the MBR (GOs,NGOs, and civil society) involved in the implementation of conservation agreements, in order to analyze the potential for and limitations to their replication.

4.2 Develop at least three proposals to ensure the financial sustainability of the four conservation agreement implemented.

4.3 Prepare policy recommendations for implementation of agreements across the MBR and throughout the Guatemalan System of Protected Areas

Annex 2 Report of progress and achievements against final project logframe for the life of the project

Note: For projects that commenced after 2012 the terminology used for the logframe was changed to reflect DFID's terminology.

Project summary	Measurable Indicators	Progress and Achievements in the last Financial Year	Actions required/planned for next period
<p>Goal/Impact:</p> <p>Community conservation incentives agreements are successfully implemented in community-managed forests across the entire Guatemalan Protected Areas System, leading to a significant reduction in deforestation and forest fires, and improved basic necessities and quality of life for the people in and around protected areas in Guatemala.</p>			Do not fill not applicable
<p>Purpose/Outcome</p> <p>Community conservation incentives agreements are successfully implemented with four communities of Guatemala's Maya Biosphere Reserve and impacts are rigorously tested, providing and innovative scalable model for reducing poverty and conserving biodiversity while providing value for money.</p>	<p>1. 4000 residents of four target communities demonstrate increased access to basic necessities, with at least 25% of the target population reporting improved access to education and/or health services and/or locally prioritised development initiatives during the three-year project timeframe.</p> <p>2. In the four target community sections, at least 50% (900 hectares) of forest cover will be protected that without intervention would likely have been deforested, based on the historical average deforestation rate of the 3 years before community agreements. Note: the 900 hectare estimate is based upon 3 years of avoided deforestation at annual average deforestation rates recorded in target communities between 2007-2009: Uaxactún (26 ha/yr), Carmelita (103ha/yr), and Cruce a la Colorada (514ha/yr)</p>	<p>1. A total of 3476 residents of five community groups participated in Conservation Agreements (CAs). On average, according to surveys conducted in the village 48% (SD 11.8%) of households received a direct benefit from the agreements; when calculated per village we estimate a total of 1724 individuals benefitted. The most widely reported benefit was education (by 34.2% of respondents), followed by institutional strengthening (21.8%), and improved access to health services (11.2%).</p> <p>2. Independent analysis by CEMEC revealed a 49.9% decrease in the amount of deforestation in the four agreement areas expected based tendencies three years prior to agreement initiation. Based on these projections, during the three years of Darwin implementation, a total of 908 hectares were "saved" from</p>	Do not fill not applicable

	3. The annual amount of forest degraded by fire in each of the four target community forest management units is reduced by 10% or more as compared the historical average of 10 years before community agreements	deforestation that would otherwise have been lost during business as usual. (Annex 9.2.3) 3. Based on fire “hot points” as the most relevant proxies for efficacy in controlling fire, independent analysis by CEMEC reported a 34.9% reduction in the number of hot points in the four agreement areas as compared to the number expected by calculating a 10-year average prior to agreement implementation.	
Output 1. Four community agreements in four sections of Guatemala’s Maya Biosphere Reserve.	1.1 Three existing conservation agreements signed and maintained valid through 2015 (in communities of Carmelita, Uaxactún, and Paso Caballos). 1.2 One new conservation agreement developed, signed and implemented by 2014 with Cruce a la Colorada (or another community based on feedback from CONAP) and maintained through 2015.	The Uaxactún and Paso Caballos agreements were maintained in full during the grant period (2012-2015). Following the unexpected loss of a donor, the Carmelita agreement was maintained full force for one year (2012-13), then during the half force by Asociacion Balam from 2013-2015. In late 2014, a fourth agreement was signed with the Asociación Bioltzá, the agrarian community of Corozal, and the El Zotz Biotope (CECON), led by the Guatemalan NGO ProPetén. <i>Note: Cruce a la Colorada was discounted in early 2013 due to a very high level of conflict in the area. Partners subsequently evaluated the village of Buen Samaritano, in Laguna del Tigre National Park; results of the formal feasibility study were negative due to the strong influence of “narco-ranchers” over the village. Under the guidance of CONAP, a second feasibility study was developed for the Yaloch community Forest concession; results were positive but the agreement did not proceed due to the lack of consensus on the terms of the community commitments.</i>	
Activity 1.1 Implement the 3 existing conservation agreement in the MBR.		100% completed and reported first and second year.	
Activity 1.2 Prepare a feasibility analysis for a new agreement, in a community with different context.		100% completed and reported first year. See Annex 8.2.1	
Activity 1.3 Develop a new conservation agreement in a participatory manner with the selected community, accompanying NGOs and government representatives.		100% completed and reported second year. See Annex 8.3.1	

<p>Output 2. Report on the impacts of community conservation agreements synthesizing experiences in the distinct community contexts, evaluating biodiversity and poverty reduction impacts, and demonstrating value for money.</p>	<p>2.1 Annual measurements taken of socioeconomic indices, deforestation and forest fires in community-managed forests where agreements area implemented.</p> <p>2.2 Independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation conducted in Year 3 (2015).</p>	<p>2.1 Baselines were established and annual measurements of deforestation and fire were undertaken by CEMEC in all agreement areas. Socioeconomic information was gathered two times during the project lifespan, with the exception of the final Bioltzá-Corozal-Zotz agreement, where one measurement was taken. <i>Note: in our opinion it was not possible to evaluate socioeconomic impact in the fourth agreement due to its limited implementation (12 months). The evaluation of socioeconomic impacts was thus based on the Carmelita, Paso Caballos, and Uaxactún agreements.</i></p> <p>2.2 A rigorous independent evaluation was undertaken over six months; this included visits to each agreement site and interviews with diverse stakeholders from government, community organizations, and civil society partners, including witness of honor organizations. The final results were presented at a workshop to a diverse group of stakeholders, with the final report presented in both Spanish and English.</p>
<p>Activity 2.1. Develop baseline and annual socioeconomic monitoring to measure the social impact of existing conservation agreements.</p>		<p>Completed. For Carmelita, Paso Caballos, and Uaxactún we undertook two socioeconomic evaluations during the 3-year Project period, as opposed to doing one annually. Final socioeconomic results were evaluated using the most ancient baseline available for each village, and the most recent measurement – all of which were undertaken in 2015. In the case of the final (delayed) agreement with Bioltzá-Corozal-Zotz, we established a socioeconomic baseline at the end of Year 2 of the Project, but did not re-evaluate that 11 months afterwards considering the amount of time lapsed insufficient.</p>
<p>Activity 2.2. Conduct annual monitoring of deforestation and biodiversity in areas where agreements are implemented.</p>		<p>100% completed. Evaluations were performed independently by CEMEC, generating annual reports in Spanish.</p>
<p>Activity 2.3. Commission an independent, comprehensive final assessment of conservation agreement impacts with respect to socioeconomic development, deforestation, and biodiversity conservation.</p>		<p>100% completed. As detailed above the final independent evaluation was undertaken by Dr. Bayron Milian.</p>
<p>Output 3. Synthetic outreach materials to disseminate lessons learned, each uniquely targeted toward a different audience.</p>	<p>3.1 A total of 12 meetings (in 4 communities annually for 3 years) held to present and discuss results achieved, and challenges of conservation agreements (including initial consultations in community 4) by 2015.</p>	<p>3.1 We held at least 14 community meetings, including those focused on annual evaluations of the degree of advances in agreement implementation. Meetings also focused on participatory evaluations with CONAP to discuss limitations and lessons learned.</p>

	<p>3.2 White Paper on conservation agreements, impacts and lessons learned shared with all governmental institutions and NGOs working in and impacting the MBR, and more widely through social networks, websites, and through partner institution networks in 2015.</p> <p>3.3 One paper on conservation agreements submitted for publications in a peer-reviewed journal in 2015.</p>	<p>3.2 The White Paper was completed with the participation of all civil society partners, and is available on the WCS website (www.wcsguatemala.org).</p> <p>As well as in Asociación Balam and Propetén websites (www.asociacionbalam.org.gt, www.propeten.org)</p> <p>3.3 Pending. The development of the White Paper required considerable effort on the part of all project participants. This included, among other tasks, the sharing of the environmental and socioeconomic information with community leaders prior to finalization of the document. Now, with this major task completed, the intention of WCS and our partners is to proceed with a, or several, publications from the extensive White Paper.</p>
Activity 3.1 Hold annual meetings in each community implementing a conservation agreement to present and discuss results achieved, challenges, and lessons learned.		Completed; during the project lifespan we held a minimum of 14 meetings, including: 4 meetings in an attempt to design an agreement with Yaloch; 2 meetings during the design and implementation of the Bioltzá-Corozal-Zotz agreement, 1 meetings in Carmelita, 3 meetings in Paso Caballos, and 4 meetings in Uaxactún.
Activity 3.2 Develop informational material highlighting results and lessons learned from conservation agreements to share with institutions working in and impacting the MBR.		Completed; See Annex 10.2 (in Annex lists Electronically submitted)
Activity 3.3 Share information about conservation agreements more widely in electronic form on networks, websites and through partner institution networks.		Completed. In alignment with the outreach plan developed with project partners in Year 2, during Year 3 efforts focused on: 1) evaluating awareness about agreements among governmental and partner organizations; 2) the participatory development of the White Paper; and 3) undertaking the independent external evaluation. During Year 3, Conservation Agreement Case Studies in Spanish and English were made available on the WCS website, Asociación Balam Web site and ProPetén web sites, as well as the entire White Paper. We also continued providing 2 national and 2 international presentations on lessons learned during agreement implementation, including a presentation at a workshop held by CI's Conservation Agreement Learning Network held in Chengdu, China, January 23 th to 27 th (see Annex 10.3.7).
Activity 3.4 Submit article for publication in peer-reviewed journal, focused toward academic and development practitioner audiences.		Not completed, in process.
Output 4. Policy recommendations including analysis of opportunities	4.1 By 2015, a participatory policy statement developed with CONAP	4.1 No longer Appropriate. Given that CONAP worked with WCS to incorporate language on Conservation Agreements in the forthcoming Policy

<p>for, and limitations to the replication of conservation agreements across the MBR and the Guatemala protected areas system</p>	<p>on the feasibility of replicating conservation agreements across the MBR and throughout the national Protected Areas System.</p> <p>4.2 Three proposals submitted by 2015 to support the financial sustainability of the implementation of four conservation agreements, post-Darwin Initiative funding, as a temporary measure to ensure the sustainability of initiatives while permanent financial mechanisms area developed.</p> <p>4.3 Policy recommendations incorporated by 2015 within the CONAP policy on conservation incentives in the MBR as a pilot policy for the Guatemalan System of Protected Areas.</p>	<p>regarding Human Settlements in Protected Areas, it was not necessary to develop the participatory policy paper (4.1) as originally envisioned, since it was an intermediate step to 4.3. Additional recommendations were also generated in the White Paper, focused on community, civil society organizations (CSOs), government, and donors.</p> <p>4.2 Completed and reported below. (Annex 11.3.1, 11.3.2)</p> <p>4.3 Completed and reported below.</p>
<p>Activity 4.1 Organize a workshop with key players in the MBR (GOs,NGOs, and civil society) involved in the implementation of conservation agreements, in order to analyze the potential for and limitations to their replication.</p>		<p>Completed. Two workshops were held with CONAP leaders to raise awareness about agreements. An independent consultant also interviewed MBR stakeholders about agreements and their viability as a formal Conservation approach in Guatemala, yielding positive feedback. (See Annex 11.1 and 11.2)</p>
<p>Activity 4.2 Develop at least three proposals to ensure the financial sustainability of the four conservation agreement implemented.</p>		<p>Completed 100%. One proposal for US \$300,000 was approved by CI's Conservation Stewards Program in 2015; we also obtained a small grant from the Orozco Family Foundation for family health services in Paso Caballos. At present we also have proposals pending to the Prince Albert of Monaco Foundation, as well as the Faye and Michael Richardson Charitable Trust. Asociacion Balam has continued to finance partial implementation of the Carmelita agreement, and ProPeten is independently seeking funding for the Bioltzá-Corozal-Zotz agreement.</p>
<p>Activity 4.3 Prepare policy recommendations for implementation of agreements across the MBR and throughout the Guatemalan System of Protected Areas</p>		<p>Completed: CONAP has updated their policy relating to human settlements in protected areas, and as demonstrated in the draft cited, has included recommendations regarding Conservation Agreements. The final document is pending approval of the Honorable Consejo of CONAP.</p>

Annex 3 Standard Measures

Code	Description	Total	Nationality	Gender	Title or Focus	Language	Comments
Training Measures							Not applicable
1a	Number of people to submit PhD thesis						Not applicable
1b	Number of PhD qualifications obtained						Not applicable
2	Number of Masters qualifications obtained						Not applicable
3	Number of other qualifications obtained						Not applicable
4a	Number of undergraduate students receiving training						Not applicable
4b	Number of training weeks provided to undergraduate students						Not applicable
4c	Number of postgraduate students receiving training (not 1-3 above)						Not applicable
4d	Number of training weeks for postgraduate students						Not applicable
5	Number of people receiving other forms of long-term (>1yr) training not leading to formal qualification(e.g., not categories 1-4 above)						Not applicable
6a	Number of people receiving other forms of short-term education/training (e.g., not categories 1-5 above)						Not applicable
6b	Number of training weeks not leading to formal qualification						Not applicable
7	Number of types of training materials produced for use by host country(s) (describe training materials)						Not applicable

Research Measures		Total	Nationality	Gender	Title	Language	Comments
9	Number of species/habitat management plans (or action plans) produced for Governments, public authorities or other implementing agencies in the host country (ies)						Not applicable
10	Number of formal documents produced to assist work related to species identification, classification and recording.						Not applicable
11a	Number of papers published or accepted for publication in peer reviewed journals						Pending
11b	Number of papers published or accepted for publication elsewhere						Not applicable
12a	Number of computer-based databases established (containing species/generic information) and handed over to host country	1			Database on socioeconomic status of five villages	Spanish in EXCEL	
12b	Number of computer-based databases enhanced (containing species/genetic information) and handed over to host country						Not applicable
13a	Number of species reference collections established and handed over to host country(s)						Not applicable
13b	Number of species reference collections enhanced and handed over to host country(s)						Not applicable

Dissemination Measures		Total	Nationality	Gender	Theme	Language	Comments
14a	Number of conferences/seminars/workshops organised to present/disseminate findings from Darwin project work	14				Spanish and English	11 presentation at national level and 3 international presentations in USA.
14b	Number of conferences/seminars/ workshops attended at which findings from Darwin project work was presented/ disseminated.	1	Guatemalan	Male and Female	Conservation Agreements (learning network of Conservation International)	English	2 coordinators of WCS were invited to a Learning network of CI in China (January 2016) to shared information about conservation agreements in Guatemala

Physical Measures		Total	Comments
20	Estimated value (£s) of physical assets handed over to host country(s)		Not applicable
21	Number of permanent educational , training, research facilities or organisation established	1	With Darwin support we assisted the village of Paso Caballos to build a new school in the Barrio La Pista (see Case Study 3; White Paper).
22	Number of permanent field plots established		Not applicable

Financial Measures		Total	Nationality	Gender	Theme	Language	Comments
23	Value of additional resources raised from other sources (e.g., in addition to Darwin funding) for project work	£255,338					<p>£52,999 obtained during year 1</p> <p>£202,339 obtained during year 2</p> <p>Please note that these amounts include funding raised by WCS for investment in the agreements. These totals do NOT include the significant funding leveraged by local communities during agreement implementation.</p>

Annex 4 Aichi Targets

	Aichi Target	Tick if applicable to your project
1	People are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.	X
2	Biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.	
3	Incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio economic conditions.	X
4	Governments, business and stakeholders at all levels have taken steps to achieve or have implemented plans for sustainable production and consumption and have kept the impacts of use of natural resources well within safe ecological limits.	
5	The rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.	X
6	All fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem based approaches, so that overfishing is avoided, recovery plans and measures are in place for all depleted species, fisheries have no significant adverse impacts on threatened species and vulnerable ecosystems and the impacts of fisheries on stocks, species and ecosystems are within safe ecological limits.	
7	Areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.	X
8	Pollution, including from excess nutrients, has been brought to levels that are not detrimental to ecosystem function and biodiversity.	
9	Invasive alien species and pathways are identified and prioritized, priority species are controlled or eradicated, and measures are in place to manage pathways to prevent their introduction and establishment.	
10	The multiple anthropogenic pressures on coral reefs, and other vulnerable ecosystems impacted by climate change or ocean acidification are minimized, so as to maintain their integrity and functioning.	
11	At least 17 per cent of terrestrial and inland water, and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.	X
12	The extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained.	
13	The genetic diversity of cultivated plants and farmed and domesticated animals and of wild relatives, including other socio-economically as well as culturally valuable species, is maintained, and strategies have been developed and implemented for minimizing genetic erosion and safeguarding their genetic diversity.	
14	Ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking	X

	into account the needs of women, indigenous and local communities, and the poor and vulnerable.	
15	Ecosystem resilience and the contribution of biodiversity to carbon stocks has been enhanced, through conservation and restoration, including restoration of at least 15 per cent of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification.	X
16	The Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization is in force and operational, consistent with national legislation.	
17	Each Party has developed, adopted as a policy instrument, and has commenced implementing an effective, participatory and updated national biodiversity strategy and action plan.	
18	The traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources, are respected, subject to national legislation and relevant international obligations, and fully integrated and reflected in the implementation of the Convention with the full and effective participation of indigenous and local communities, at all relevant levels.	X
19	Knowledge, the science base and technologies relating to biodiversity, its values, functioning, status and trends, and the consequences of its loss, are improved, widely shared and transferred, and applied.	
20	The mobilization of financial resources for effectively implementing the Strategic Plan for Biodiversity 2011-2020 from all sources, and in accordance with the consolidated and agreed process in the Strategy for Resource Mobilization should increase substantially from the current levels. This target will be subject to changes contingent to resource needs assessments to be developed and reported by Parties.	

Annex 5 Publications

Type * (e.g. journals, manual, CDs)	Detail (title, author, year)	Nationality of lead author	Nationality of institution of lead author	Gender of lead author	Publishers (name, city)	Available from (e.g. web link, contact address etc)
Technical paper No.1	McNab, R., Castillo, M., Zetina, J, Rodriguez, A., Ramos, V.H., Solis, N., Trujillo, D., Chacon, R., Obando, O., and A. Castellanos. (2016). <i>“Evaluating Conservation Agreements as a Tool for Conserving Nature and Improving Wellbeing of Rural Households in the Maya Biosphere Reserve, Guatemala”</i> . Wildlife Conservation Society Guatemala Program, Technical Paper No. 01.	USA Guatemalan	Guatemala	Male		