



Project

Sustainable Forest Management and Multiple Global Environmental Benefits

Project # 73935

PIMS # 4637

Product 4

Mid-Term Review (MTR) – Final Report

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i. Basic information

Project's name: Sustainable Forest Management and Multiple Global Environmental Benefits

UNDP ID (PIMS#): 4637

GEF ID (PIMS#): 4479

Duration of the MTR: October 14, 2016 – May 30, 2017

Report Date: 03-10-2107

Territorial framework covered by the Project: South East, West, Guatemala

GEF Operational Focal Area / Strategic Program: Multifocal

Executing Agency / Implementing Partner and other partners of the Project: UNDP / MARN, CONAP, MAGA, INAB and SEGEPLAN

Name of the Individual Contractor: Ronny Muñoz, Assessment Expert; Gustavo Pinelo, Forestry Official.

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iii. Acronyms and abbreviations

ACODIHUE	Association for the Cooperation of Integrated Development in Huehuetenango
ACOFOP	Association of Forest Communities of the Petén
ANAM	National Association of Municipalities of Guatemala
APR	Annual Project Report
AR	Afforestation and Reforestation
ASILVOCHANCOL	Association of Chancol Foresters
ASOCUCH	Association of Organizations of the Cuchumatanes
AUD	Avoided Unplanned Deforestation
BD	Biodiversity
BDC	Biodiversity Conservation
BMP	Best management practices
CATIE	Tropical Agronomic Center for Research and Teaching
CC	Climate Change
CCAD	Central American Commission for Environment and Development
CCB	Climate Community and Biodiversity
CCM	Climate Change Mitigation
CDC	Conservation Data Center
CEM	Center for Evaluation and Monitoring
CIPREDA	Center for International Cooperation for Agricultural Pre-Investment
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CDM	Clean Development Mechanism
CSOs	Civil society organizations
COCODE	Community Development Councils
CODEDE	Departmental Development Councils
COMUDE	Municipal Development Councils
CONRED	National Coordinator for Disaster Reduction
CONAP	National Council for Protected Areas
CPAP	Country Program Action Plan
CSL Local	Monitoring Committee
CTA	Technical Advisory Committee
CTI	Inter-institutional Technical Committee
CTP	Tripartite Commission
DIM	Direct Implementation Modality
EIS	Environmental Information System
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FPIC	Free prior and informed consent
FUNDAECO	Foundation for Eco development and Conservation
GEF	Global Environment Facility
GEI	Greenhouse effect gases

GIS	Geographic Information System
GIZ	German Society for International Cooperation (German acronym)
GOFC	Global Observation of Forest
GPS	Global Positioning System
GTI	Interinstitutional Technical Group
HDI	Human Development Index
IAD	Inter-American Development Bank
ICG	Interinstitutional Coordination Group
IARNA	Institute of Agriculture Natural Resources and Environment
ICTA	Institute of Agricultural Science and Technology
ICUZONDEHUE	Association of Integral Community Development of the Northern Region of Huehuetenango.
IDB	Interamerican Development Bank
IUCN	International Union for Conservation of Nature
INAB	National Institute of Forests
INSIVUMEH	National Institute of Seismology, Volcanology and Hydrology
IPCC	Intergovernmental Panel on Climate Change
IW	Introduction Workshop
JNR	Jurisdictional and Nested REDD+
LD	Land Degradation
LF	Logical Framework
LULUCF	Land Use Land Use Change and Forestry
MARN	Ministry of Environment and Natural Resources
MAGA	Ministry of Agriculture Livestock and Food
MEM	Ministry of Energy and Mines
MFO	Municipal Forest Office
MRV	Monitoring Reporting and Verification
MAMSL	Meters above sea level
M&E	Monitoring and Evaluation
NDF	Norwegian Development Fund
NFI	National Forest Inventory
NGO	Non-Governmental Organization
OCSE	Environment Sector Coordinating Office for Statistics on Environment and Natural Resources
PA	Protected Areas
PAFG	Forest Action Plan for Guatemala
PDD	Project Design Document
PDM	Municipal Development Plan
PEI	Institutional Strategic Plan
PES	Payment for Ecosystem Services
PIF	Project Identification Form
PIMS	Project Institutional Monitoring System
PINFOR	Forest Incentives Program
PINPEP	Incentive program for small landowners suitable for forestry or agroforestry
PIR	Project Implementation Report
POA	Annual Operating Plan

POM	Multiyear Operating Plan
PMU	Project Management Unit
PROANDYS	National Program to Combat Desertification and Drought in Guatemala
PSA	Environmental Services Payment
RBM	Maya Biosphere Reserve
REDD +	Reducing Emissions from Deforestation and Degradation of Forests
RNF	National Forest Registry
R-PP	Readiness Preparation Proposal
RCU	Regional Coordination Unit
SBA	Standard Basic Assistance Agreement
SAF	Agroforestry Systems
SC	Steering Committee
SEGEPLAN	Secretary of Planning and Programming of the Presidency
SFM	Sustainable Forest Management
SIAM	System of Municipal Environmental Indicators
SLM	Sustainable Land Management
STAP	Scientific and Technical Advisory Panel of the GEF
TFCF	Tropical Forest Conservation Fund
TT	Tracking Tools
UGAM	Environmental Management Unit
UNFCCC	United Nations Framework Convention on Climate Change
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNCCD	United Nations Convention to Combat Desertification
URL	Universidad Rafael Landivar
UVG	University of the Valley of Guatemala
VCS	Verified Carbon Standard
VCU	Verified Carbon Unit

1. EXECUTIVE SUMMARY

1.1. Project's Table

Project's Name	Sustainable Forest Management and Multiple Global Environmental Benefits		
UNDP ID for the project (PIMS#)	4637	PIF Approval date:	March 9 2011
GEF ID for the project (PIMS#)	4479	CEO Endorsement date:	October 3 2013
ATLAS Bussiness Unit, File # - Project's ID (Award # pro.ID)	73935 86515	Project Document (ProDoc) Signature Date (project's starting date):	October 30 2013
Country	Guatemala	Project's Manager Hiring Date:	February 2 2014
Region:	---	Date of Inception Workshop	February 17 2014
Field of action	South East, West	Midterm Review End Date:	May 30 2017
Strategic objective of GEF's field of action.	Multifocal	Expected Completion Date:	November 2018
Trust Fund (Indicate GEEF TF, LDCF, SCCF, NPIF)	GEF TF	In case of revision, new proposed conclusion date:	
Executing agency / Implementing partner:	Ministry of Environment and Natural Resources (MARN), Ministry of Agriculture, Livestock and Food (MAGA), National Forests Institute (INAB), National Council of Protected Areas (CONAP), Foundation for Eco development and Conservation (FUNDAECO).		
Other implementing partners:	Secretary of Planning and Programming of the Presidency (SEGEPLAN), National Statistics Institute (INE)		
Project financing	As of the date of authorization of the CEO (US\$)	At the time of the Mid-Term Review (US \$)	
[1] GEF Financing:	4,400,000.00	1,577,206.01	
[2] UNDP Contribution:	557,381.00	325,185.20	
[3] Government – Municipalities:	614,404.00	593,395.33	
[4] Other partners:	12,545,616.00	449,473.00	
[15] Total co-financed (2+3+4)	13,717,401.00	1,331,658.22	
PROJECT'S TOTAL COST (1+5)	18,117,401.00	2,908,864.23	

Source: Project's Management Unit

1.2. Project's summary description

The project provides multiple global environmental benefits by strengthening land and forest management processes and biodiversity conservation (BD) in a dry forest mountain landscape in southeastern Guatemala and a humid mountain landscape in western Guatemala. This will be achieved through a multifocal strategy that includes: (a) the development of a legal, planning and institutional framework to integrate the principles of sustainable forest management (SFM) and sustainable land management (SLM) into national environmental and development policies; (b) piloting SFM/REDD+ and SLM practices in the southeastern region of Guatemala (Jalapa, Jutiapa and Santa Rosa departments) to improve carbon stocks, reduce dry forest deforestation and reduce susceptibility to desertification, and drought; and c) piloting SFM/REDD+ in western Guatemala (department of Huehuetenango) to increase ecosystem connectivity and contribute to the conservation of BD in a humid mountain forest and agricultural landscape.

1.3. Project's Progress Summary

The project moves forward in a satisfactory way, strengthening access to forestry incentives, according to the key indicators there are 9,794.99 hectares in forest programs (PINFOR and PINPEP) and maintains the connectivity of 13,343 hectares (from municipal regional parks Todos Santos -Cuchumatán, Cerro Cruz Maltín and Piedras Kab'Tzin) through conservation agreements in the Western region. The area under best management practices in the dry forest's goal (3,000/200 ha) was duplicated (240%), through PINPEP and the rehabilitated area in humid Forest goal was exceeded (547/50 ha). Forest coverage has remained 6,838.47 hectares in the dry zone. The legal and institutional framework was strengthened with the approval of the -PROBOSQUE- Law to Promote the Establishment, recovery, restoration, management, production and protection of forests in Guatemala, and the proposal for a National Policy to Combat Land Degradation, Desertification and Drought; In addition, the contributions to the REDD+ strategy were also important. The assessment of the capacity development scorecards and the mid-term TT of the project, concerning the participation of institutions responsible for soil and forest management and the conservation of biological diversity (INAB, CONAP and MARN), points out that the changes are positive. With the training actions, technical staff from the public institutions of the central and municipal government and people of the communal organizations, were strengthened in order to improve the actions in which the project intervenes. At the Municipal level, 4 new Municipal Forestry Offices were created and 15 Offices were strengthened, exceeding the target by more than 300%, which has contributed to improve its environmental management capacity and strengthening of municipal policies, the creation of new instruments such as the mechanisms of authorizations of family consumption and financial sustainability, as well as the generation of new project proposals for management of forest resources, recovery and conservation of soils and water resources and protected areas and biodiversity. The capacities of the 15 municipalities, were also strengthened, through the equipment of the MFO, through the provision of furniture, computer equipment, forestry basic equipment and forest fire control equipment. Basin plans

for the Laguna de Ayarza and the Ostúa River were formulated. SEGEPLAN was supported to develop the methodology for the alignment of Municipal Development Plans (MDP), incorporating the environmental variable within the MDPs of the 15 municipalities. For the two pilot areas, the coverage for conservation and improvement of carbon stocks, including agroforestry modalities, is 14,198.21 ha. Regarding the areas reached to date with respect to biomass, there are currently 5,645.97 ha of broadleaf and mixed tropical dry forest, and 11,112.99 ha of tropical coniferous forests. These extensions have been supported to date by economic incentives under the national program framework for forest management. The interventions reported by the Project in the field are linked to sustainable forest management, which total an area of 701 ha; 1,981 ha of reforestation; and 5,477 ha of natural protected areas by means of protected areas established at a local level. These activities result in an integrated landscape that reaches 8,149 ha in pilot areas. For sustainable forest management, particularly for the conservation and improvement of forest carbon reservoirs, 803.11 ha are reported for dry forest (pilot area 1). The implementation of good forest management practices have been applied in 14,191.81 ha, which are under forest management plans. As for the extension of area under forest restoration/rehabilitation 4,408.45 ha are reported.

1.4. Summary Table of the MTR evaluations and achievements

Table 1.4. Summary of ratings and achievements of the project's MTR - Sustainable Forest Management and Multiple Global Environmental Benefits

Parameter	MTR Rating	Achievement description
Project's strategy	N/A	The project corresponds to the complexity of a multifocal design, which addresses national priorities and is embedded in national policies; as well as in the institutional framework of CONAP, MARN, INAB, MAGA, Municipalities, NGOs and local government. Through a strategy and a results framework conceived in a logical and achievable way, with the exception of the expectations created around the national REDD+ strategy. It raises a clear vertical logic, based on the chain of results, regarding the way in which the project intended to intervene in order to contribute to the overall development objective. PRODOC maintains its original design and has resulted in an instrument that has facilitated the management of the project by results. It incorporates few elements into the PIF, and the substantive amendments generally seek to increase the scope of the proposed results. As a particular element, it should be mentioned that the

Parameter	MTR Rating	Achievement description
		design prevents the risk of a "Limited Government preparation for SFM/REDD+" and the assumption that "There are stable markets for the sale and purchase of carbon credits or international funds willing to make a payment for performance". Results-based indicators that depend on the implementation of the REDD+ national strategy, present pertinence problems since there is high uncertainty that a project can be established under the REDD+ framework for the voluntary market. The strategy defined in the project has served to guide the achievements, however, it should be adjusted for the remaining implementation period regarding the assumptions related to the REDD+ strategy and the LF.
Progress Achieving Results	Objective: Satisfactory	<p>A progress of 71% (9,794.99 ha) is shown in the areas under PSA, incorporated into PINFOR and PINPEP, in the rain forest in the western region.</p> <p>The target of areas under best management practices in the dry forest, through PINPEP (Dry Forest with 1,500 ha and Humid Forest with 13,343 ha.) doubles by 240%. It manages to maintain connectivity 13,343 hectares in the Humid Forest, through conservation agreements.</p> <p>It surpassed by ten times the goal of rehabilitated area under the INAB scheme: Dry forest: 3,000/200 ha; Humid forest: 547/50 ha.</p> <p>It has maintained forest coverage in the 6,838.47 hectares of the dry zone. However, the GIS mapping tool for SFM/SLM is still pending.</p> <p>The PROBOSQUE law was approved, which provides the continuity of the Forest Incentive Programs (PINFOR). It supported the national policy on Combating Land Degradation, Desertification and Drought which is currently being reviewed for approval, as well as three future actions for institutionalizing and implementing it. For 2,017 it plans to work on MAGA's agricultural policy and climate change. The changes in the capacity development scorecard, are positive in INAB, CONAP and MARN, however, are far from reaching the goal. In</p>

Parameter	MTR Rating	Achievement description
		the MAGA, there were negative changes, especially in CR1 and CR2 ¹ .
	Outcome 1.1.: Satisfactory	The cooperation agreements planned by PRODOC were unnecessary, as their function was carried out by functional institutional agreements based on the existing legal framework. An agreement with INAB allows the implementation of actions. The promulgation of the PROBOSQUE Law was supported and not only gives continuity to principles on SFM, SLM and biodiversity, but also extends the actions to apply these sustainable management principles. The proposed National Policy to Combat Land Degradation, Desertification and Drought was elaborated and various instruments are planned to operationalize it. An agreement with INE on environmental statistics, achieved coordination among information-generating institutions through the OCSE/Environment ² .
	Outcome 1.2.: Satisfactory	The project strengthened the capacity of national technical staff, officers, government field staff and technical staff; these capacities will be able to continue as the administrative management mechanisms are being established or strengthened which promotes the continuity of the respective commitments; For example MFO. The Environmental Information System for Institutions and Municipalities was designed, and it's waiting to be implemented. It is being proposed to be institutionalized through and alliance with SEGEPLAN and under agreement with the INE, develop the platform for its operation. It is hoped that this system will be functional since it is an initiative created in conjunction with the participating institutions. Actions are being developed to define the National protocol for the monitoring of C flow.

¹ 5 Capabilities Results (CR) were reviewed: CR 1: Ability to acquire commitments and develop actions; CR 2: Capacity to generate, access and use information and knowledge; CR 3: Capacities for the development of Strategies, Policies and Legislation; CR 4: Capabilities for management and implementation; CR 5: Monitoring and Evaluation Capacity

² Sector Coordinating Office for Statistics on Environment and Natural Resources of Guatemala

Parameter	MTR Rating	Achievement description
	Outcome 2.1.: Moderately Satisfactory	In the process of diagnosis and selection of the area for REDD +, the construction of the baseline. It contributed to capacity development and the maps to establish the viability of the project are pending. Although it does not conclude to establish a REDD+ pilot project, the project actions advance in terms of improving the SFM, restoring carbon reserves in the dry forest. The technical capacities for the central government organizations had practically no improvement and the greatest weakness is found in CR 5.
	Outcome 2.2.: Moderately Satisfactory	The cooperation agreement with INAB is active. They are: 1) promoting the forestry incentives, 2) diagnosing and selecting the area for REDD+. Although, the REDD+ methodology is not yet applied, it is considered that the actions developed will provide basic elements for future application at the ENREDD level, but not during the life of the project.
	Outcome 2.3.: Satisfactory	Basin plans were developed for the Ayarza Lagoon and for the upper and middle part of the Ostúa River basin, also it is being planned the socialization and inclusion in municipal and strategic planning instruments. The cooperation agreement with the Solar Foundation, to implement the Program of energy efficient stoves is still effective.
	Outcome 2.4.: Satisfactory	Training workshops were developed in 15 municipalities, supporting environmental and forest governance. This allowed the generation of some preliminary results that supported the objective of the project, as well as the equipping and training of 3 departmental forestry offices. The environmental dimension of the municipal development plans (MDPs) of 15 municipalities and equipped their MFOs was updated, and their authorities agreed to continue to support the operation of the MFOs. The technical capacities for the municipalities decreased.
	Outcome 2.5.:	

Parameter	MTR Rating	Achievement description
	Moderately satisfactory	The selection of the area and baseline for the REDD+ project in the West is undergoing a diagnostic process. The methodology for the REDD+ pilot project has not yet been implemented. However, through the cooperation agreement with INAB, joint actions have been carried out, through the promotion of forestry incentives, which are considered as an instrument to reduce emissions, because by maintaining forest coverage, emission of CO2-e are avoided on those forests.
	Outcome 2.6.: Highly Satisfactory	With the support of FUNDAECO and based on conservation agreements, the project helped to maintain the biological corridor and improve the connectivity of the protected areas. In addition, based on visits and forest diagnoses conducted by FUNDAECO, the number of species of biological groups is maintained stable. Four conservation agreements were signed and executed. Through incentives that fund good practices, the improvement of income and better management of natural resources and conservation of biodiversity have been achieved.
	Outcome 2.7.: Satisfactory	Work has been carried out jointly with INAB, MARN and FUNDAECO in order to develop local capacities of both municipal forest technicians and community members (MFO coordinators and technicians, COCODES and schools, indigenous population and community organizations). As well as in the construction and socialization of the SFM, REDD+ tools, mitigation to CC and conservation of DB and other tools for the formulation of national planning instruments, PDM, PEI, POM and POA. FUNDAECO carried out scientific monitoring with the participation of the communities of San José las Flores. The POA 2017 considers implementing a consultancy for the design and implementation of a Biological Monitoring System with local communities and municipalities in the Pilot 2 region. Although the technical capacities for the municipalities decreased, there was an improvement in the technical capacities of ICOZUNDEHUE and ASILVOCANCHOL.
Project	Moderately	

Parameter	MTR Rating	Achievement description
execution and adaptive management	Satisfactory (MS)	Considering that the seven factors (management mechanisms, work planning, financing and co-financing, project-level monitoring and evaluation systems, stakeholder involvement, information and communication) analyzed lead to an effective and efficient implementation and adaptive management, although in all the cases some corrective actions (AC) were required: 1) strengthening the evaluation function, coordination of central and local government, and branding policy; 2) greater linkage to MARN's middle level; 3) action to promptly achieve KFW co-financing; 4) provide a monitoring and evaluation system manager, as well as to comply with the recommendations of the capacities assessments and the forestry expert; 5) articulate the project's actions with CONAP, feedback and maintenance of the proposed structures in PRODOC and reactivation of communication with international organizations; 6) develop a systematization process, document and share the lessons derived from the process of adaptive management and systematically communicate PROBOSQUE's new scope.
Sustainability	Sustainability is likely (L)	A greater financial flow is expected, however, this presents a concern for the cofinancing of the project, the financial sustainability of the institutions and fund for the implementation of the PSA. Access to conservation financing has been supported, as well as the high commitment of stakeholders to good development and project outcomes, however, the lessons learned have not been documented nor transferred and the technical support issues as well as the good communication within the Municipalities and the management of pluricultural issues must be resolved. There are no legal frameworks, policies, structures or governance processes that could jeopardize the continuity of project's benefits, on the contrary, the institutional framework and governance, has been strengthened through the project's results, institutional capacity has been developed with the appropriate environmental theme, good level of involvement of the key actors as guiding institutions of the SFM, SLM and BD (MARN, INAB, CONAP) through the different participation mechanisms, encouraging the staff of these

Parameter	MTR Rating	Achievement description
		<p>institutions to continue the processes that drive the project; and the strengthening the project management unit.</p> <p>No greater direct environmental risks are identified for sustainability, however, deserve attention to water scarcity in the East and pine mortality in the Chermal I area.</p>

Source: Own elaboration.

1.5. Summary of conclusions

1. Several stakeholders participated in the Project's design, the project responds to national priorities and its internal logic makes it possible to move towards the results presented. It turned out to be complex in terms of REDD + outputs/indicators. It did not adequately incorporate gender, other needs from the local users, nor a general timetable to guide implementers regarding the completion period of each product/indicator. Its Logical Framework has been useful for monitoring, however, it presents limitations **based on the lack of having clear targets or milestones anchored with a timetable of the project**, with this the assessment for the MTR and the final evaluation **could be more strategic and support the monitoring of project actions**.
2. The implementation presents a "satisfactory" level of progress in order to achieve the development objective, and a "moderately satisfactory" progress achieving the results of the pilots. The barriers related to low levels of institutional capacities remain; also in the regulatory and institutional framework due to uncertainties about the national REDD+ strategy (ENREDD).
3. Adaptive management was moderately satisfactory (MS), was effective and efficient, and corrective actions are required. The PMU and UNDP provided services as set out in PRODOC, although the partners value the quality of the interventions, the PMU had limited structural capacity, which should be strengthened; **by increasing the number of persons attending directly the project, especially regarding monitoring and evaluation..**
4. The PMU has also contributed to the achievement of results, and the "adaptive management" approach favored the integrated management in the current context in which the project is implemented. The work approach, the mechanisms and methodologies that were used to approach the interventions were appropriate and facilitated the achievement of the results, in this sense. The planning of the work is oriented towards the achievement of the results and as stated in the logical framework, which is used as a management tool.

5. A low level of budget execution and cofinancing is presented. The project has not been efficient in executing the GEF's resources and the cofinancing funds are extremely low, although most of the co-financiers fulfilled the amounts committed, KFW's budget allocation has not been possible, because it has not been executed. The contingency plan designed for 2017, will allow the achievement of the results in the expected execution time. Therefore, the MTR does not consider necessary to extend the execution period, however, the working capacity of the PMU should be strengthened, also the partners need to improve in the approval of the products and the procedures should be simplified; improve the degree of ownership and leadership of the institutions involved. A favorable balance in the regions in the 2017 budget is considered.
6. Monitoring is weak because of design, limited by the lack of adequate strategy, processes, mechanisms and tools for the project.
7. Good level of participation and ownership in the cases of INAB, regional organizations, municipalities and local organizations. However, this is not the case with MARN, MAGA and CONAP; **and their participation in the CTA meetings are not frequent.**
8. The dissemination of the information is weak and the changes in the adaptive management of the project are not socialized, also the communication **does not reach** the project's middle management and operative levels, as well as the local level actors; who demand a greater space of participation and interference in the project's decision making.
9. In the case of project's sustainability, the valuation is likely (L), considering there is a minimum risk for sustainability; and the most important results are on track to be achieved at the end of the project and are expected to continue in the near future.

1.6. Summary with Recommendations

1. Regarding the recommendations made by the MTR, the PMU should:

- 1.1. Strengthen the implementation through feedback about the project, communication on contracting, efficiency in the approval of consultancies, support and presence in the field; the visibility of the project and the institutions; and socialization of lessons learned.
- 1.2. Strengthen the monitoring function, review the project's strategy and adjust the Logical Framework, include the gender dimension; establish the projection in time for the fulfillment of the indicators or results.

- 1.3. Reconsider their communication system with all stakeholders, so that partners can provide input and decision-making and at local level. Strengthen the mechanism of CTAs.
 - 1.4. Strengthen the management mechanisms, the proactivity of the municipalities in the Project's decision-making, visualization and management of CONAP in the eyes of MARN so that KFW co-financing is executed in accordance with the PRODOC.
 - 1.5. Prepare the project's exit strategy for the municipalities, including INAB's support to accompany the municipalities in the MDPs, accompaniment of CONAP in the protected areas, expansion of Conservation Agreements, income generation mechanisms, use of INAB's monetary transfers and the use of professional capacities.
 - 1.6. Strategically manage the institutional scope (INAB, CONAP, MARN, SEGEPLAN, MAGA, INE) and the international cooperation (IDB and KFW), achieving integrality and advantage of its resources.
 - 1.7. Propose an adjustment strategy to the design and the Logical Framework to the Project Board, in order to get the approval of the Regional Office of Panama, regarding the REDD+ strategy. For more details see chapter 4.1.2 of Findings on Results Framework / Logical Framework. It includes the revision of the project's theory of change and adjustment of the REDD+ indicators, the national forest incentives scheme and the income that users receive from them, as an alternative to VCU income.
 - 1.8. Establish priorities in order to generate information that can support national biodiversity policies and the REDD+ strategy.
- 2. Regarding the recommendations made by the MTR, the Project Board should:**
- 2.1. Based on the results of the contingency plan prepared for 2017, and taking into account that there is an Annual Work Plan designed for 12 months, is the view of the MTR that the Project should request a time extension, to finish at December 31 of 2018. Nevertheless, once 2017 is finished, the Project Board should analyze if there is a need to extend further the execution period, as well as target the 2018 budget to the regions in order to meet the needs of local stakeholders.
 - 2.2. Support CONAP in order to improve its participation in the territory.

- 2.3. Support other proposed initiatives related to the definition of a compensation program, reforestation in the upper Ostúa river basin, conservation of *Abies guatemalensis* and Pino Dulce Park, follow-up the recommendations of the capacity assessment, nurseries in the East And the increase in the coverage of the stove program, the definition of training and implementation of community initiatives and the extension of the coverage according to modalities of PROBOSQUE.

2 INTRODUCTION

2.1 Purposes and objectives of the MTR

The mid-term review (MTR) aimed to review the progress in achievement of the Project's objectives and results, the signs of success or failure in order to identify the necessary changes that would allow the project to be reoriented and achieve the desired results. The MTR reviewed the Project's strategy and risks associated with sustainability. The MTR responded to the general question and to the two complementary questions raised in the design. See Figure 2.1.

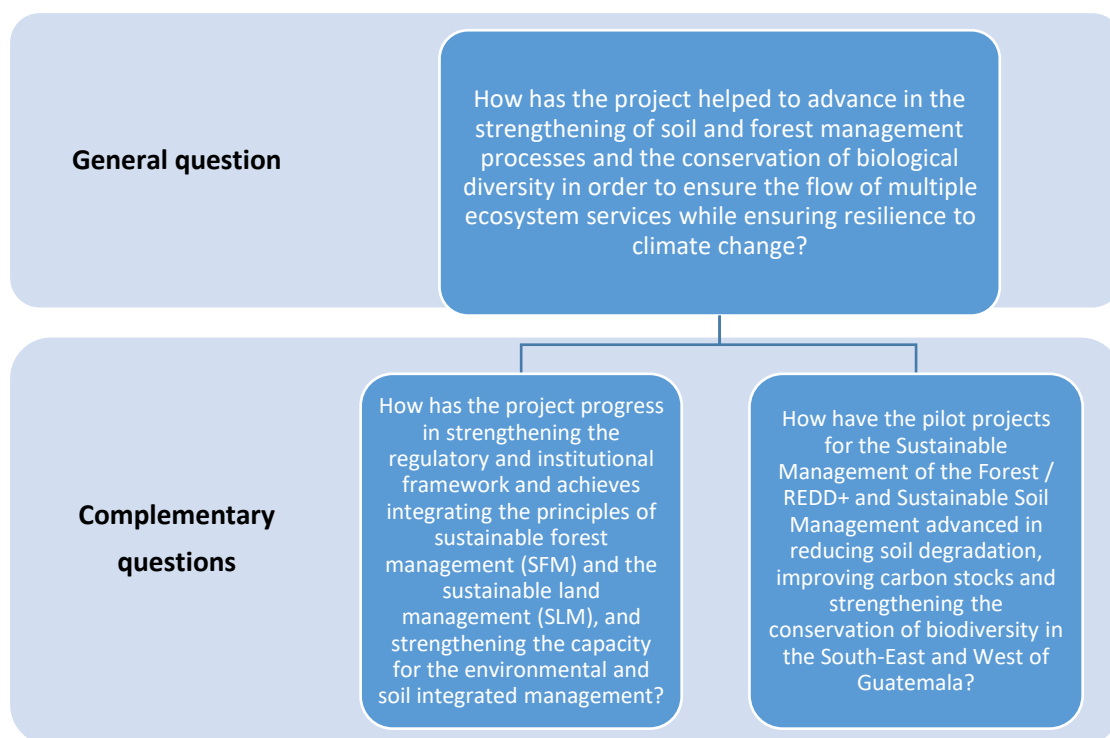


Figure 2.1.: Mid-Term Review Questions.

2.2 Scope and Methodology

2.2.1 Principles of design and implementation of MTR

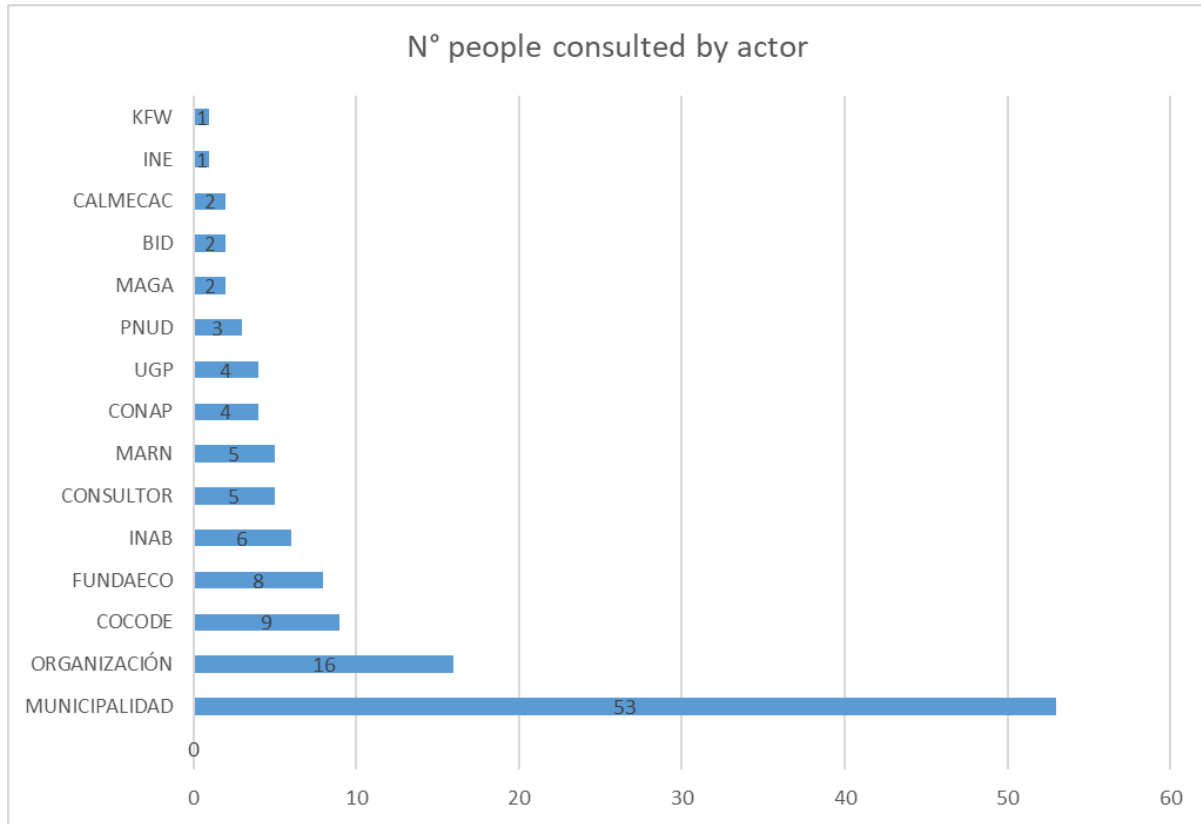
As requested within the Terms of Reference (annex 6.1), the Mid-Term Review (MTR) was guided by UNDP and GEF policies, guidelines, rules and procedures, specifically the "Guidance for Conducting Mid-Term Reviews of UNDP-Supported, GEF-Financed Projects". It contemplated the evaluation of the four progress categories of the Project (point 4): 1) Project's Strategy, 2) Progress towards achieving results, 3) Project Execution and Adaptive Management, and 4) Analysis of the Sustainability criterion in its four dimensions (Financial, socio-economic, governance and institutional framework and environment). The information requested in the evaluation matrix on criteria, indicators, sources of verification and methodological proposal is included in Annex 6.2.

2.2.2 MTR approach and methods of data collection

It contemplated a formative, participatory and collaborative approach. The field mission included meetings and visits in Guatemala City and the project areas (see itinerary in Annex 6.3). Through open and semi-structured individual and group interviews, a total of 122 people were consulted (See Annex 6.4., list of persons and actors consulted) which represented various institutions and actors. (See figure 2.2.2.). The model questionnaire used for data collection is included in Annex 6.5. and the documentation consulted in Annex 6.6.

The assessment of progress, implementation and sustainability was guided by the specifications of the MTR (UNDP / GEF) methodological guide. See in Annex 6.7., the criteria and the scales indicated for each assessment.

In its final phase, the MTR had two in-depth reviews, of which the audit trail is shown in Annex 6.15. Table 6.15.1. includes the audit trail according to the feedback received on April 18, 2017 and in table 6.15.2., the audit trail according to the feedback received on May 31, 2017.



Graphic 2.2.2. Number of people consulted per stakeholder

2.2.3 MTR Limitations

The following MTR limitations can be mentioned:

- Assumption in the progress of the national REDD+ strategy is not in line with the current context.
- The monitoring mechanisms and tools and the way of organizing the project's file were weak, which was overcome with great readiness and objectivity of the PMU to support the MTR team during the process.

3 PROJECT DESCRIPTION AND CONTEXT

3.1 Development context: environmental, socioeconomic, institutional and political factors relevant to the Project's purpose and scope

Environmental factors: The Southeast Region corresponds to the so-called dry corridor, which includes fragmented forests and endemic species severely threatened. The soils are poor and of low yield, with forestry potential, with physical deterioration by overuse of the soil demand a very careful handling. There is an advance deforestation, loss of forest coverage, water depletion, fires, erosion problems, landslides. Situations that have an impact on other strategic aspects of environmental conservation. The Western Region contains a variety of ecosystems, high in biodiversity, refuge to dozens of threatened endemic animal and plant species. It has a positive rate of deforestation; however, it faces threats from informal forest management and firewood extraction activities. Soils with low drainage and large slopes and agricultural use have indicators of physical deterioration due to soil overuse.

Socioeconomic Factors: In the prioritized municipalities for the two regions, there is a positive population growth, with high poverty indicators, characterized by high inequality in their income, problems of illiteracy and employment, and dependence on the agricultural activity.

Institutional and political factors: The country has made a major effort to strengthen an institutional and policy framework, which currently supports the Biological Diversity (BD), land use and management (LD), climate change mitigation (CCM), and sustainable forest management (SFM). These include: 1) National Policy and Convention on Biological Diversity, 2) Policy for the Conservation, Protection and Improvement of the Environment and Natural Resources, 3) Institutional Policy on Indigenous Peoples and Biodiversity, 4) Municipal Code, (4) United Nations Convention to Combat Desertification and Drought, 5) Agricultural Policy, 6) Law for the Protection and Improvement of the Environment, 7) Forest Policy of Guatemala, 8) The Forestry Law and its regulations, 9) Law on Protected Areas and its regulations, 10) Law to promote the establishment, recovery, restoration, management, production and protection of forests in Guatemala and its regulations, 11) Regulation of Land Use Change, 12) Regulation of Protection of Water Sources, 13) United Nations Framework Convention on Climate Change, 14) National Policy and Framework Law on Climate Change and 15) The Kyoto Protocol and finally the recent Paris and NDC agreement under the United Nations Framework Convention on Climate Change.

3.2 Problems that the Project intended to address: threats and barriers

The main threats identified were: habitat loss, degradation and fragmentation; water pollution; overgrazing; forest fires and Climate Change (CC). The following summarizes the contributions proposed by the project to reduce deforestation and degradation of dry and humid forests, desertification and threats to the BD in the southeast and western regions of Guatemala:

1. **Deforestation.** 1) Reform of the Guatemalan Agricultural Policy with the incorporation of SFM and SLM. 2) It will implement two SFM / REDD+ pilot projects.
2. **Habitat loss, degradation and fragmentation.** 1) Four agreements for the conservation of BD and forests between municipalities and local associations. 2) Biological corridor of 420 hectares between remaining forests.
3. **Contamination of water bodies.** 1) Best management practices (BMP) for waste disposal in an environmentally friendly way. 2) Technical and financial support for access to PINPEP and PINFOR.
4. **Overgrazing.** 1) Promotion of semi-confined system and BMP for livestock.
5. **Forest fires.** 1) Equipment and training for four municipal environmental / forestry offices in the region of the southeast for the control of forest fires. 2) SFM / SLM plans for the upper and middle sections of the Ostúa River Basin and the Ayarza Lagoon.
6. **Climate change.** 1) Carbon capture through forest conservation, reforestation and rehabilitation of degraded areas through natural regeneration. 2) Connectivity between forest blocks and conservation areas in the department of Huehuetenango.

The barriers that the project sought to address were related to the political - institutional framework and the capacities of the authorities and communities for sustainable management, which was defined in the PRODOC, as follows:

1. A weak policy and institutional framework limits SFM, SLM and BD conservation.
2. Limited capacity of the environmental authorities and local communities for SFM / SLM and environmental management: (a) In the department of Huehuetenango, there was little local capacity for environmental management (territorial planning, sustainable management of forests, conservation of BD and sustainable agriculture); b) In South east there was limited experience in SFM and SLM and lack of the skills needed to effectively reduce deforestation, loss of forest coverage and soil degradation.

3.3 Project's description and strategy

The project responds to the GEF 5 strategy for SFM/REDD+, as well as the BD, LD and Climate Change Mitigation (CCM) focal areas. In particular, the project addresses: (1) the SFM/REDD-1

objective, which seeks to reduce pressure on forest resources and generate sustainable flows of forest ecosystem services; 2) Biodiversity objective 2 "Integrate Biodiversity Conservation and Sustainable Use into Land, Sea and Sector Productive Landscapes by Adapting Production Practices in Agriculture and Livestock to Maintain Biodiversity Patterns and Ecological Processes" ; 3) Objective CCM-3, "Renewable Energy - Promote the investment in Renewable Energy Technologies"; (4) Objective CCM-5 "Promote the conservation and enhancement of carbon stocks through sustainable management of land use, land-use change and forestry"; Objectives LD-2 and LD-3 on Forest Landscapes "Generate sustainable flows of forest ecosystem services in drylands, including the sustainability of livelihoods of forest-dependent people" and Integrated Landscapes "Reduce pressures on natural resources due to opposing uses of land in the wider landscape".

The project's goal is to strengthen the soil and forest management processes and the conservation of biological diversity in order to ensure the flow of multiple ecosystem services while ensuring resilience to climate change. It includes two components, through which the following results are expected:

a. Component 1: Regulatory and institutional framework integrates the SFM and SLM principles and strengthens the capacity for integrated environmental and soil management

b. Component 2: The pilot projects for Sustainable Forest/ REDD+ Management and Sustainable Soil Management, reduce soil degradation, improve carbon stocks and strengthen biodiversity conservation in south-eastern and western Guatemala. Two pilot projects are covered in this component:

Pilot 1: Sustainable Forest/REDD+ Management and Sustainable Soil Management, improve carbon stocks and reduce deforestation in the dry forest mountain landscape in southeastern Guatemala.

Pilot 2: Sustainable Forest/REDD+ Management, enhances the ecosystem connectivity and contributes to the conservation of biodiversity in the humid mountain landscape in western Guatemala.

The project's results framework is presented in Annex 6.8, which specifies the results (7) at each component's level and the expected outputs (19) according to the original design in order to achieve those results.

The project's intervention area is the South East and Western Highlands of Guatemala. The Southeast Region covers the basin of the Ayarza Lagoon (3,112.5 ha), the upper and middle part of the Ostúa River basin (30,729 ha and 52,239 ha respectively). This area includes the Departments of Santa Rosa (Casillas and San Rafael Las Flores), Jalapa (Jalapa, Monjas,

Mataquescuintla, San Pedro Pínula, San Carlos Alzatate, San Luis Jilotepeque and San Manuel Chaparrón) and Jutiapa (El Progreso, Quesada, Santa Catarina Mita, Asunción Mita and Agua Blanca). In the Western Region, it will be implemented in the department of Huehuetenango (region designated in Pilot Project 2) specifically the municipalities of San Juan Ixcoy, Todos Santos Cuchumatán, San Pedro Soloma, Santa Eulalia and Chiantla.

3.4 Project Implementation Arrangements

The project is implemented under the Direct Implementation Modality (DIM), through UNDP as the GEF Implementing Agency; which provides project cycle management services in accordance with UNDP standards and norms.

At the national level, the general management is carried out through a Project Board, which is the highest decision-making body. It is integrated by UNDP as the Executing Agency; the MARN. It also has a Technical Advisory Committee (CTA) with the participation of the Ministry of Agriculture (MAGA), National Council of Protected Areas (CONAP), National Forestry Institute (INAB), SEGEPLAN, INE, FUNDAECO.

The implementation operation is carried out by the Project Management Unit (PMU), led by a Project Coordinator, which is supported by Technical Assistant (project specialist), a Financial Assistant and a Secretary with headquarters in Guatemala City and a Technician to follow up at the level of the communities of the East Region. The design contemplated the support of a Policy Consultant, an Expert on Soil Degradation, a SFM/SLM Expert, an Expert on Basin/Hydrologist and a Legal Expert, as well as the possibility of contracting, through consultancies, of other personnel required to achieve the Project's objectives. At the local level, the project has another management mechanism denominated the Local Monitoring Committee (LMC), with representation in the CTA. Through an agreement, FUNDAECO, as it was incorporated in the PRODOC, executes activities and resources in the western region. Also for its execution, the project has cooperation agreements with INAB Municipalities and civil society organizations.

3.5 Project execution deadlines and milestones to meet during development

The project officially started with the signature of the PRODOC on October 31st, 2013, and it was until March 2014 that the active implementation started. The execution is planned for five years, so it is currently in its third year and is planned to finish in October 2018. PRODOC does not set milestones to meet during its development regarding its results, however, it is possible to point out six key moments from its management point of view. See table 3.5.

Table 3.5: Six key moments from the management's point of view and the project's S & E

Type of Activity	Timeframe
Inception Workshop (IT)	Two first months of project's start
Inception report	Immediately after the initial workshop
Measurement of the project's results verification mechanisms	Project's beginning, middle and end
Mid Term Evaluation	Mid-point in the project's implementation
Final evaluation	At least three months before finishing the project's implementation
Final Project Report	At least three months before finishing the project

Source: PRODOC.

3.6 Key stakeholders: List of key actors

The main national actors are MARN, CONAP, MAGA and INAB. At the local level, the most relevant stakeholders are the different municipalities of the departments of Jalapa, Jutiapa and Santa Rosa in the south-eastern region, the department of Huehuetenango in the western region, as well as civil society organizations (CSOs) and the local communities. Other participants include the Secretariat for Planning and Programming of the Presidency (SEGEPLAN), the Municipal Development Councils (COMUDES) and the Community Development Councils (COCODES), the Foundation for the Integral Development of Man and its Environment (CALMECAC), The Inter-American Development Bank (IDB), the German Development Bank (KFW) and the United Nations Development Program (UNDP). The summary of the role of these and other actors is shown in table 3.6.

Table 3.6. Stakeholders and their role in the project's implementation.

Actors / Stakeholders	Role in the project's implementation
MARN	Is in charge of formulating and implementing environmental policies in Guatemala. Guides actions for SLM, BD conservation and mitigation/adaptation to CC. Through the Direction of Climate Change, it provides technical and management guidelines with cooperation on climate change. Provides technical guidance and follow-up to SFM/REDD+ and CC related-activities. It also participates in the National Information System on Climate Change; the Directorate of Policies, the General Directorate of Environmental Management and Natural Resources with units such as DETEDESEQ and the Project Unit

Actors / Stakeholders	Role in the project's implementation
	which is the link between MARN and the PMU, with the assignment of facilitating the good performance of the projects in which MARN participates, providing the guarantees to product's ToRs and follow-up POAs implementation.
CONAP	As the focal point of the BDC, it has a central role in the formulation of policies/ strategies for SFM/REDD+, SLM, the conservation of the BD and the management of the Guatemalan System of Protected Areas SIGAP. Its most important role is the administration of renewable natural resources in protected areas and in the case of the project, especially in Huehuetenango.
INAB	It is the entity in charge of the execution and promotion of forest policies. It will facilitate access to technical assistance, technology and services to SFM/REDD+ for municipalities and other stakeholders. Its role in the project is to promote, facilitate and certify forestry projects under the scheme of incentives for use, management and conservation.
MAGA	Responsible for formulating and implementing a policy for the development of agriculture and the sustainable use of renewable natural resources and their services. It will promote the project activities for SLM and LULUCF.
SEGEPLAN	Responsible for the validation of the project on behalf of the Government of Guatemala. Their role in the project is to facilitate municipal development plans in order to integrate them into national planning.
Municipalities	Are responsible for the sustainable management of natural resources within their jurisdictions and for the elaboration of environmental regulations. Their role is to facilitate forest management through MFO. Three western municipalities report in kind co-financing.
COMUDES and COCODES	They will participate in the decision making processes related to SFM / SLM and the conservation of the BD. COCODES will serve as a liaison between the community and other stakeholders to ensure good communication and collaboration for the benefit of the project.

Actors / Stakeholders	Role in the project's implementation
Local Communities	They will implement good management practices for the forest and agricultural production in order to improve soil productivity, maintain forest coverage and DB conservation. They will be the beneficiaries of the training, technical assistance and economic incentives for the implementation of SLM and SFM / REDD +.
Private Sector and Society Organizations	Represented through the Gremial Forestal of Guatemala, the Jalapa Forestry Association (ASILIA), ICUZONDEHUE, ASILVOCHANCOL, the Association of Organizations of Cuchumatanes (ASOCUCH). In general, its role is to promote SFM / SLM by implementing activities in conjunction with the forest project and its guidelines.
FUNDAECO	Will develop activities for the conservation of forests and BD in the department of Huehuetenango (pilot region 2). Implement SMF / SLM activities and Conservation Agreements financed by the project; in addition to partially co-finance those activities set out in the Project's LF.
CALMECAC	Will contribute to the implementation of the PINFOR and PINPEP incentives and is also one of the project's co-financier.
IDB	Supports the Government of Guatemala in the development of the Platform for Reducing Emissions from Deforestation and Forest Degradation (REDD +), it will participate in the coordination of actions for the development of REDD + activities in the Western and Southeastern regions.
KFW	The KFW will be one of the project's co-financiers. It will develop a project in the dry region of southeast.
UNDP	UNDP is the Project Implementation Agency and is responsible for monitoring its implementation. Provides guidance, institutional support and technical and administrative assistance, as well as knowledge for the effective implementation of the project.

Source: PRODOC. Summary and adjustment of table 5.

4 FINDINGS

4.1 Project strategy

4.1.1 Project design

The project corresponds to the complexity of a multifocal design which intended to solve the problem diagnosed through 6 main threats identified in the PIF: deforestation, loss, degradation and fragmentation of the habitat; pollution of water bodies; overgrazing; forest fires, and Climate Change (CC). As part of its solution, the challenge was to solve the two barriers (Weak policy and institutional framework and limited capacity on the part of environmental authorities and local communities) identified through a strategy and a results framework conceived in a logical and attainable way, with the exception of the expectations created around the national REDD + strategy, as one of the key tools for achieving results in pilot projects, process that has had a slow progress and has not allowed to leverage some results that depend on it. Its main logic raises as theory of change (See Chart 1), the strengthening of soil and forest management processes, and the conservation of biological diversity, can be achieved with a "Regulatory and Institutional Framework" that integrates the principles of sustainable forest management (SFM) and sustainable land management (SLM). Specifically, reducing soil degradation, enhancing carbon stocks and strengthening biodiversity conservation in the Southeast and West of Guatemala can be achieved as a contribution to sustainable forest management/REDD+ and sustainable management of the soils. This will be feasible through the achievement of the expected results for the two components, as stated in the strategy

During the design and inception workshop, stakeholders were incorporated within the project's actions and with resources available to support the project's execution: MARN, CONAP, INAB, IDB, MAGA, SEGEPLAN, FUNDAECO. PRODOC remains the same as it was designed, it incorporates few elements variations to the PIF, and the substantive modifications, generally seek to increase the scope in the proposed results. It includes a Sustainability analysis (point 2.8), as well as risk and assumptions of the Logical Framework (LF). As particular elements, it should be mentioned that the design prevents the risk by a "Limited preparation of the Government for SFM/REDD+" (Table 7), and the assumption on carbon markets "There are stable markets for the sale and purchase of carbon credits or international funds willing to make a performance payment" (point 3.2). Prevision was positive, as there are currently no stable markets and on the other hand until today the country has not defined whether it accesses international funds for performance pay.

It addresses national priorities and is driven by a broader strategic vision of the country and adds strength to other initiatives, such as the Program for the Conservation and Sustainable Use of Biodiversity in Coastal Marine Protected Areas (APMs), also co-financed by the GEF and others that have other financial sources.

National policies, as well as the institutional framework of CONAP, MARN, INAB, MAGA, Municipalities, NGOs and local government, are included in topics on forest management and conservation, including their financial mechanisms, degradation and land use and

conservation of biodiversity. It was visionary to incorporate aspects related to climate change policies and the national REDD+ strategy, however, it was not considered that there could be a time lag in the process of defining and implementing the REDD+ strategy and the implementation of the project's activities. Aspects that prevented that the activities and results that depended on the strategy were managed and obtained differently than was designed.

It incorporates topics of people's quality of life based on the sustainability of their livelihoods, related to the proper use of soils, income, long-term productivity and conservation of forest ecosystems in collective and private spaces. Although it is recommended for implementation, the design does not incorporate lessons learned from other projects.

Despite the existence of interinstitutional agreements between MARN, CONAP, INAB, MAGA and ANAM for the collaboration and coordination between two or more of these agencies, PRODOC included the product "Interinstitutional Agreements" (P 1.1.1), which was discarded since the beginning of the execution, considering that it was no longer necessary, due to the country's existing legal / institutional framework. This is based on the conclusions of the consultancy "Creation of the Interagency Agreement for the Inclusion of the Principles of Sustainable Management of Forests and Soils", corroborated by Departments or Policy Units of the institutions involved and agreed in an administrative closure of the consultancy act in June 2015.

It does not directly address other dimensions of development, but presents the potential to develop experiences that promote greater equity in issues of income, health, education and gender; which could eventually fuel the improvement of public policies in environmental matters. It also does not have a general work schedule that shows the time period in which it is expected to have complied with each of the results/indicators.

Although the gender issue was not developed, it is considered implicit when the achievement of indicators is pursued in the subject of saving stoves, the reduction of the consumption of firewood, as well as the farm management in Chimal. This issue has been strengthened with the incorporation of the gender dimension in ENREDD+. In addition, at the level of Municipalities the project coordinates actions with the Municipal Women's Office that regularly is within the MFO. Although this project does not specifically target women or girls as direct beneficiaries; knowing UNDP, GEF mechanisms or other projects, it is possible to include that topic in the project's potential approaches to attend it. Such is the case of the evaluation conducted in 2016 in conjunction with the UNDP Regional Center; and the gender perspective in ENREDD+.

Knowing that MARN, INAB, CONAP and MAGA were the most influential national institutions in the project design phase, the personnel rotation of the public institutions influenced that the contributions to the design were very varied or did not participate in it (3 presidential elections occurred in that period).

Since the beginning of the project it was not possible to have an accuracy in the overall compliance time of the results and indicators, since there is no general work schedule that shows the period of time in which it is expected to have fulfilled each one of those results/indicators.

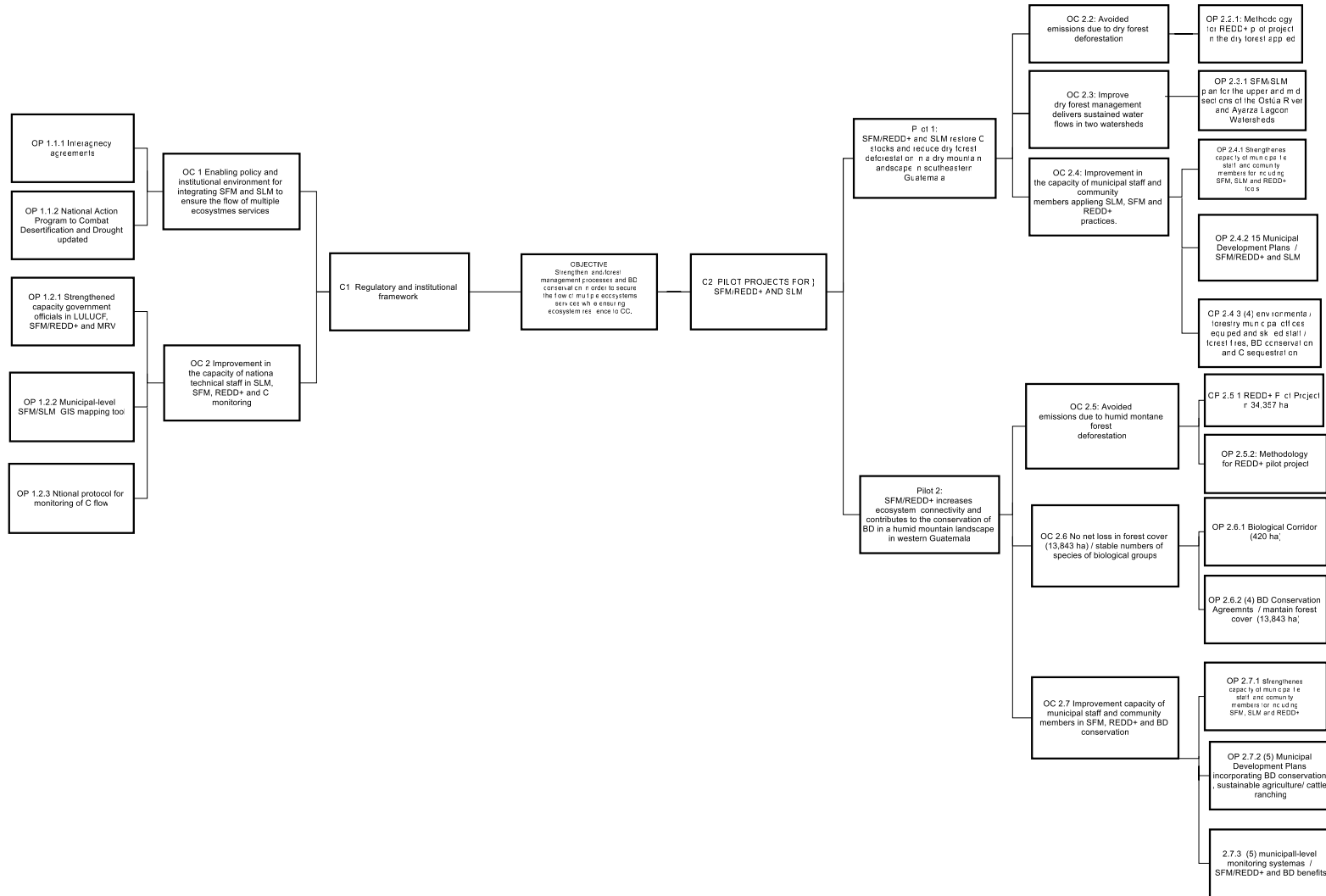


Figure 1. Project strategy. Chaining of results.
Source: own elaboration, based on PRODOC.

The logic of the original design has been maintained to date, it has been an instrument that has facilitated the project's management by results. It allowed the formulation of annual planning (POA) and its programmatic execution. Through various adaptive efforts, it has facilitated the implementation of the proposed activities.

4.1.2 Results Framework / Logical Framework

The original PRODOC design is maintained. It raises a clear vertical logic, based on the chain of results, in relation to the way in which the project intended to intervene to contribute to the overall development objective.

Some of the project's baseline indicators related to the quantitative forest topic do not refer to the primary source from which they were obtained, so that they can serve as a reference for consultants and project staff in the project's subsequent monitoring and evaluation. A clear example is the area of 13,843 ha of humid forest in the West under CCB standards, it is known that 13,343 correspond to the forest coverage that they propose to unite through the biological corridor; however, with the remaining 540 ha, it is not certain where this area of land is completed.

In particular, performance-related indicators that depend on the implementation of the REDD+ national strategy, present relevance problems since there is high uncertainty that a project can be established under the REDD+ framework for voluntary market. The logical framework does not define goals in the mid-term and for the following indicators, only the measurement at the end of the project (at five years), which makes it difficult to follow up during the execution:

1. "Emissions avoided (tCO₂-e) from deforestation by forest type over a period of 5 years (SFM / REDD-1)"
2. "tCO₂-e sequestered through the dry forest rehabilitation"
3. "Income / gross contributions (US dollars) for reducing emissions under REDD+ over a period of 5 years," for Pilot 1.
4. "Number of protected hectares through REDD+ practices over a period of 5 years"
5. "Income / gross contributions (US dollars) for reducing emissions under REDD+ over a period of 5 years," for pilot 2.

These indicators are linked to results that would be obtained through the implementation of the REDD+ strategy, which as mentioned before has not been implemented so far. Aspects

to consider, given the uncertainty that perhaps this strategy cannot be implemented during the execution of the project's remaining period. Other inconsistencies that to date have not been adjusted in LF and that should be managed as a corrective action, concern the following cases:

1. The indicator of the areas recovered³ in the South-East and West (already corrected in the PIR 2016, without having that change socialized with the region's stakeholders), which in fact correspond to 547 ha and 3,000 ha, respectively, and not on the contrary as it appears from the beginning in PRODOC. This indicator had its implication in two other indicators on sequestered carbon; Indicators that in the LF still remain inconsistent for the two pilot areas.
2. The value of the baseline indicator on tons of CO₂-e sequestered in the West is higher than that indicated in the project's target⁴. This turns out to be an inconsistency, because the baseline indicator corresponds to the project's goal and vice versa. However, it is possible that this inconsistency is due to the change of area that are to be recovered in the pilot areas and not precisely to the exchange of indicators; which could be recalculated based on the corrected areas, of sequestered CO₂-e for the two pilot areas.
3. It was found in the logical framework and PRODOC that in the baseline that refers to the listing of the eight amphibian indicator species, *Plectrohyla hartwegi* appears two times. According to what is mentioned in PRODOC and considered by FUNDAECO, the corresponding species would be: *Bolitoglossa hartwegi* as this is indicative of the montane humid forest and does not appear in the baseline.
4. Regarding the indicator "Emissions avoided (tCO₂-e) by deforestation by forest type" over a period of 5 years (SFM/REDD-1)⁵, were identified as inconsistent in the calculation of CO₂-e used in PRODOC and the one used in TT.
5. PRODOC mentions indicators of areas of forest or land to reforest, information that the actors and implementers lack in the field, which makes it difficult for them to establish with certainty to which extensions of area they refer, for example, the 6,838.47 hectares proposed to maintain their coverage. Although TTs have been developed since the beginning of the project, these TT contain only numbers without reference to be able to

³ Note that according to the 2016 PIR, the targets at the end of the project were corrected, so for the dry forest corresponds to 547 ha and for the humid forest 1,300 ha, and not as they appear in the Logical Framework. Although this has been formally modified in the 2016 PIR, it has not been socialized towards the UNDP technician in the southeast region and FUNDAECO, since both handle the original and inconsistent data of PRODOC.

⁴ This indicator needs to be recalculated considering that the correct forest area is 3,000 ha.

⁵ It will be necessary to unify criteria for that calculation. In addition, for the next measurement, it is expected to consider the allometric equations applied to each pilot area; 2) It will be necessary to establish the method of calculating the avoided emissions to be used, based on specific allometric equations for the two pilot areas being consulted; since there are serious discrepancies between the TT measures at medium term and what is reported by the 2016 PIR, in which that measurement was not required either.

determine with certainty to which area in the field the indicator refers and or the expected result. The reason for these inconsistencies was the lack/poor documentation of the methodological process that generated each indicator of the TTs.

REDD+ pilot indicators by their very nature, were designed under a concept of Voluntary Market, however, with the country's current situation they depend on a national scheme. Consequently, a new analysis would see the feasibility and compliance of the indicators related to these results (emissions avoided, VCUs and revenues). An option for the future, but which requires an in-depth analysis to develop it, is to talk about emissions reduction, under a national scheme under the MARN regulatory framework, as expressed in Article 19 of the CC Act. A third option could be REDD+ projects under a national unregulated domestic market framework. However, in any of the three cases, it is necessary to develop, among others, the baseline, forest carbon flows, protocols or standards under which negotiations, monitoring and verification of avoided emissions would be carried out. The analysis of the three options practically implies a revision and adjustment of the LF taking into account the management that implies each one of those options; or in the last case to raise the adjustment under another type of scheme not considered initially, for example, the national forest incentives.

The suggested way to carry out a future revision and adjustment of the strategy and the Logical Framework would be through a participatory process, conducted by the PMU, which considers the following steps: 1) Preparation of a basic proposal by the PMU; 2) Workshop with the Project's Technical Advisory Committee, to discuss the proposal and define the adjustments; 3) Presentation of the adjustments and approval by the Project Board; and 4) Presentation and approval by UNDP Regional Office.

4.2 Progress towards results

4.2.1 Progress in the achievement of results

COMPONENT 1: REGULATORY AND INSTITUTIONAL FRAMEWORK INTEGRATES PRINCIPLES OF SUSTAINABLE FOREST MANAGEMENT (SFM) AND SUSTAINABLE LAND MANAGEMENT (SLM), AND STRENGTHENS INTEGRATED ENVIRONMENTAL LAND MANAGEMENT CAPACITY.

Output 1.1. Political and institutional enabling environment to integrate SFM and SLM principles into territorial planning through national level policies to ensure the flow of multiple ecosystem services for SFM/REDD+, LD and CCM.

The degree of achievement of the results is valued as satisfactory. Regarding the Interinstitutional Cooperation Agreements between MARN, CONAP, INAB, MAGA and ANAM,

the consultancy pointed out it was not feasible, since two of the concepts (Climate Change and Sustainable Forest Management) that were considered to be included in said Agreement, were already contained and considered in other legal or technical instruments, where there is an obligation of observance and application. Therefore, it was agreed that the inter-institutional cooperation agreements identified in PRODOC were unnecessary for implementation, due to the existence of other legal instruments of greater hierarchy (law of climate change, the updated National Agricultural Policy, the Strategy for the Recovery of the Forest Landscape, the Biodiversity Policy) that will allow this coordination.

The project supported the continuation of national forest incentive programs through the promotion of the PROBOSQUE Act, which aims to increase the country's forest coverage through the creation and implementation of the Incentives Program for the Establishment, Recovery, Restoration, Management, Production and Protection of Forests. The Institutional and Five-Year Strategic Plan of INAB is in process.

In addition, the project supports the Department for Combating Land Degradation, Desertification and Drought in Guatemala (DTDESEQ) with the Inter-Institutional Technical Group for Sustainable Land Management, as elements that ensure good coordination and inclusion of the principles of SLM, SFM, Biodiversity and Climate Change in national policy processes.

The project contributed with the new proposal of National Policy to Combat Land Degradation, Desertification and Drought, which is in the process of achieving the corresponding Government Agreement. It is worth mentioning that POA 2017 also includes activities to support the updating of the National Program to Combat Desertification and Drought: 1) updating and aligning of the National Action Plan to Combat Land Degradation; 2) the development of a monitoring tool for the National Action Plan to Combat Land Degradation, Desertification and Drought for its reporting to the Convention; and 3) the nationwide socialization of the National Policy to Combat Land Degradation, Desertification and Drought.

The national protocol of institutional action and non-governmental organizations for protection against forest fires and fire management is also in the process of being achieved.

Output 1.2. 10 percent increase in the national technical staff's capacity according to the capacity development indicators (CONAP, INAB, and MAGA): 40 national technicians trained in SLM, SFM, REDD+ and C monitoring.

The degree of achievement of this result is valued as satisfactory. The project strengthened the capacity of national technical staff, government officials and field staff in LULUCF management practices, SFM/REDD+ and MRV methodologies: 1) Introduction in REDD+ and its components; 2) National Strategy, Levels of Reference, MRV and Safeguards, directed to municipal forest technicians; 3) Advanced Course for REDD+ applications: "Geographic Information Systems and Geospatial Technologies for Ecosystem Assessment and Management, and Introduction to Database Management Systems, Map Servers, Metadata Catalogs and Web Visualization" for REDD+; 4) Community Training of pilot areas 1 and 2 "Induction to the REDD+ theme, Benefits of Forests and Climate Change", among others and

always with the participation of the technicians of the organizations linked to the process of formulating the National REDD+ Strategy; Diploma in REDD+, MRV and Safeguards, in which an average of 38 people belonging to INAB, MEM, CEA-UVG, CONAP, IGN, ACOFOP, FUNDAECO, SOTZIL, SEGEPLAN, FAUSAC and MARN participated in the 4 modules, with active participation of 6 women and 32 men, taught in conjunction with CATIE-UVG. These results can be enhanced in the future, through the implementation of institutional framework regulations that promote and facilitate the generation of information that is useful for making decisions that correspond to each institution according to the legal mandate.

It has supported the visibility of gender considerations in the framework of the National REDD+ Strategy. Likewise, there is a consultancy "Systematization of the Work Path for the incorporation of a gender approach in the National REDD+ process and development of material for its dissemination both at a technical level and its mediation" which are the process of systematizing the national process of how has the incorporation of gender been done.

Actions were strengthened to develop the GIS mapping tools for SFM/SLM at the municipal level through the elaboration of the document on Design and Implementation of Environmental Information System for Institutions and Municipalities.

Its implementation is still pending, for which alliances with INE and SEGEPLAN are sought to ensure institutionalization, pertinence and operability, so as to provide the necessary information for all users.

It is supported, through the financing of the OCSE-Environment meetings. Through the collaboration agreement with INE, it seeks to develop and implement a digital platform for the provision of environmental information in support of INE. Have an: Environmental information template approved by central and municipal government institutions, the development of capacities of INE staff and their local liaisons to ensure the use of the template and other related tools; analysis of current environmental information that allow a more appropriate baseline and an adequate follow up and strengthening of national environmental statistics and to facilitate the process of implementation of the environmental information template, electronically and in the context of a computer tool to be set up as an Environmental Information System.

In order to have a National protocol for the monitoring of the C flow, the consultancy that is currently being executed "Consulting services to generate technical information related to forest carbon flows and strengthen institutional and municipal capacities (West and Southeast) in REDD+ issues as a contribution to the National Strategy" The consultant is currently working, developing local capacities.

The results on the technical capacity change for central government organizations show that there were virtually no improvements, since it is maintained at approximately 65% (INE and SEGEPLAN staff are not considered, since recent results were taken as baseline). According to the score cards, the greatest weakness of central government institutions is found in CR 5: Capacity for Monitoring and Evaluation. The trend in the same pilot area, for the local government (MARN and CONAP) was a small increase (73% to 75%); being in CR 2 and CR 5, where better performance was detected.

COMPONENT 2 - PILOT PROJECTS FOR SFM/REDD+ AND SLM, REDUCE LAND DEGRADATION, IMPROVE C STOCKS AND STRENGTHEN BD CONSERVATION IN THE SOUTH EAST AND WEST OF GUATEMALA.

Pilot 1: SFM/REDD+ and SLM improve C stocks and reduce dry forest deforestation in a dry mountain landscape in south-eastern Guatemala.

Output 2.1. Improvement in SFM/REDD+ and SFM restore dry forest C reserves over a period of 5 years (duration of the project): 116,848 tCO₂e sequestered (3,500 ha; biomass above ground). Output 2.1.1 - REDD+ pilot project in 17,456 ha; 3,500 ha which will be restored and reforested by planting native species and by means of natural regeneration.

The degree of achievement of this result is moderately satisfactory. The diagnosis and selection of the area to develop the REDD+ project is underway, as well as the construction of the baseline in the municipalities of the project's pilot region 1 located in the South East, Jutiapa, Jalapa and Santa Rosa departments.

In addition, it has contributed to capacity the building and development of maps that will serve to define the viability of REDD pilot project is pending.

Output 2.2. Emissions avoided by deforestation of dry forest: 413,114 tCO₂e over a period of 5 years (baseline area = 17,456 ha; biomass above ground).

The degree of achievement of this result is moderately satisfactory. There is a cooperation agreement with INAB and joint actions have been carried out, through the promotion of forestry incentives, as well as direct support to communities for better forest management. The diagnosis and selection of the area to develop the REDD+ project is underway. The methodology for a REDD+ pilot project is not yet applied.

Outcome 2.3. Improvement in dry forest management results in sustained water flows in two basins

The degree of achievement of this result is valued as satisfactory. The basin plans for the Ayarza Lagoon and the upper and middle part of the Ostúa River basin were formulated. Within the actions for its implementation, the socialization of the plans with the related municipalities is being planned, so that they can be used as documents that support the management in the territories and the formulation of municipal planning instruments: Plans for municipal regulation and territorial planning.

In addition, a cooperation agreement was signed with the Solar Foundation, for the implementation of the energy efficient stoves program, with the purpose of reducing fuelwood

consumption and GHG emissions. This activity could positively and significantly impact the project on gender issues and reduction of GHG emissions; also due to the importance of the use of firewood in the homes of the south east, and even in the West of the country, although this type of intervention is not included for this area.

Output 2.4. 10 percent of increase in the capacity of the municipal staff and community members as measured by capacity development indicators: 60 municipal technicians and 1,500 community members apply SLM, SFM and REDD+ practices.

The degree of achievement of this result is valued as satisfactory. A series of workshops were developed related to the themes of forest management, environmental management, fire control, forest firefighters, led by the project and in conjunction with INAB, CONAP, SIPECIF, United States Forest Service, on issues of geographic information systems, forest management, forest measurements, REDD+. In addition: Adaptation to climate change, control of forest fires, increase of carbon stocks (through sustainable management practices of REDD+ forests and soil, reforestation, natural regeneration, and agroforestry activities), Biodiversity conservation, land management. These actions support environmental and forest governance through the strengthening of MFO.

The workshop allowed the generation of some preliminary results: 1) creation (Municipality of San Rafael de las Flores, Jalapa, Municipality of San Carlos and Santa Catalina Mita) and strengthening of Municipal Forestry Offices and Environmental Management Units; 2) Develop proposals for new activities (Energetic forests, create and upgrade nurseries, increase municipal budget, create a forest fire brigade, strategy to strengthen the MFO, include more technicians, protect protected areas, improve forest control practices and illegal logging, Protect areas of water recharge, support protected area; 3) Socialize family consumption in areas where INAB cannot access; registration of MFO before INAB; 4) design a tariff system for municipal forest services and 5) Improve the granting of INAB licenses; and 6) improve the management of water resources.

A cooperation agreement was signed with AGEXPORT for the development of actions that allow the improvement of local associativity, at the same time that productive chains linked to forest management and land use are formulated. A cooperation agreement with CATIE was also signed for the development of a program to create and improve agroforestry systems.

Although the training of the municipal technicians was verified and that members of the community apply SLM, SFM practices; for the moment, the project does not have the necessary information to show if the training has been fully achieved.

The environmental dimension of the Municipal Development Plans (PDM) of 15 municipalities in pilot region 1 were updated, in order to reduce their vulnerability to the effects of climate change and to strengthen and promote sustainable development processes based on environmental goods and services: 7 in the Department of Jalapa (Jalapa, Mataquescuintla, Monjas, San Carlos Alzatate, San Luis Jilotepeque, San Manuel Chaparrón, San Pedro Pinula); 9 in the Department of Jutiapa (Agua Blanca, Asunción Mita, El Progreso, Jutiapa, Quezada,

Santa Catarina Mita; and 2 in the Department of Santa Rosa (Casillas and Santa Rosa). It also included training workshops for municipal staff.

In addition, the methodology for the alignment the Municipal Development Plans (PDM) with the National Development Plan "Katun": Our Guatemala 2032" was consolidated and socialized, and the development of the related planning instruments in support of SEGEPLAN: 1) Strategic Institutional Plan (PEI); 2) the Multi-Year Operating Plan (POM) and 3) the Annual Operating Plan (POA).

The equipment of the 15 municipal forest offices (office, forest and fire control) was also delivered: 7 in the Department of Jalapa (Jalapa, Mataquescuintla, Monjas, San Carlos Alzatate, San Luis Jilotepeque, San Manuel Chaparrón, San Pedro Pinula); 9 in the Department of Jutiapa (Agua Blanca, Asunción Mita, El Progreso, Jutiapa, Quezada, Santa Catarina Mita and 2 in the Department of Santa Rosa (Casillas and Santa Rosa) are registered and still without entering the inventory of goods of the municipality. They are in good condition, are used in the proper functions of the MFO.

It is worth noting that trainings were also directed to the use of the equipment and that it was important to ensure that municipalities have a document from the Municipal Council, pledging to continue supporting the MFO operations.

The result of the technical capacities comparing baseline and previous to the MTR, indicates that the average of the 11 municipalities of the south east, capacities decreased from 35% to 32%; showing that the major weaknesses are especially concentrated in CR3, CR4 and CR5.

In general, the municipalities perceive a positive change in establishing or strengthening municipal forestry offices, led by young and enthusiastic staff with a lot of initiative.

Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to BD conservation in a humid mountain landscape in western Guatemala.

Output 2.5. Emissions avoided by deforestation of montane humid forest: 468,360 tCO₂-e over a period of 5 years (basal area = 34,357 ha; biomass above ground).

The degree of achievement of this result is moderately satisfactory. The diagnosis and selection of the area to develop the REDD+ project is in process, as well as the construction of the baseline in the municipalities of pilot region 2. The development of capacities is also pending, as well as the development of the maps that will be used to define the viability of the project.

With INAB's cooperation agreement, joint actions have been taken, the promotion of forestry incentives, as well as a direct support to communities to achieve better forest management. However, the methodology for a REDD+ pilot project is not yet applied.

Outcome 2.6. The no net loss of forest coverage (13,843 ha) in five forest landscapes / agricultural production (listed in the text) maintains the number of species of biological groups stable (plants and amphibians).

The degree of achievement of this result is valued highly satisfactory. In cooperation with FUNDAECO and based on conservation agreements (see Annex 6.9 and 6.10), actions were taken to promote natural regeneration, agroforestry systems, shade coffee and reforestation. Which contribute to maintain the corridor and improve this connectivity of the protected areas.

Within the framework of the Todos Santos Conservation Agreement: 72 ha of natural forest, 9 ha of sheep fodder and 8 ha of Agroforestry Systems. In the case of the Agreement with San José las Flores, 20.7 ha of established forests and 15.13 ha already have incentives and 10 ha of SAF. The Magdalena Site Conservation Agreement: 100.18 ha of natural regeneration; Kab'Tzin area, 5.95 ha of reforestation; 91.08 ha of protection management and 49.80 of reforestation, protection and SAF. The Cruz Maltín Agreement: 21 ha of coffee under certification.

According to monitoring carried out by FUNDAECO, reported in the PIR 2016, the number of species of biological groups is stable: 1) 8 species of amphibians: (*Plectrohyla tecunumani*, *Bolitoglossa nussbaumi*, *Pseudoeurycea rex*, *Plectrohyla hartwegi*, *Dendrotriton cuchumatanus*, *Bolitoglossa hartwegi*⁶, *Plectrohyla Ixil*, *Craugastor lineatus*); and 2) 11 plant species (*Pinus hartwegii*, *Pinus pseudostrobus*, *Pinus ayacahuite*, *Alnus jorulensis*, *Alnus firmifolia*, *Arbutus xalapensis*, *Cupressus lusitanica*, *Juniperus standleyi*, *Abies guatemalensis*, *Quercus sp.*, *Cleome Budleya*).

Communities such as CHEMAL I in the West have experienced a development in terms of their productive activities, which will be of great benefit when disseminating those results. The observed farm system seems a good option where several objectives are mixed as an opportunity for women to participate (20% of the direct beneficiaries are women), reduce grazing area and time favoring natural regeneration; composting and animal health. Reducing grazing reduces the working time of women and young people, which helps women to improve their income by performing other productive activities such as the making of fabrics and children can have more time to attend school regularly; as well as the compaction of soil and de-favoring the establishment of the natural regeneration of arboreal species of great economic interest for the community.

⁶ *Bolitoglossa hartwegi* is the correct species, although in PRODOC it appears repeated *Plectrohyla hartwegi*

Output 2.7. 10 percent increase of municipal staff and community members' capacity as measured by capacity development indicators: 15 municipal technicians and 150 community members apply SFM, REDD+ and DB conservation practices.

The degree of achievement of this result is valued as satisfactory. We have worked together with INAB, MARN and FUNDAECO to develop the local capacities of both municipal forest technicians and members of the communities.

According to INAB, 16 training and forestry extension events were held, 24 events to support municipal forestry offices, 16 meetings for forest promotion and governance, 9 training events with the PINPEP platforms.

It benefited coordinators and technicians from MFO, COCODES and schools, indigenous peoples and community organizations. The capacity to manage buffer zones and protected areas was strengthened, creation of a natural resources commission, rising of springs, and diagnostics of forests.

The municipalities have also been supported in the construction and socialization of the tools for the formulation of the national planning instruments: PDM, PEI, POM and POA.

Although it was possible to verify the training of the municipal technicians and what members of the community apply SLM, SFM practices, for the moment the project does not have the necessary information to evidence if the product has been totally achieved.

FUNDAECO has carried out scientific monitoring, in order to corroborate the presence of the prioritized species (8 species of amphibians and 11 species of plants); the presence of these species is maintained as the forest areas of the Conservation Agreements remain stable.

Work is being done within the framework of conservation agreements on actions aimed at ensuring the permanence of the priority species. Through the consultancy for the "design and implementation of a Biological Monitoring System with local communities and municipalities within the Pilot 2 region", the development of a program with its respective mechanism, whereby you can have the participation of communities in the process of monitoring the species.

The improvement of the natural regeneration of prioritized species has been supported, as well as the participation of the communities of San José las Flores in the development of the biological monitoring system.

In the process of developing the five monitoring systems at the municipal level to evaluate the benefits of SFM/REDD+ and BD, where POA 2017 includes a consultancy for the design and implementation of the monitoring.

The results on the change of technical capacities for the case of the 5 municipalities of Huehuetenango indicates a decrease in capacities from 46% to 39%; being CR3, CR4 and especially CR5, where further attention is required. Finally, the only sector in which there was an improvement in technical capacities was the Associations of the same region, ICOZUNDEHUE and ASILVOCANCHOL, with a "high" level of development (65% to 73%). In general, the results in the change of capacities, based on the baseline presented in the

PRODOC and the previous revision to the MTR, has not achieved the increase in the capacities (10%).

4.2.2 Progress analysis within the results

Annex 6.11., Includes the completion of the project's "Progress Matrix of results achieved". This includes information on the current value of the indicators, the assessment and justification of the results. Based on the assessments made (Annex 6.12), it is possible to define that the project presents a mid-term progress with a "satisfactory" level.

It has made "satisfactory" progress towards achieving its goal of "Strengthening soil and forest management processes and BD conservation to ensure the flow of multiple ecosystem services while ensuring resilience to CC".

In a "Moderately satisfactory" way, it has been able to achieve the expected result through the implementation of the Pilot projects for SFM/REDD+ and SLM, to reduce soil degradation, improve C reserves and strengthen BD conservation in the southeast and west of Guatemala.

In regard to the pilot projects implemented, the results for pilot 1 (SFM/REDD+ and SLM), present a "Moderately satisfactory" level, to improve C reserves and reduce deforestation in a forest mountain landscape in the southeast from Guatemala. With this same value, it allowed pilot 2 (SFM/REDD+ and SLM) to increase ecosystem connectivity and contribute to the conservation of the BD in a humid mountain landscape in western Guatemala. These assessments in the understanding that Guatemala's REDD+ strategy, despite receiving project support, has not yet been implemented; but that, despite the uncertainty about the exact date of initiation, the country has advanced the preparation process. While maintaining the forest coverage, the carbon stock is maintained neutral, it is not possible to apply the REDD+ mechanism proposed in PRODOC for the achievement of indicators of this topic, so this report proposes a strategic review of these indicators. The considerations derived from the analysis are detailed below using the following monitoring tools (TT):

- 1) **Regard the BD Objective 2 tool;** the mid-term evaluation on certification system does not include actions on organic certification of coffee in the West. The indicator for this objective is 13,840 under CCB standards; to date there is a 9,794.99 ha area, although a payment scheme for environmental services has not yet been established. However, this area is under natural regeneration, protection and agroforestry systems which is improving the ecological capabilities for carbon sequestration. Although this area has been entered under the modalities of forest economic incentives (PINFOR and PINPEP); this is still not being certified under any international standard of forest management; with the exception of approximately 20 ha of shade-certified coffee under the JAS and Bird trade scheme; contributing to the connectivity of 5,130 ha in Cerro Cruz Maltín.

Finally, the ecosystem connectivity and biodiversity conservation in the five prioritized municipalities is being strengthened to date through the implementation of municipal

regional parks such as Todos Santos Cuchumatán with 7,255,40 ha, Cerro Cruz Maltín with 5,130 ha and Stones Kab'Tzin with 317 ha.

Regarding the LD tool, with regard to the agro-ecological context, prior to the MTR, there have been agricultural interventions in 11 ha (9 ha in pastures in the Pilot 2 area; no activity has been developed in pilot area 1), and in forestry activities it reaches an extension of 14,198 ha. These forestry activities are those that have been facilitated by the Project in both pilot areas and are related to forestry promotion through the economic incentive programs of PINPEP and PINFOR.

The interventions in the field made by the Project that are reported are linked to sustainable forest management, which total an area of 701 ha; the areas of reforestation reach 1,981 ha; and 5,447 ha of natural protected areas by means of protected areas established at local level. These activities result in an integrated landscape that reaches 8,149 ha in both pilot areas.

The global environmental benefits to the MT can be accounted through the current vegetative cover of 6,838.47 ha. Emissions avoided as a result of the introduction, adoption and implementation of improved stoves in pilot area 1 is 0 tons of CO₂-e, due to the fact that the improved stoves have not yet been implemented by the Project in that area. Of the forestry activities promoted in both pilot areas the TT have reported 106,190 tCO₂-e; however, this figure should be considered as an indicative reference since it will be subject to verification when the carbon baseline survey activities are carried out.

- 2) **On the CCM-5 Climate Change Mitigation Tool**, it provides follow-up to LULUCF Objective 5 (Land Use, Land Use Change and Forestry). Indicators on carbon conservation, avoided deforestation and reforestation show a significant achievement with the project's actions; facilitated by access to forestry economic incentives in both pilot areas. At present, the process of facilitating access to forest economic incentives in both pilot areas has prevented deforestation by 7,254.88 ha which is equivalent to 355,949 tCO₂-e that were not released into the atmosphere. Likewise, reforestation processes have been promoted in 4,408.45 hectares, which gives us a total of 11,663.33 ha of forest coverage under protection and reforestation. Although INAB's forestry economic incentives (PINPEP and PINFOR) certify the adoption and implementation of good forestry practices; the option of developing and validating forest management measures at the national level (Guatemala Forestal Responsable -GFR-) is still under development of its validation. Finally, for the case of the monitoring of carbon stocks system, this is not yet available, there are only maps of forest dynamics and approximations of calculations on carbon maps at the national level.
- 3) **Regarding the TT for SFM/REDD+**, the income in US \$ derived from the sale of carbon credits in the international carbon markets is proposed for the end of the project, however, to date no revenues have been generated from the sale of credits, nor proposed a pilot project on REDD+. Indicators on forest plantations of native species, agroforestry systems and good forest management practices show low development; however, this TT result is established based on LF indicators that were changed from the beginning for the

two pilot areas. In correcting this error, according to the RIP 2016 the indicators have been exceeded.

Regarding the areas reached to date with respect to biomass, there are currently 5,645.97 ha of tropical dry bean and mixed forest, and 11,112.99 ha of tropical coniferous forests. These extensions have been supported to date by means of forest economic incentives (PINFOR and PINPEP) in pilot areas 1 and 2. The primary forest reported is 57,796.61 ha. The forest coverage under natural regeneration during the project's mid-term reaches an extension of 6,708.91 ha; of forest plantations corresponds to 199.97 ha and from agroforestry systems to 266.11 ha. This indicates that the incentives provided in both areas have diversified their modalities in agroforestry, plantations, and natural regeneration. With respect to forests under some property regime, only 6,243 hectares are reported under private property regime, which is based on incentives granted under the PINFOR scheme.

For sustainable forest management, in particular for the conservation and improvement of forest carbon reservoirs, 803.11 ha are reported for the dry forest (pilot area 1) and 5,905.08 ha for the montane rainforest. The deforestation avoided at the project's mid-term reaches an area of 7,245.88 ha. Regarding avoided deforestation projected for 20 years, it is expected to protect an area of 13,324.15 ha and for 30 years 16,762.47 ha. These estimates of forest area extensions should be rectified once the feasibility analyzes are carried out for the REDD+ projects with their respective forest carbon baselines.

The implementations of good forest management practices have been applied in 14,191.81 ha, which are under forest management plans. As for the extension of area under forest restoration / rehabilitation there are 4,408.45 ha reported. These good practices are intended to support the goal of offsetting environmental services such as carbon sequestration. PRODOC proposes to obtain carbon offset compensation of US\$ 661,105 in an area of 51,813 ha. However, to date, carbon credits for a potential sale have not been rectified or validated. This goal of selling carbon credits is suggested to be rectified based on an economic, social, and institutional feasibility study, which will allow the modification of a target according to the national conditions of a REDD+ project in both pilot areas and based on the viability of international carbon credit prices.

4.2.3 Remaining barriers to the achievement of Project objectives

The assessment on the development of institutional capacities shows that there has been progress in institutional central government and associations, but not in municipal governments. In addition, there is a rotation of personnel within the institutions, with the risk that in the future this may affect the project's goals, if the staff that was trained has to be replaced.

Regarding the Policy and Institutional Framework, the concern is the uncertainty about the implementation of the REDD+ strategy. A topic that the project has supported through a significant amount of resources to the pilots incorporated in the POA 2017, but without the guarantee that the strategy can be implemented before its finalization.

4.3 Project Implementation and Adaptive Management

4.3.1 Management Arrangements

The project is implemented under the Direct Implementation Modality (DIM). The opinion of actors such as MARN, INAB, and MAGA, towards the role of UNDP as an implementing entity is favorable. The technical assistance is provided on time and there is a favorable criterion of the partners on the quality of the interventions: consultancies, equipment, trainings, assessments and accompaniments.

It is shown that the implementation of the project mostly follows PRODOC guidelines. The operational phase of the project began with a certain delay, since the first year was mainly focused on the hiring of personnel who would lead the activities provided in the logical framework. In that same year, the work of the Project Management Unit (PMU) was significantly increased, since its coordinator also carried out the coordination of the Program for the Conservation and Sustainable Use of Biodiversity in Coastal Marine Protected Areas (PCUSB-APMs).

Until five months ago the PMU had a limited structure and capacity, because project coordination also assumed technical support and project follow-up. The current structure has a coordination that can be dedicated more to the institutional and managerial aspects and a specialist expert in the technical-scientific aspects in which the project intervenes. However, the staff performing administrative and secretarial functions is shared with the PCUSB-APMs, which does not fail to represent a current limitation in the project's management capacity. On this subject, it is important to note that the situation is related to what is established in PRODOC, where a workload was established for the positions of "Administrative/Financial Assistant" and "Secretary".

It is possible that in the face of the challenge of implementing the 2017 POA, as well as the work planned for 2018, it will be necessary to strengthen the PMU through some contracting mechanism, a person who supports coordination in project monitoring, articulation with the specialist and support to the administrative area in coordination with the project's financial administrative assistant.

The project defined a Project Board⁷, which met on a regular basis and a Local Monitoring Committee (CSL), of which the meetings resulted in an irregular manner. Also a tripartite commission, which has also met.

The local coordinations are made through the project's technician in the southeast region and in Huehuetenango through FUNDAECO and INAB. These have been effective for the realization of the activities, at the same time they are well qualified by the local partners: municipalities and organizations.

The "adaptive management" approach favored the integral management of the project towards the achievement of results. In this sense, decision-making is considered positive. Adaptations made with PRODOC included: 1) the integration of INE in environmental statistics; 2) the expansion of the number of municipalities benefiting from the equipment; 3) adjustment to POA; 4) modification of the heading of the components in the POA 2017.

In the case of field actions, the management mechanism involving beneficiary community associations has facilitated the implementation of the project and supports the achievement of results. The inclusion of COCODES in the decision-making is oriented towards a better achievement of results; this is improved when the project provides technical assistance to COMUDES and Municipal Corporation. Management through conservation agreements, with municipalities, COCODES and organizations (see annexes 6.9, 6.10 and 6.14) has been an effective management tool, facilitating positive results in the intervention areas and the participating actors.

The evaluation mission identified other instances that could be incorporated to support the project initiatives and which have not been considered so far. This is the case of: 1) MAGA through its structures of extension and technical assistance; 2) COFETAR (Commission for Economic Development, Tourism, Environment and Natural Resources); structure within the COMUDES that would strengthen the role of MFO (for example in the production of plants in nursery), 3) the Commonwealth figure existing in the southeast area (as long as it does not cover other areas outside direct intervention of the draft); 4) a greater INAB articulation in the case of energetic forests.

The reports presented are objective and realistic. The issue of quality in risk management is handled promptly in an assertive manner, closely linked to management and decision-making processes in a timely manner. Risk monitoring is incorporated in section 2 (Project Risks) of the "*Project Progress*".

The response from the parties involved has been good, however, the time to review the documents by the MARN is extended and affects the execution of the consultancies. In the case of CONAP, regarding the actions in the West, it has not been performed with the expected appropriation in the topics of competence and has not yet endorsed conservation agreements.

The budget processes are carried out in a timely manner and in an advisory manner, UNDP rules are followed for procurement and contracting processes, which in general have not

⁷ PRODOC makes reference to the Steering Committee, but in practice it is the Project Board

presented major inconvenience, except for minor procedures such as cancellation amounts per diems and expenses for small activities.

Some local government actors consider that in order to achieve greater progress in the actions of the local government, better coordination is required from central government authorities. Different management schemes are used in the two pilot areas, while credits for project support are recognized in the West region of the GEF and in the South-East region of UNDP; there is also in a good number of cases where recognition is made towards the direct actor in the area, for example FUNDAECO or in the last case to a person (technician of UNDP in southeast). It is suggested to follow up the "branding" policy with UNDP support, starting with a revision of PRODOC, in order to visualize the project and the country's Institutional, for the appropriate recognition of financing and implementers.

With regard to management, it has also contributed to the achievement of results: 1) promotion and facilitation to strengthen the Municipalities and MFO, partnering the registration process of the majority of MFO before INAB and the signing of "cooperation agreements for the decentralized management for the forest use for family consumption"; 2) Conservation Agreements as a tool that motivates and encourages communities or social groups to develop forest conservation initiatives; 3) participation of associations composed by staff from beneficiary communities.

In addition, the project is developing appropriate alliances, both with direct stakeholders as well as other tangential agents, making decisions that will favor environmental management, by including organizations such as AGEXPORT in strengthening the value chain, in the stages of business development partners, and marketing of products such as coffee.

However, staff turnover in both the Central and local Governments, as well as staff instability in some MFOs, have reduced the Project's ability to achieve some results in the forestry area.

4.3.2 Work planning

There is a general instrument of results programming that works as a roadmap for achieving results in the project cycle. In this the responsible for each result, product, activities and schedule are indicated. According to this general schedule, there are significant delays in the execution of the products. However, It is not updated to conduct the results in the final stage of the project, since it is not possible to have an accuracy in the overall compliance time of the results and indicators of the project.

Planning is carried out through Annual Operational Plans (POA) prepared by the PMU and endorsed by UNDP. For 2017 a large POA was designed as it exceeded the proposed one for the previous years, which is estimated at US\$2,282,035. This plan intends to take advantage of the project's third year to advance in the implementation. Which implies a series of actions that look forward. The presentation and validation of the POA is carried out every year by the high authorities of MARN.

It is considered that the work planning is oriented toward the achievement of the results and as stated in the logical framework, some changes have been made with the intention to adapt the planning to the scope of some results.

The project's results framework / logical framework is used as a management tool, the values of the indicators are updated annually. It has not had modifications to date, situation that create confusion between the actors and affect the management in the current context.

It would favor the management of the project, a greater linkage with the MARN medium-level liaison staff, both in key aspects of project management and as well as in the development of the project's POA.

4.3.3 Financing and co-financing

The financial controls established by UNDP have been followed, allowing the project management to make decisions based on accurate and relevant information on budgets and their execution. The system is transparent and complies with international standards audit mechanisms, so that the evolution of the execution can be observed and reported in real time for those who are linked to the management of this type of systems and information.

Table 4.3.3.1.: Budget execution of the GEF fund.

Year	2014	2015	2016	Total (US\$)	PRODOC percentage
PRODOC's annual budget (US\$)	961,102.00	1,179,613.00	815,593.00	2,956,308.00	67.19
Amount Annual Operating Plan (US\$)	233,826.00	548,644.00	853,148.00	1,635,618.00	37.17
Annual budget execution (US \$)	210,610.56	464,429.56	902,165.89	1,577,206.01	35.85
Percentage of implementation of the Annual Operational Plan	90.07	84.65	105.75	---	---

Source: Own elaboration based on information provided by the project.

Until 2016—the third year of implementation—the project showed a level of under-execution close to 64%, due to the fact that only US\$1,577,206 were executed, this represents 35.85% of what was expected for that year in the PRODOC. Although the execution of POAs budget is interpreted as high (between 90% and 105%), this does not mean that the project execution is also high, mainly because the amount programmed in the operational plans with respect to those indicated in the PRODOC, hardly reaches 37.17% for the analysis period. The level of under-execution is high and the management of the financial remainder, if no budgetary and

management measures are taken, there is a risk that it will be needed to extend the execution period, which could lead to an increase in operating expenses at the end of the project.

By 2017, the budgeted POA was the highest of the four years (US\$2,282,035.00). This is a special contingency plan, which exceeds in almost four times (365.90%) the amount scheduled for this year in PRODOC (US \$ 623,678.00). See figure 4.3.3.1. It also exceeds the sum of the amount executed and the amount projected by PRODOC for 2017 (US\$623678.00). The trends identified correspond to a sustained increase in implementation with respect to PRODOC and with respect to POAs; as well as an increase in budgeted amounts, showing a quantitative jump in 2017.

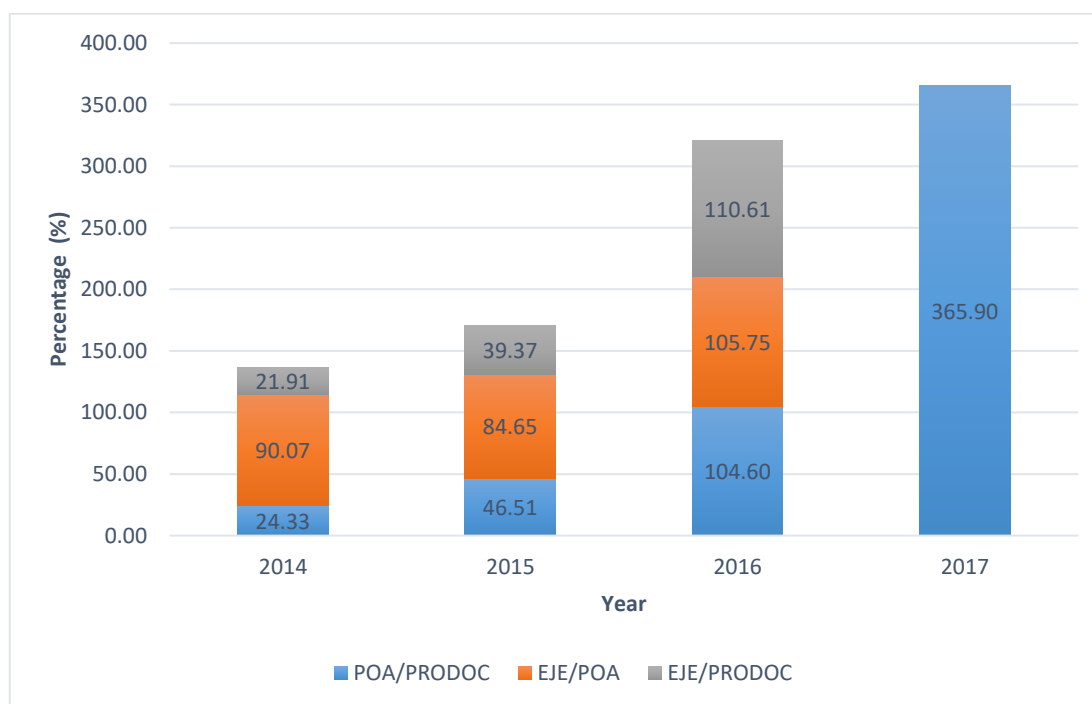


Chart No. 4.3.3.1.: Planning and budget execution. (%).

The budget planning for 2017 clearly expresses the commitment of the parties involved to execute the project in the programmed time. This proposal makes sense if one considers that the project has already reached a stage of installation and development; its structure has also been strengthened; and the proposal for that year is within the trend of cumulative budget execution, which represents in monetary terms, the project's learning to execute resources. See figure 4.3.3.2.

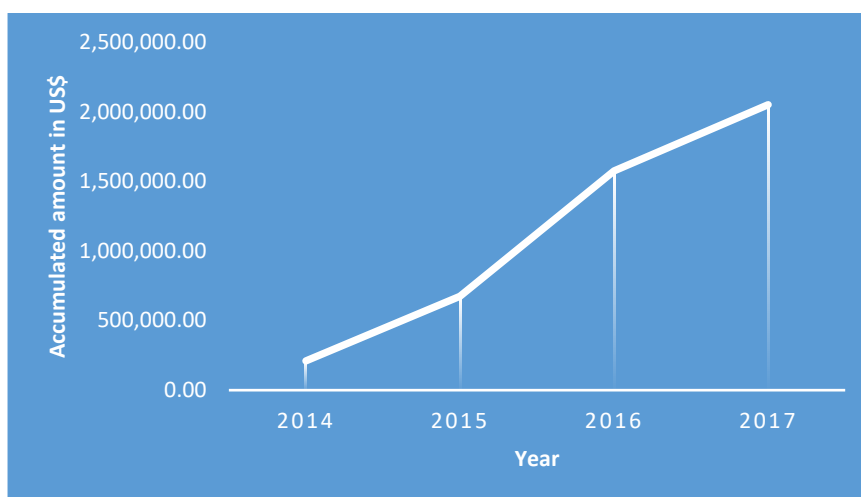


Chart 4.3.3.2.: Accumulated budget execution. Projected 2017.

However, this does not mean that there is no risk in the budget's decision-making process. Especially if it considers that the workload will be 100% greater in relation to the topic of substantive consultancies⁸, since they are planned for the recruitment of 19 consultancies in 2017, the number exceeds those contracted in the previous three years (18 consultancies). In that sense, three aspects deserve to be taken into account. Both the PMU and UNDP technical and administrative management areas that support it, as well as the partners, should increase the efficiency and work capacity to meet the challenge of implementing that budget. The PMU will require support in the administrative-financial area and the project's follow-up. Because a significant amount of the budget is spend in consultancies, the willingness of the partners and an effective working methodology for product review and approval will be necessary.

There has been due diligence with the management of resources. Two audits have been carried out so far, of which none reported project findings. There is a significant variation in the original destination of the budgeted resources, which is mainly due to an increase in resources for result 1, which has led to a reduction of resources for result 2. See table 4.3.3.2. As a result, the annual budget was increased by 266% for component 1, with US \$ 664,632.00 being used to cover hiring, representing 78.85% of the budgeted resources for this component and 46.66% of the total budget for 2017. In this regard, attention should be paid to strong work in the management of results and budgets for this year and for 2018, needs can be considered at the regional level, where budgets are also required to finance actions that can contribute to the project's objective, such as training and support with practical consultancies requested by community leaders: incorporation of lands to PROBOSQUE, production of nursery plants and establishment of plantations, technical assistance and accompaniment of MFO and investments in equipment.

⁸ Speaking only of the consultancies that defined in a direct way the achievement of the project's expected results

Certain expenditure items have been established in the UNDP agreement with INAB, however, there are some suggestions on the possibility of expanding the list of items, for example, smaller vehicle services.

Table 4.3.3.2.: Budget variation.

RESULT	PRODOC Budget (US\$)	POA Budget (US\$)
Result 1	534,000	1,424,225
Result 2	3,579,720	2,205,657
Project Management	286,280	287,771
TOTAL	4,400,000	3,917,653

Source: Own elaboration based on information provided by the project.

Co-financing barely reports a small percentage (9.71%)⁹ of the expected figure of US\$13,717,401.18. However, it has not been an obstacle for the project's implementation. In the case of MARN, the Municipalities, UNDP, CALMECAC and FUNDAECO have been effective. It should be noted that municipalities reached 100% of the co-financing expected in PRODOC, as well as UNDP with 99.93%, which is higher than expected for the half period. Also, CALMECAC (77.80%) and FUNDAECO (58.29), present higher than expected contributions in the half period. The MARN managed to contribute 48.11%, which represents an amount similar to what was expected. It is important to highlight that at the moment only KFW's contribution has not been perceived in cofinancing, because the project "Adapting to climate change in the Dry Corridor of Guatemala" was recently approved and is expected to start in 2017. See Table 4.3.3.3.

Table 4.3.3.3.: Project's co-financing results.

Co-financing sources	Name of the Co-financing entity	Type of Co- financing	Co-financed amount to GEO authorization date (US\$)	Amount actually contributed on the date of the MTR (US\$)	Actual Percentage (%) of Estimated Amount
Foundation	CALMECAC	Cash	315,255.00	245,255.00	77.80
		In kind			
National Government	MARN (1)	In kind	557,380.96	268,162.00	48.11
Bilateral Assistance Organism	KFW (2)	Subsidies	11,880,000.00	NA	NA

⁹ This is due to the fact that the share of the cofinancing committed by the KFW has not been contributed, which represents almost 86.60% of the total co-financing amount.

Co-financing sources	Name of the Co-financing entity	Type of Co-financing	Co-financed amount to GEO authorization date (US\$)	Amount actually contributed on the date of the MTR (US\$)	Actual Percentage (%) of Estimated Amount
Foundation	FUNDAECO	Cash	350,361.00	204,218.00	58.29
Local Government	Municipality of Todos Santos Cuchumatán	In kind	20,635.00	20,635.00	100.00
Local Government	Municipality of Santa Eulalia	In kind	12,320.00	12,320.00	100.00
Local Government	Municipality of San Juan Ixcoy	In kind	24,068.22	24,068.22	100.00
Organism associated to GEF	UNDP	In kind	557,381.00	557,000.00	99.93
		Total	13,717,401.18	1,331,658.00	9.71

Source: Own elaboration based on information provided by the project and co-financing sources.

In regards with the total amount of the financing (US \$ 18,117,401.18) - GEF Contribution plus cofinanciers), for the selected alternative, the amounts invested represent only 16.06% (US \$ 2,908,864.23). On this subject, the resources used from GEF fund are low (35.85%) and very low in regard to the resources from the cofinanciers (9.71%); therefore the project has not been efficient to implement the available resources and has been limited by the delay in the implementation of funds that come from other project's sources that add a considerable amount of committed resources. See Table 4.3.3.4.

Cuadro 4.3.3. 4.: Financial implementation of the alternative financed by the GEF.

Financial Sources	Total committed US\$	Total executed US\$	Percentage executed (%)
Co-financing	13,717,401.18	1,331,658.22	9.71
GEF Fund	4,400,000.00	1,577,206.01	35.85
Totals	18,117,401.18	2,908,864.23	16.06

Source: Own elaboration based on information provided by the project and the co-financing sources.

The project has taken steps to solve the problem of under-execution of resources from the GEF, however, these represent a lower percentage of the amount executed from the total resources committed for the financed alternative, since the lack of implementation of the resources from KFW, is significant for the achievement of the project. Therefore, a prompt action on this issue is necessary, since the Government of Guatemala and MARN must make

the necessary arrangements with KFW so their contribution can be made during the remaining period of the project.

4.3.4 Project level monitoring and evaluation systems

The project does not have a strategy to monitor the results and the actions carried out in this area, they were guided in some way by the PRODOC's Monitoring and Evaluation Plan (M&E), and is based on UNDP tools. It currently has several Project-level instruments: "Start-up Report", Project Implementation Reports (PIR), quarterly reports, and Project Board and Tripartite Commission (CTP)¹⁰ review minutes. The financial follow-up is carried out by UNDP and has "Quarterly Progress Reports", as well as online progress through Project Progress.

In addition, the tools used for both the establishment of the Project's baselines and progress are:

1. Institutional Capacity Sheets
2. Tracking tool (TT). They are being applied according to the GEF's focal areas, and that were revised for this MTR, are:
 - 2.1 Biodiversity Objective 2 (BD)
 - 2.2 Land Degradation (LD)
 - 2.3 Mitigation on Climate Change (CCM-5)
 - 2.4 Sustainable forest management with a REDD+ component (SFM/REDD+).

PRODOC did not consider the participation of a specific person to monitor the achievement of results and assigned this role to the project coordinator. In addition, the evaluation team did not find the Annual Project Reports (APR) that were specified in the PRODOC, **but had all the Project Implementation Review (PIR) documents.**

Regarding the follow-up to of the field activities, they are carried out by FUNDAECO in the West and by project personnel in the East. In both cases the project coordination also provides some type of follow-up, through cabinet review and field missions, however, as with the rest of the project, there is a lack of a system and the appropriate instruments to support the development and utility of this tool.

The majority of MFO have recorded in their inventories the equipment donated by the project, however, it is necessary to follow up so that all the donated equipment is integrated to the respective municipal inventories.

Several stakeholders consider that CTA meetings should be more frequent (bi-monthly) and that agendas should not only informative but articulated as appropriate so stakeholders can

¹⁰ Integrated by counterparts from the Government of Guatemala, the UNDP Country Office and the RCU UNDP GEF

participate with inputs to make better decisions. It is also necessary to systematize and formalize the functioning of the Local Technical Committee to transfer territory information from the PMU to the CTA.

With regard to capacity assessment, the consultant proposed corrective measures for all actors, in order to direct the efforts to achieve the indicators established in PRODOC; which were prioritized and included in the POA 2017; others may be part of the POA 2018. One of the major drawbacks encountered is the rotation of staff interviewed at the beginning.

The follow-up actions and/or adaptive management in response to the RIPs are carried out in a timely manner, facilitating the taking of sessions especially on management and budget issues.

The project has several verifiers, such as cofinancing notes, municipal certifications, biological monitoring reports, coverage reports, meeting minutes, capacity evaluation reports. Establish the project's monitoring and evaluation instruments and mechanisms so the verifiers that physically support the project can document achievement of the results/indicators. Likewise, the respective databases that periodically compile the consolidation of all results every six months. For example, in the case of recovered areas through forest incentives, a "note" from the INAB Regional certifying the extension of project's area promoted for admission to the Incentive Program. If it were the case of the institutional regulatory framework, it could be a certification of the corresponding entity indicating that the Project accompanied, supported, elaborated, etc. in the elaboration of a certain policy, strategy, law, etc. It is also important to have physical tools to control the performance or development of conservation, protection and reforestation activities in such a way that it is known in a timely manner if the actions are appropriate for the achievement of the objectives. For example, survival rate in plantations prior to certification, or not, by INAB; results of the effectiveness of mitigation measures for the Magdalena lagoon (dead barriers, infiltration wells); if erosion control has been effective, etc. This would ensure that the action's objectives are being met and not be surprised during the project's progress that were not effective.

4.3.5 Involvement of stakeholders

At the local level, there is a good level of participation and support from stakeholders, in the cases of INAB, regional organizations, municipalities and local organizations. However, this is not the case with MARN, MAGA and CONAP.

MARN and MAGA participate in the selection of consultants and follow-up the results of the consultancies. However, no significant leadership is identified regarding the strategic issues for which they are responsible, which means that they miss opportunities and support the project could give them.

CONAP appears as a passive actor, sometimes absent in the actions and activities undertaken by the project. Visualization spaces are not utilize in the actions developed within the protected areas on the West, and to date no conservation agreements have been signed. It is

considered necessary to articulate the project's actions with CONAP and support their visualization, for which it is initially advisable to establish a critical path.

There is a good level of execution of on the project's pilot 2, by FUNDAECO and an isolated participation of CALMECAC, in pilot 1. The municipalities and the groups convened participated effectively.

In general, within the national forest institutional framework, it is considered that adequate alliances have been developed with both direct stakeholders (municipalities, COCODES, COMUDES, CODEDES) and with other tangential agents (MARN, INAB, CONAP, INE, SEGEPLAN) not so much with MAGA.

The project's intervention has promoted the participation and public awareness on the topic of soil conservation, management of the natural regeneration and conservation of the forest coverage, which is reflected in the progress of compliance of the project's indicators. Both the municipalities in their ejidos as well as individuals and communal groups have participated in PINFOR and PINPEP projects; and conservation agreements.

It has been coordinated with SEGEPLAN that the environmental axis is included in the MDPs. In general, local and national governments support the project's objectives, although feedback and maintenance of the structures proposed in PRODOC are required to facilitate the direct participation of these stakeholders in the project's decision-making. In general, there is an interest from the direct actors to participate in the forest management activities.

It is considered appropriate to reactivate the conversations regarding the co-financing with MARN as executor of the FCPF and KFW funding as a potential source of complementary projects. In the case of KFW, it would have interventions in the West in the topic of consolidation of protected areas (Huehuetenango and Quiché); and in Jutiapa with a project in Trifinio that works with the Trinational Executive Secretary (SET).

4.3.6 Reporting

The project develops a social information strategy, through journalistic notes. The progress of the project is informed to its partners, however, the dissemination of the information regarding actions and results to other citizens and other potential users is weak, also the changes in the Project's adaptive management are not documented and socialized, which in most of the cases are positive.

As for the information provided to the partners, these require a greater level of participation and deliberation within the management positions, which can be achieved through national and regional workshops.

In the improvement of heaps observed in CHEMAL I and the labeling of the equipment donated to the Municipal Forest Offices, few are the places where signs were placed mentioned the project and the donor. It is advisable to systematize and disseminate the achievements and lessons learned by the project, so it is necessary to define items for this activity.

Also, as part of the process of returning results to beneficiary communities and the media, an opportunity to support the project is printing posters about the activities carried out by the MFO/Municipalities and participating organizations. As part of the strategy, support for implementers can be contemplated, as could be the case with FUNDAECO, which has a communication structure that the project could easily take advantage of.

The information mechanisms towards the key actors have not been documented and sometimes the changes or decision are not shared within the process of adaptive management, so the partners demand a greater level of participation and deliberation, giving greater relevance of each one to CD and local coordination groups so that they can include actions in the institutional planning derived from that information.

4.3.7 Communications

At the internal level, the Project Board did not manage an adequate communication with the operational levels of the central and the regional level of government institutions. This got complicated with the change of presidential administrations¹¹, where institutional memory on agreed strategic issues and processes is lost, which affects the continuity of actions, as well as a wastage in effective execution time and response opportunities.

The internal communication with the project stakeholders has not been sufficiently strengthened. Some actors in the territory and in the central government require more information and participation. Staff changes in actors at all levels of administration require systematic feedback mechanisms to maintain the interest and awareness of those entities or organizations

Communication products like Blogs, publications for Social Networks, Photographic Material and Exposures have been prepared through the communication strategy. External communication is only visible through the UNDP website, although MARN, CONAP and INAB also have a web page. In some cases, it was used to communicate general information¹² and not so directly linked to project activities, aspect that could be refocused on the remaining period of execution, using the resources to communicate the project's results.

4.3.8 Project execution and adaptive management assessment

There is a moderately satisfactory (MS) assessment of project's execution and adaptive management, given that the seven factors analyzed lead to effective and efficient

¹¹ Representatives of various actors in the territory and the Central Government are relatively new personnel or that started with the new government administration in 2016, so they are not aware of the integrality of the project, logical framework of the project design, and the pending actions.

¹² In areas such as: Cooperation and the Environment, PROBOSQUE Law, Sustainable Forest Management, Combating Land Degradation, Desertification and Drought, Climate Change, Pinabete Conservation, Sustainable Use of Firewood, Information Systems and Transparency and Municipal Public Management.

implementation and management, however, in all cases, some corrective action are required (CA). See Annex 6.13.

4.4 Sustainability

Sustainability is likely (L), there is minimal risk for sustainability; the most important results are on track to be achieved at the conclusion of the project and are expected to continue in the near future. The risks identified in PRODOC, PIR and ATLAS somehow remain at the same level, except for uncertainty about the continuation of PINFOR, given the PROBOSQUE law approval in October 2015.

4.4.1 Financial Risks for Sustainability

A reduction of economic resources once the project is completed can always be seen as a possibility, especially of the national budget resources for forestry incentives and protected areas. However, for Guatemala, a greater financial flow is expected with the strengthening of the **Payment for Ecosystem Services –PES-** through the PROBOSQUE law, the implementation of the REDD+ strategy and the financial sustainability of the institutions of the central and municipal governments. This requires significant progress in the REDD+ strategy facilitation processes, the development of voluntary markets, innovation in depth bottom and the PES system, public-private partnerships for the conservation of protected areas and the development of sustainable farming systems.

In the short and medium term, there is a significant risk for the lack of implementation of the REDD+ strategy and the backwardness of KFW co-financing, the budgeting of resources to implement the PROBOSQUE Law, the financing of the MFO and the financial sustainability of INAB.

With regard to the remaining period of project execution, there are some aspects that deserve to be considered as areas of interest, such as: coordination with MARN on topics of interest to the REDD+ strategy and KFW co-financing, as the progress of these initiatives depends on important resources to achieve and maintain the project's results.

There is a concern that in the long term, the government of Guatemala does not maintain the fund for the implementation of the PROBOSQUE Law, which could discourage the participation of private forest users and municipalities. In addition, the lack of strengthening of the financial management of entities such as INAB would imply a risk in the continuity of actions that the project is promoting.

The sustainability of the MFO depends on the stability of the staff and the budget assigned. It is expected that the conservation results that the Project has supported can contribute to the financial sustainability and influence the strengthening of the Municipal Offices

4.4.2 Socio-economic risks for sustainability

The project is based on a socio-economic approach that has facilitated access to conservation financing for communities and organized groups, strengthening community participation and environmental management schemes, supporting livelihoods and incorporating work approaches and methodologies, managing aspects and interculturality and gender.

Through the discourse and the actions undertaken, it was possible to identify a high commitment of the actors with the project's good development and results. Support and institutional commitment from civil society organizations and community groups are maintained to support project outcomes. In addition, the level of awareness is good, between the public and stakeholders interested in supporting the project objectives.

However, the lessons learned are not documented even though the Project has managed to develop important processes and results. This also limits the transfer of successful aspects of the project to other agents and potential future beneficiaries, as well as other stakeholders.

It would be important to consider as success factors, the agreements to support the contracting (50%) of MFO forest technicians, the participation or involvement of local actors and better communication between the MFO and the Municipal Council, as well as an adequate management of pluriculturality systems in the western area.

4.4.3 Sustainability risks related to the institutional framework and governance

There are no legal frameworks, policies, structures or governance processes that could jeopardize the continuity of project benefits, on the contrary, the institutional framework and governance, have been strengthened through the results of the project, with the promulgation of the PROBOSQUE Law, the accompaniment and coordination with MARN on REDD+ issues, the policy on desertification and land degradation, the protocol to control forest fires, the environmental approach in municipal planning, the strengthening of the capacities of institutions and staff, the strengthening of communication mechanisms, institutional arrangements, conservation agreements, strengthening of municipal and NGOs local initiatives and transparency and accountability. However, the country's institutionality is characterized by discontinuity between presidential terms and staff from the central and municipal governments, which could affect the appropriation of leadership in MARN and MAGA, aspects that limit the project's execution and could affect the sustainability of the results achieved and those that are to come. In this respect, it is important to strengthening the functions of advocacy and political management as a priority. Although a good number of MFO are registered with the RNF (National Forest Registry) as Municipalities with forest management offices, it is necessary that the others do the same with the support of the project. This gives them legal and institutional backing, promoting governance in the management of multiple benefits of forests and biodiversity conservation.

The project has developed the appropriate institutional capacity through the training provided to central and municipal government institutions; technical support, equipment and support to MFO, participation and access facilitation to forestry incentives, encouragement and

transfer of appropriate technologies for the use and conservation of soils, sustainable production systems and conservation of biodiversity through municipal and community actions. In addition, continuity of technical assistance is required so those responsible for MFOs are technically strengthened in order to obtain better tools to carry out their work.

There has been a good level of involvement of actors through the different participation mechanisms, and commitment to continue the implementation of good practices, which can support the continuity of the results at the end of the project. However, the exit strategy of the project is not yet considered and the consensus on the path to be chosen with the project activities after its completion is not yet considered.

The project management unit has been strengthened and the project management has the capacity to respond to future institutional and governance changes, both at the national and local levels; as well as to be able to effectively integrate project strategies into future planning processes, as in the case of REDD+.

4.4.4 Environmental risks for sustainability

No greater direct environmental risks are identified for sustainability, however, water scarcity in the eastern area is a topic that deserves attention as well as the pine mortality in the Chermal I area.

Water scarcity can affect nursery establishment and production, including the survival of plants in reforestation or restoration areas. This condition can reduce the participation of municipalities and forest owners or users in the incentive programs and therefore increase carbon stock and forest coverage.

Mortality of sections of pine trees was observed, especially in the natural regeneration project in Chermal I, aspect that is being analyzed by INAB.

5 CONCLUSIONS AND RECOMMENDATIONS

5.1 Conclusions

1. The project presents a mid-term progress with a "satisfactory" level to achieve its goal of "Strengthening soil and forest management processes and BD conservation to ensure the flow of multiple ecosystem services while ensuring resilience to CC. "The drivers show "moderately satisfactory" progress.
2. Project design was complex in terms of products/REDD+ indicators. However, their objective and results are aligned with national priorities, as well as policies, plans and institutional

framework for forest management and conservation, land degradation and use and biodiversity conservation. Its horizontal logic, strategy and approach were relevant and have allowed progress towards the results presented.

3. Part of the success was taking into account during the formulation the actors that could influence their results and who could contribute relevant information as well as resources during the implementation process.
4. The design has limitations: 1) Does not include the gender issue explicitly, despite this, actions are identified to strengthen this dimension in the project; 2) some needs of local users, municipalities and organizations, which could be considered in the last year to take advantage of the remainder of the project, seeking a balance in the distribution of the budget that allows to extend the provision of project services in regions where pilots are executed. 3) does not have a general work schedule that shows the period of time in which it is expected to have complied with each of the results / indicators; 4) the critical path designed as a complement to conduct the results in the project completion stage is out of date; 5) The assumption that results dependent on the REDD + strategy could be achieved in the implementation period did not happen; 6) Its Logical Framework also does not include gender-disaggregated indicators and REDD + pilot indicators that were designed under a Voluntary Market conception, in the current situation of the country depend on a national scheme.
5. Barriers to the achievement of the Project's objectives are low levels of development maintained in the institutional capacities of the central government and very low at the level of local governments. Regarding the normative and institutional framework, it has improved. However, there is still the uncertainty regarding the implementation of the National REDD + Strategy.
6. There are no conditions for the implementation of a REDD + project and it is difficult to realize a carbon sale in the project's duration. Due to the slowness in the design process and the current uncertainty regarding the implementation of the REDD + strategy, several indicators that were relevant at the time of designing the project, now do not allow direct measurement of project achievements, also make difficult the management and follow-up of activities / products.
7. The implementation of the project and adaptive management was moderately satisfactory (MS), effective and efficient, and some corrective action is required in the future:
 - 7.1. The PMU and UNDP, compared to what was proposed at PRODOC, have made transparent decisions in the execution of the project that are considered positive. The implementer's services follow PRODOC guidelines, are provided on a timely basis and have a favorable view of partners on the quality of interventions. The PMU started with a limited structural capacity, which was then strengthened and for the execution period should be reinforced with an S & E manager.

- 7.2. Management has also contributed to the achievement of results and the "adaptive management" approach favored integrated management in the current context in which the project is implemented. The response of the parties involved has been good and budgets processes are carried out in a timely and consultative manner. Work through conservation agreements, the development of alliances and direct work with Municipalities and organizations resulted in successful management mechanisms. Some limitations relate to the weak coordination of central government and municipal authorities, the lack of involvement of CONAP, lack of visibility in the project field and institutionalization, low frequency of CTA meetings, and staff turnover in central and municipal governments.
- 7.3. The work approach, the mechanisms and methodologies for approaching interventions were appropriate and facilitated the achievement of results in this regard: 1) Western Conservation Agreements were effective; 2) The active participation of the Municipalities through the MFO can generate confidence before civil society and community and land and forest users and owners, a legal and institutional support, which will affect promoting governance in forest management and conservation of biodiversity; 3) The management mechanism in which partnerships are formed by staff from beneficiary communities generates greater impact than working individually or with families.
- 7.4. The planning of the work is oriented towards the achievement of the results and what is stated in the logical framework, which is used as a management tool. Although the PRODOC, the PMU built a general programming tool for the results that is very useful but outdated.
- 7.5. The project has not been efficient to implement GEF resources and the cofinancing funds are extremely low. Because the level of under-execution is high 64% and there is a risk that there will be a need to extend the execution period. The budget planning for 2017 (US \$ 2,282,035.00) clearly expresses the commitment of the parties involved to execute the project in the programmed time, however, it also represents a risk given the current conditions of PMU capacity and the approval times of consultancies. The current cofinancing (US \$ 1,331,658.00) has been perceived as a very low contribution (9.71%), due to the delayed execution of the KFW Project, which provided the greatest amount of resources (US \$ 11,880,000 , 00).
- 7.6. For the time being with the contingency plan designed for 2017, it is possible to design a strategy that would allow the project to achieve the results in the execution time provided in PRODOC. *Considering that the project is working under Annual Work Plans, is the view of the MTR, that for 2018, the project should have a 12 months implementation timeframe, so the MTR does consider necessary to extend the execution period for 2 months, to finish in December 31st 2018.* For the execution of the 2017 POA, two assumptions must necessarily be fulfilled: 1) The PMU's work capacity is strengthened and the partners increase efficiency and their capacity for product review and approval and their readiness to simplify procedures; 2) Within the PMU, a harmonious work based on cooperation and trust is achieved; 3) Improve the degree of ownership and leadership of the institutions involved.

- 7.7. Regarding the budget, in the face of a considerable increase for component 1 in the current year, a balance is expected in favor of the inclusion of actions in the pilot intervention areas which are appropriate to local needs.
- 7.8. Although the project has been monitored, this function is weak compared to PRODOC requirements in this area, so strengthening it in support of results management and decision making should be a priority. This was due to the fact that PRODOC was overloading the coordination of the project to the follow-up tasks, without the support of personnel involved in the matter. In addition, it is limited by the lack of a suitable strategy, processes mechanism and tool for the project.
- 7.9. Locally, there is a good level of participation and support from stakeholders, in the cases of INAB, regional organizations, municipalities and local organizations. However, this is not the case with MARN, MAGA and CONAP.
- 7.10. The project develops a general strategy of general social information, however, the dissemination of information on actions and results to citizens and other potential users is weak and changes in the adaptive management of the project are not socialized.
- 7.11. The communication scheme used is of a general nature, and did not manage to permeate the medium and operational controls of the project, as well as the local actors; And is not directly focused on the processes, activities and results of the project, which affects the management and continuity of the actions, as well as a wear in the effective execution time and opportunity for response. In addition, these actors, demand a greater space of participation and opportunities in the decision-making of the project.
8. In the case of project sustainability, the evaluation is probable (P), considering that there is a minimum risk for sustainability; and the most important results are on track to be achieved at the conclusion of the project and are expected to continue in the near future.

5.2 Recommendations

5.2.1 Corrective Actions for Project Design, Implementation, Monitoring and Evaluation

1. To strengthen the execution of the project, the PMU must: 1) give feedback to the new authorities on the project; 2) to increase the communication about the hiring process and that the institutions improve the efficiency in the approval of the consultancies and provide greater support and presence in the field; 3) implement strategies to make the project visible and also the institutions involved in the areas of intervention; And 4) document and share the lessons learned from the adaptive management process with key partners.
2. In relation to the monitoring function of the project, the PMU should:
 - 2.1. By means of some mechanism, to provide the project with a coordinator in support of coordination in project monitoring, in coordination with the specialist and support to the administrative area in coordination with the project financial administrative assistant, to design and implement a monitoring system of the project, with appropriate mechanisms and tools, coordinate with partners and organize the archives and data, support coordination in the management of information and the preparation of follow-up reports and other actions related to this topic.
 - 2.2. Prepare the Annual Project Report (APR) from the year 2017 and seek to add disaggregate gender-specific data in all reports.
 - 2.3. Define and systematize the specific instrument that supports the verifiers raised in PRODOC for each result.
3. Through a participatory process, review the project strategy and the Logical Framework in relation to the rationale and its linkage with the results derived from the implementation of the National REDD + Strategy and the proposed indicators for monitoring and evaluation (emissions avoided, VCUs, revenues, application of the methodology for a REDD + project, the sale of carbon), where feasibility and compliance are determined and the pertinent modifications are made; As well as to revise and propose new indicators that make visible the advances in the actions to reduce forest emissions.
4. This will also include a review of program change theory and adjustment of REDD + indicators, under another type of scheme not initially considered. For example, national forest incentives. It is feasible to evaluate the possibility of suggesting a change of scheme, in the sense that the income that the users receive from national incentives can be taken into account, instead of the income by VCUs. Similar to results related to REDD +, the PMU should analyze the inconsistencies of PRODOC and LF raised in this report (Section 4.1.2)
5. The proposed adjustment to the design, the LF and its indicators; Prepared and agreed upon by the stakeholders involved, must be submitted for approval by the PMU to the UNDP Regional

Office of Panama. Once the adjustment is approved and in order to maintain legitimacy in the adaptive management of the project, the LF must be socialized to other instances of the project.

6. In order to strengthen the gender dimension in the project, the guidelines should be defined and a strategy should be included where: 1) incorporate gender aspects into the policies, regulations and actions promoted by the project, 2) define women participation quotas in the benefits of the project and 3) incorporate gender indicators in the LF.
7. Based on the adjusted Logical Framework, to establish the projection in time for the fulfillment of the indicators or results to be achieved and balance the one proposed to apply it regionally, either to strengthen some actions or to meet other needs identified by the partners.

5.2.2 Actions to continue or reinforce the initial benefits of the Project

1. The PMU should rethink its communication system with all stakeholders, so that partners can provide input and decision-making at the local level. Through national and regional workshops to share the advances and changes within the process of adaptive management that can feed actions aimed at strengthening strategies and institutional policies of INAB, MARN, CONAP and MAGA. Feedback to civil society through actions with municipalities, COCODES, COMUDES and other entities, transferring information on the broader scope of the new PROBOSQUE law. Disseminate and inform different actors in the region of the different initiatives of the REDD + processes in Guatemala. Refocus on the remaining period of execution, taking advantage of the resources to communicate about the results of the project.
2. Strengthen management mechanisms based on inter-agency agreements, alliances and coordination and Conservation Agreements in the areas of intervention and CTA meetings in the regions.
3. The PMU should carry out actions with the municipalities where they can play an active role in the decision-making process of the Project and can contribute to the project's objective. The implementation of a workshop to share experiences and prepare the exit strategy of the project from the municipal vision.
4. Articulate the actions of the project with CONAP and support their visualization and reactivate communication with international organizations such as BID (FCPF) and KFW as a potential source of complementary projects. Supported by the MARN, the necessary steps must be taken before the KFW, so that it can be made effective in accordance with PRODOC, its contribution during the remaining period of the project and leverage coordination processes of the project actions by the central government authorities with the local government.
5. Define training processes that can then be supported in the field, with practical consultations and requested by community leaders, such as the incorporation of land to PROBOSQUE, production of plant and establishment of plantations. Also, review the possibility of expanding

the intervention coverage of the project regarding new modalities of forestry incentives within the new PROBOSQUE law.

6. In the exit strategy of the project for the municipalities, a number of elements can be considered in favor of the sustainability of the results achieved as: 1). INAB support in incorporating the environmental lines of the PDM through its Municipal Forest Strengthening Program; 2) Technical support and accompaniment of CONAP to manage the declaration of other protected areas in the West that were not included in the project; 3) Extending the Conservation Agreements with other municipalities; 4) Establishing an income generation mechanism similar to that of the Municipality of Jalapa, based on the collection of fees for consumer licenses; (5) strengthen the budgets of the MFO and the use of the resources transferred by INAB and to strengthen the activities and staff; 6) to enhance the professional capacities of some MFO for the provision of incentive plan development services.
7. Other actions in which the project can direct its attention are: 1) Define a compensation program to reduce emissions at the local level; 2) Enter incentive plans for reforestation with PROBOSQUE in the upper basin of the Ostúa River; 3) to increase the area of coverage of the species *Abies guatemalensis*, in the high zone of the municipality San Carlos Alzate, the Pino Dulce park of the Municipality of Mataquescuintla, 4) and the subject of plant nurseries in the East; 5) analyze the possibility of expanding the range of geographic coverage of the Program of energy efficient stoves, the Cuchumatanes plateau and / or surrounding areas with biomass limitations for households.
8. To consolidate results and consider other needs of local actors in pilot areas, balance the 2018 budget, and leverage the remainder to develop some of the identified needs.

5.2.3 Proposals for future guidelines highlighting the objectives

1. The PMU should strategically manage the institutional environment, develop advocacy and political management actions that support the achievement of the project objective, taking advantage of the country's institutional framework (INAB, CONAP, MARN, SEGEPLAN, MAGA, INE). As well as international cooperation such as IDB and KFW; Achieving integrity and use of its resources.
2. In relation to the achievement of the objective and the results that depend on the implementation of the REDD + strategy, the PMU should propose a strategy of adjustment to the design and the Logical Framework to the Project Board, in order to achieve a result contextualized to the current conditions.
3. The Project Board must: 1) carry out an analysis, either at the end of 2017 or prior to the final evaluation, in which it determines the need to extend the execution period. To do this it should consider a proposal prepared by the PMU; 2) to negotiate with CONAP to improve their participation in the territory, especially in actions that include biological corridors and protected areas and biodiversity; As well as the endorsement of the Western Conservation Agreements.

4. It is important that the project establish priorities with its respective monitoring for the generation of information or data that can fill gaps and support national policies such as biodiversity, REDD +

6 ANNEXES

Annex 6.1: Terms of Reference

Programa de las Naciones Unidas para el Desarrollo

TERMINOS DE REFERENCIA

Contrato para un contratista individual

“Servicios de Consultoría para la Revisión de Medio Término para el Proyecto Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales: Experto en Evaluación”

A. Título del Proyecto

“Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales”

B. Introducción

El presente documento contiene los Términos de Referencia (TdRs) para la Revisión de Medio Término¹³ (RMT) de PNUD-GEF para el Proyecto Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales (No. PIMS 4637), implementado a través del Programa de Naciones Unidas para el Desarrollo PNUD con una donación del Fondo de Medio Ambiente Mundial –GEF (por sus siglas en Ingles)-. El Proyecto se inició el 30 de octubre 2013 y actualmente se encuentra en su tercer año de ejecución. En consonancia con la Guía para la RMT de PNUD-GEF, este proceso de revisión de medio término fue iniciado antes de la presentación del Segundo Informe de Ejecución del Proyecto (PIR). En estos TdRs se delinearán las expectativas para la actual RMT la cual será desarrollada por un experto en monitoreo y evaluación (de aquí en adelante Contratista individual en Evaluación) quien estará coordinado con el contratista individual Forestal (de aquí en adelante Experto Forestal). La RMT se regirá en las directrices indicadas en el documento Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF (Este documento se puede encontrar en la siguiente dirección:

http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_SP_2014.pdf).

C. Descripción del Proyecto

Guatemala está implementando una Donación del Fondo de Medio Ambiente Mundial –FMAM- para la ejecución del Proyecto Manejo Sostenible de los Bosques y Múltiples Servicios Ambientales Globales, cuyo ente ejecutor es el Programa de Naciones Unidas para el Desarrollo PNUD. El objetivo del proyecto es fortalecer los procesos de gestión del suelo, bosque y la conservación de la biodiversidad para asegurar el flujo y generación de múltiples servicios ecosistémicos; a la vez que se asegura la resiliencia al cambio climático. Esto se logrará en la zona del bosque seco en el Suroriente

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http://web.undp.org/evaluation/documents/guidance/GEF/midterm/Guidance_Midterm%20Review%20_SP_2014.pdf).

y en el paisaje del bosque húmedo en el Occidente de Guatemala a través de una Estrategia Integral de desarrollo y apoyo al marco jurídico legal e institucional para la integración del Manejo Sostenible del Bosque/REDD+ y los principios de Manejo Sostenible de los Suelos en las políticas nacionales y locales de desarrollo.

Para su ejecución, el proyecto en apoyo en socios de Gobierno tales como: el Ministerio de Ambiente y Recursos Naturales –MARN-, el Consejo Nacional de Áreas Protegidas –CONAP- y el Instituto Nacional de Bosques INAB. Adicionalmente se apoyó en dos tipos de socios estratégicos: 1) cofinancistas: Fondo Mundial para el Medio Ambiente -FMAM-, Banco de Desarrollo Alemán –KFW-, Fundación para el Ecodesarrollo y la Conservación -FUNDAECO-, Fundación para el Desarrollo Integral del Hombre y su Entorno –CALMECAC-, Programa de Naciones Unidas para el Desarrollo -PNUD-, Municipio de Santa Eulalia, Municipio de Todos Santos Cuchumatán y Municipio de San Juan Ixcay y 2) Actores Clave: Ministerio de Agricultura, Ganadería y Alimentación –MAGA-, Secretaría de Planificación y Programación de la Presidencia –SEGEPLAN-, municipalidades, Consejos Municipales de Desarrollo –COMUDES-, Consejos Comunitarios de Desarrollo –CODEDES-, comunidades locales, Sector Privado y Organizaciones de la Sociedad, Banco Interamericano de Desarrollo –BID-.

El objetivo del proyecto es el fortalecimiento de los procesos de gestión del suelo y los bosques, y la conservación de la diversidad biológica con el fin de asegurar el flujo de servicios ecosistémicos múltiples a la vez que se asegura la resiliencia al cambio climático. Los resultados y productos del proyecto se enlistan a continuación. Detalles de cada producto se pueden ver en documento de proyecto (PRODOC).

Componente 1: Marco regulatorio e institucional integra los principios de manejo sostenible de bosques o (SFM) y manejo sostenible de tierras (SLM), y se fortalece la capacidad para la gestión integrada ambiental y de suelos.

Resultado 1.1. Ambiente habilitador político e institucional para integrar los principios de SFM y SLM en la planificación territorial a través de políticas de nivel nacional para asegurar el flujo de múltiples servicios ecosistémicos para SFM/REDD+, LD y CCM.

Producto 1.1.1 – Acuerdos interinstitucionales para la cooperación entre el MARN, CONAP, INAB, MAGA y ANAM permiten la inclusión de principios de SFM/SLM en políticas forestales y agrícolas, y aseguran la permanencia de los beneficios del proyecto.

Producto 1.1.2 – Programa Nacional de Lucha contra la Desertificación y la Sequía actualizado.

Resultado 1.2. Incremento en 10 por ciento en la capacidad del personal técnico nacional según los indicadores de desarrollo de capacidad (CONAP, INAB, y MAGA): 40 técnicos nacionales entrenados en SLM, SFM, REDD+ y monitoreo de C.

Producto 1.2.1 – Capacidad fortalecida del oficiales y personal de campo del gobierno (oficiales de extensión forestal y agrícola) en prácticas de manejo de UTCUTS, metodologías para SFM/REDD+ y MRV.

Producto 1.2.2 – Herramientas de mapeo SIG para SFM/SLM a nivel municipal beneficia el desarrollo y guía la implementación de planes de desarrollo municipal a nivel nacional

Producto 1.2.3 – Protocolo Nacional para el monitoreo del flujo de C desarrollado y articulado con la producción forestal/planes de manejo (INAB), planificación de uso de la tierra (municipalidades) y planes de conservación (CONAP).

Componente 2 – Proyectos piloto para SFM/REDD+ y SLM, reducen la degradación del suelo, mejoran las reservas de C y fortalecen la conservación de la BD en el suroriente y occidente de Guatemala.

Piloto 1: SFM/REDD+ y SLM mejoran las reservas de C y reducen la deforestación en un paisaje de montaña de bosque en el suroriente de Guatemala.

Resultado 2.1. Mejora en SFM/REDD+ y SFM restauran reservas de C del bosque seco durante un período de 5 años (la duración del proyecto): 116.848 tCO₂-eq secuestrado (3.500 ha; biomasa por encima del suelo). Producto 2.1.1 – Proyecto piloto REDD+ en 17.456 ha; 3.500 ha las cuáles serán restauradas y reforestadas mediante la plantación de especies nativas y por medio de la regeneración natural.

Resultado 2.2. Emisiones evitadas por la deforestación de bosque seco: 413.114 tCO₂-eq a través de un período de 5 años (área de línea base = 17.456 ha; biomasa por encima del suelo). Producto 2.2.1 – Metodología para un proyecto piloto REDD+ para bosque seco es aplicada.

Resultado 2.3. Mejora en la gestión del bosque seco resulta en flujos hídricos sostenidos en dos cuencas Producto 2.3.1: Plan de SFM/SLM para las secciones superior y media de la cuenca hidrográfica del Río Ostúa asociadas con el bosque seco y de la Laguna de Ayarza, incluyen la planificación para el uso de la leña, el establecimiento de franjas de amortiguación ribereñas, y el uso de cortinas rompe vientos y cercas vivas. Producto 2.3.2 – Programa de estufas energéticamente eficientes reduce el consumo de leña y las emisiones de GEI.

Resultado 2.4. Incremento en 10 por ciento en la capacidad del personal municipal y miembros de la comunidad, medidos mediante indicadores de desarrollo de capacidades: 60 técnicos municipales y 1.500 miembros de la comunidad aplican prácticas de SLM, SFM y de REDD+. Producto 2.4.1 – Capacidad fortalecida del personal de las municipalidades y miembros de las comunidades en la región de suroriente para la inclusión de herramientas de SFM, SLM y REDD+ en planes locales de desarrollo con el fin de contribuir a la sostenibilidad institucional de los resultados del proyecto. Producto 2.4.2 – Planes de desarrollo de hasta quince (15) municipalidades incorporan principios de SFM/REDD+ y SLM y sus medidas de implementación. Producto 2.4.3 – Cuatro (4) oficinas ambientales/forestales municipales (Santa Rosa, Jutiapa y Jalapa) totalmente equipadas y con personal capacitado en el control de incendios forestales, y mejoras en la conservación de la BD y fijación de C.

Piloto 2: SFM/REDD+ aumenta la conectividad ecosistémica y contribuye a la conservación de la BD en un paisaje húmedo de montaña en el occidente de Guatemala.

Resultado 2.5. Emisiones evitadas por deforestación de bosque húmedo montano: 468.360 tCO₂-eq durante un período de 5 años (área basal = 34.357 ha; biomasa sobre encima del suelo). Producto 2.5.1 – Proyecto piloto REDD+ en 34,357 ha en un paisaje de producción/conservación que incluye el AP Todos Santos Cuchumatán.

Producto 2.5.2 – Metodología para un proyecto piloto REDD+ para bosque húmedo montano es aplicada.

Resultado 2.6. La no pérdida neta de cubierta forestal (13.843 ha) en cinco paisajes de bosques/producción agrícola (listados en el texto) mantiene estable el número de especies de grupos biológicos (plantas y anfibios).

Producto 2.6.1 – Corredor biológico (420 ha) entre los bosques remanentes establecido.

Producto 2.6.2 – Cuatro (4) acuerdos de conservación de la BD y de los bosques entre las municipalidades y asociaciones de agricultores/ganaderos facilitan la aplicación de dos incentivos (PINPEP y PINFOR) para mantener la cobertura forestal (13.843 ha) en un paisaje producción agrícola y ganadera, y asegura la permanencia de los beneficios del proyecto.

Resultado 2.7. Incremento en 10 por ciento en la capacidad del personal municipal y miembros de la comunidad, medidos mediante indicadores de desarrollo de capacidades: 15 técnicos municipales y 150 miembros de la comunidad aplican prácticas de SFM, REDD+ y de conservación de la BD.

Producto 2.7.1 – Capacidad fortalecida del personal de las municipalidades y miembros de las comunidades en la región occidental para incluir herramientas de SFM, REDD+, mitigación de CC y conservación de la BD en los planes locales de desarrollo con el fin de contribuir a la sostenibilidad institucional de los resultados del proyecto.

Producto 2.7.2 – Criterios para la conservación de la BD (conectividad ecosistémica y zonas de amortiguamiento de APs) y prácticas de agricultura y ganadería sostenible incorporados en los planes de desarrollo de cinco (5) municipalidades.

Producto 2.7.3 – Cinco (5) sistemas de monitoreo a nivel municipal para evaluar los beneficios de SFM/REDD+ y BD.

D. Alcances de la RMT

Los alcances de la RMT comprenden tres aspectos: (1) objetivo, (2) enfoque y metodología, y (3) las categorías de progreso del Proyecto.

Objetivo:

Evaluar, a través de la RMT, los avances en el logro de los objetivos y resultados del Proyecto recogidos en el Documento del Proyecto (PRODOC), analizando señales de éxito o fracaso con el propósito de identificar cualquier cambio que sea necesario para reorientar el Proyecto y conseguir los resultados deseados. La RMT revisará también la estrategia del Proyecto y riesgos asociados a la sostenibilidad.

Enfoque y metodología:

Los datos aportados por la RMT deberán estar basados en información confiable y útil. El/la contratista individual en Evaluación examinará todas las fuentes de información relevantes, incluidos los documentos elaborados durante la fase de preparación del Proyecto (p. ej. PIF, Plan de Iniciación del PNUD, Documento del Proyecto, informes de Proyecto como el Examen Anual/PIR, revisiones del presupuesto del Proyecto, y cualquier otro material que el/la Contratista Individual

considere útil para la RMT). El/la Contratista Individual en Evaluación analizará las Herramientas de Seguimiento (Tracking tools) elaboradas al inicio del Proyecto (línea base) aprobadas por el Chief Executive Officer (CEO), y las Herramientas de Seguimiento (Tracking tools) de medio término, la cual debe ser completada antes de iniciarse la misión de campo de la RMT.

El/la contratista individual en Evaluación deberá seguir un enfoque colaborativo y participativo² que garantice una relación estrecha con el Equipo de Proyecto, sus homólogos gubernamentales (la persona o entidad designada como responsable o Coordinador de Operaciones del GEF -*Operational Focal Point*-), la(s) Oficina(s) de País del PNUD, los Asesores Técnicos Regionales (RTA) del PNUD-GEF y otras partes interesadas clave.

El involucramiento de las partes interesadas resulta vital para el éxito del RMT³. Dicho involucramiento se desarrollará por medio de entrevistas, las cuales deberán estar estructuradas en conjunto con los insumos técnicos del Experto Forestal. Las entrevistas se desarrollarán con aquellos agentes que tengan responsabilidades en el Proyecto, entre los que se encuentran:⁴

- Oficial de Programa de Ambiente y Energía del PNUD
- Consultores actuales o anteriores que han participado en el Proyecto
- Coordinador de Proyecto
- Miembros del Comité Técnico Asesor del Proyecto
- Socios clave del Proyecto:

Para su ejecución, el proyecto se apoya en socios de Gobierno tales como: el Ministerio de Ambiente y Recursos Naturales –MARN-, el Consejo Nacional de Áreas Protegidas –CONAP- y el Instituto Nacional de Bosques INAB. Adicionalmente se apoyó en dos tipos de socios estratégicos: 1) *cofinancistas*: Fondo Mundial para el Medio Ambiente -FMAM-, Banco de Desarrollo Alemán –KFW-, Fundación para el Ecodesarrollo y la Conservación -FUNDAECO-, Fundación para el Desarrollo Integral del Hombre y su Entorno –CALMECAC-, Programa de Naciones Unidas para el Desarrollo -PNUD-, Municipio de Santa Eulalia, Municipio de Todos Santos Cuchumatán y Municipio de San Juan Ixcoy y 2) *Actores Clave*: Ministerio de Agricultura, Ganadería y Alimentación –MAGA-, Secretaría de Planificación y Programación de la Presidencia –SEGEPLAN-, municipalidades, Consejos Municipales de Desarrollo –COMUDES-, Consejos Comunitarios de Desarrollo –CODEDES-, comunidades locales, Sector Privado y Organizaciones de la Sociedad, Banco Interamericano de Desarrollo –BID-.

- Socios clave del Proyecto:
 - a) Gobierno central:
 - a. Ministerio de Agricultura, Ganadería y Alimentación MAGA,
 - b. Ministerio de Ambiente y Recursos Naturales –MARN-
 - c. Consejo Nacional de Áreas Protegidas –CONAP-
 - d. Instituto Nacional de Bosques –INAB-
 - e. Secretaría de Planificación de la Presidencia –SEGEPLAN-
 - b) Municipalidades:

- a. Jalapa: San Manuel Chaparrón, Jalapa, San Luis Jilotepeque, Mataquescuintla, San Pedro Pinula, San Carlos Alzatate, Monjas.
- b. Jutiapa: Quezada, Jutiapa, El Progreso, Santa Catarina Mita, Asunción Mita, Agua Blanca,
- c. Santa Rosa: San Rafael Las Flores y Casillas.
- d. Huehuetenango: Chiantla, Santa Eulalia, Todos Santos Cuchumatán, San Juan Ixcoy y San Pedro Soloma.
- c) Organizaciones No Gubernamentales:
 - a. SurOriente: CALMECAC
 - b. Huehuetenango: FUNDAECO, ASILVOCHANOL, ICOZUNDEHUE.
- d) Gobierno local:
 - a. Consejo Nacional de Áreas Protegidas –CONAP–
 - b. Instituto Nacional de Bosques –INAB–
- e) Organismo Internacional
 - a. KFW

¹ Para obtener ideas sobre estrategias y técnicas innovadoras y participativas de monitoreo y evaluación, consultar: [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

⁴ Para más información sobre la implicación de las partes interesadas en el proceso de Seguimiento y Evaluación, véase [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Capítulo 3, pág. 93.

⁵ A este listado podrán sumarse actores clave que durante el transcurso de la RMT se identifiquen y consideren relevantes.

Así mismo, el/la Contratista Individual en Evaluación en conjunto con el Experto Forestal deberán realizar visitas de campo a las áreas geográficas de intervención que el proyecto este apoyando:

- Área piloto 1: Jalapa (Municipios: Jalapa, Mataquescuintla, Monjas, San Carlos Alzatate, San Luis Jilotepeque, San Manuel Chaparrón, San Pedro Pinula), Jutiapa (Municipios: Agua Blanca, Asunción Mita, El Progreso, Jutiapa, Quezada, San Catarina Mita), Santa Rosa (Municipios: Casillas y San Rafael Las Flores)
- Área Piloto 2: Huehuetenango (Municipios: Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia y Todo Santos Cuchumatán). Para esta área, el/la contratista individual deberá coordinar sus salidas de campo con la coordinación de la UGP y FUNDAECO Huehuetenango.

El informe final del RMT debería contener una descripción completa del enfoque usado y las razones de su adopción, señalando explícitamente las hipótesis utilizadas y los retos, puntos relevantes (fortalezas y debilidades) de los métodos y el enfoque seguido para la revisión de medio término.

3. Categorías de progreso del Proyecto:

El contratista individual en Evaluación de la RMT evaluará las siguientes cuatro categorías de progreso del Proyecto (incisos 3.1 a 3.4), que serán parte del Informe Final de la RMT. Para más directrices consúltese la *Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF*.

3.1. Estrategia del Proyecto

Diseño del Proyecto

- Analizar el problema abordado por el Proyecto y las hipótesis aplicadas. Examinar el efecto de cualquier hipótesis incorrecta o de cambios en el contexto sobre el logro de los resultados del Proyecto recogidos en el Documento del Proyecto.
- Analizar la relevancia de la estrategia del Proyecto y determinar si ésta ofrece el camino más eficaz para alcanzar los resultados deseados/buscados. ¿Se incorporaron adecuadamente al diseño del Proyecto las lecciones aprendidas en otros Proyectos relevantes?
- Analizar cómo quedan recogidas en el Proyecto las prioridades del país. Comprobar la propiedad nacional del Proyecto. ¿Estuvo el concepto del Proyecto alineado con las prioridades de desarrollo del sector nacional y los planes para el país?
- Analizar los procesos de toma de decisiones. ¿Se tuvo en cuenta durante los procesos de diseño del Proyecto la perspectiva de quienes se verían afectados por las decisiones relacionadas con el Proyecto, de quienes podrían influir sobre sus resultados y de quienes podrían aportar información u otros recursos durante los procesos de diseño del Proyecto?
- Analizar hasta qué punto se tocaron las cuestiones de género relevantes en el diseño del Proyecto. Para un mayor detalle de las directrices seguidas véase *Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF*.
- Si existen áreas importantes que requieren atención, recomendar aspectos para su mejora.
- Analizar hasta qué punto el diseño del proyecto permite determinar los impactos que la iniciativa está teniendo y/o proyecta tener sobre los medios de vida de las poblaciones que viven en las áreas de influencia del proyecto.

Marco de resultados/marco lógico

- Llevar a cabo un análisis crítico de los indicadores y metas establecidos en el marco lógico del Proyecto, evaluando hasta qué punto las metas a mitad y final de periodo del Proyecto cumplen los criterios "SMART" (abreviatura en inglés de Específicos, Cuantificables, Conseguidos, Relevantes y Sujetos a plazos) sugerir modificaciones/revisiones específicas de dichas metas e indicadores en la medida que sea necesario.
- ¿Son los objetivos y resultados del Proyecto o sus componentes claros, prácticos y factibles de realizar durante el tiempo estipulado para su ejecución?
- Analizar si el progreso hasta el momento ha generado efectos de desarrollo beneficiosos o podría catalizarlos en el futuro (por ejemplo, en términos de generación de ingresos, igualdad de género y empoderamiento de la mujer, mejoras en la gobernabilidad, etc.) de manera que deberían incluirse en el marco de resultados del Proyecto y monitorizarse de forma anual.
- Asegurar un seguimiento efectivo de los aspectos más amplios de desarrollo y de género del Proyecto.
Desarrollar y recomendar los indicadores de 'desarrollo' SMART, que deberán incluir indicadores desagregados en función del género y otros que capturen los beneficios de desarrollo.

3.2. Progreso hacia el logro de resultados

Análisis del progreso en el logro de resultados

- Revisar los indicadores del marco lógico y compararlos con el progreso realizado en el logro de las metas establecidas para fin de Proyecto mediante la Matriz de progreso en el logro de resultados (Cuadro 1) y en función de lo establecido en la *Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF*; reflejar los avances siguiendo el sistema de colores "tipo semáforo" basado en el nivel de progreso alcanzado; asignar una valoración del progreso obtenido a cada resultado; efectuar recomendaciones desde las áreas marcadas como "No está en camino de lograrse" (rojo). Los colores para la evaluación de los indicadores con el "sistema de semáforo" son los siguientes:

Verde = logrado	Amarillo = Camino de lograrse	Rojo = No está en camino de lograrse
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Para el análisis de progreso hacia los resultados el/la Contratista Individual en Evaluación deberá:

- Comparar y analizar las Herramientas de Seguimiento del GEF al nivel inicial de referencia con la completada inmediatamente antes de la RMT.
- Identificar las barreras que quedan para alcanzar los objetivos del Proyecto en lo que resta hasta su finalización.
- Una vez examinados los aspectos del Proyecto que han tenido éxito, identificar fórmulas para que el Proyecto pueda ampliar los beneficios conseguidos.

3.3. Ejecución del Proyecto y gestión adaptativa

Mecanismos de gestión

- Analizar la eficacia general de la gestión del Proyecto según lo descrito en el Documento de Proyecto - PRODOC-. ¿Se han realizado cambios? ¿Son efectivos? ¿Están claras las responsabilidades y la cadena de mando? ¿Se toman las decisiones de forma transparente y en el momento adecuado? Recomendar áreas de mejora.
- Analizar la calidad del apoyo prestado por el PNUD y recomendar áreas de mejora.

Planificación del trabajo

- Analizar cualquier demora en la puesta en marcha e implementación del Proyecto, identificar sus causas y examinar si ya se han resuelto.
- ¿Están los procesos de planificación del trabajo basados en los resultados? Si no es así, ¿se pueden sugerir maneras de reorientar la planificación del trabajo para enfocarse en los resultados?
- Examinar el uso del marco de resultados/marco lógico del Proyecto como herramienta de gestión y revisar cualquier cambio producido desde el inicio del Proyecto.

Financiamiento y Co-financiamiento

- Evaluar la gestión financiera del Proyecto, con especial referencia a la rentabilidad de las intervenciones.
- Analizar los cambios producidos en las asignaciones de fondos como resultado de revisiones presupuestarias y determinar si dichas revisiones han sido apropiadas y relevantes. Para ello, el Contratista Individual deberá completar la Cuadro 2, con apoyo del equipo de Proyecto, y ésta será parte del Informe Final de la RMT.
- ¿Cuenta el Proyecto con controles financieros adecuados, incluyendo una apropiada información y planificación, que permitan a la Dirección tomar decisiones informadas relativas al presupuesto y que faciliten un flujo de fondos en tiempo y plazos adecuados?
- A partir de la información contenida en la tabla de seguimiento de la cofinanciación que hay que rellenar, ofrecer comentarios sobre la cofinanciación. ¿Se utiliza la cofinanciación estratégicamente para ayudar a los objetivos del Proyecto? ¿Se reúne el Equipo del Proyecto regularmente con todos los socios en la cofinanciación a fin de alinear las prioridades financieras y los planes de trabajo anuales?

Cuadro 2: Montos de cofinanciamiento del Proyecto.

Fuente de Financiamiento	Co-financista	Tipo de co-financiamiento	Monto confirmado por CEO al momento de su inclusión en el Proyecto (US\$)	Monto contribuido hasta la fecha de la RMT (US\$)	% Actual del monto esperado

Sistema de seguimiento y evaluación a nivel del Proyecto

- Analizar las herramientas de seguimiento usadas actualmente. ¿Ofrecen la información necesaria? ¿Involucran a socios clave? ¿Están alineadas con los sistemas nacionales o incorporadas a ellos? ¿Usan la información existente? ¿Son eficientes? ¿Son rentables? ¿Se requieren herramientas adicionales? ¿Cómo pueden hacerse más participativas e inclusivas?
- Analizar la gestión financiera del presupuesto para el seguimiento y evaluación del Proyecto. ¿Se asignan recursos suficientes para el seguimiento y evaluación? ¿Se usan estos recursos con eficacia?

Implicación de los actores clave

- Gestión del Proyecto: ¿Ha desarrollado y forjado el Proyecto las alianzas adecuadas, tanto con las partes interesadas directas como con otros agentes tangenciales?
- Participación y procesos impulsados desde el país: ¿Apoyan los gobiernos locales y nacionales los objetivos del Proyecto? ¿Siguen teniendo un papel activo en la toma de decisiones del Proyecto que contribuya a una ejecución eficiente y efectiva del mismo?
- Participación y sensibilización pública: ¿Hasta qué punto ha contribuido la implicación y la sensibilización pública en el progreso realizado hacia el logro de los objetivos del Proyecto?

Información

- Analizar los mecanismos empleados por la Dirección del Proyecto para informar de los cambios en la gestión adaptativa y comunicarlos a la Junta del Proyecto.
- Evaluar hasta qué punto el Equipo de Proyecto y sus socios llevan a cabo y cumplen con todos los requisitos de información del GEF (p. ej: ¿qué medidas se han tomado para abordar los PIR con valoraciones bajas, cuando sea aplicable)?
- Evaluar cómo se han documentado y compartido las lecciones derivadas del proceso de gestión adaptativa con los socios clave y cómo han sido internalizadas por éstos.

Comunicación

- Examinar la comunicación interna del Proyecto con las partes interesadas: ¿Existe una comunicación regular y efectiva? ¿Hay partes interesadas importantes que se quedan fuera de los canales de comunicación? ¿Existen mecanismos de retroalimentación cuando se recibe la comunicación? ¿Contribuye la comunicación con las partes interesadas a que estas últimas tengan una mayor concienciación respecto a los resultados y actividades del Proyecto, y a un mayor compromiso en la sostenibilidad a largo plazo de los resultados del mismo?
- Examinar la comunicación externa del Proyecto: ¿Se han establecido canales de comunicación adecuados –o se están estableciendo– para expresar el progreso del Proyecto y el impacto público deseado (por ejemplo, ¿hay presencia en la Web)? ¿Llevó a cabo el Proyecto campañas de comunicación y sensibilización pública adecuadas?).
- A efectos informativos, redactar un párrafo de 200-500 palabras, que formará parte del Informe Final de la RMT, que resuma el progreso del Proyecto hacia los resultados, en términos de su contribución a la generación de beneficios relacionados con el desarrollo sostenible y el medio ambiente global.

3.4. Sostenibilidad

- Validar si los riesgos identificados en el documento del Proyecto, la revisión anual del Proyecto/PIR y el Modulo de Gestión de Riesgo ATLAS son los más importantes y si las valoraciones de riesgo aplicados son apropiados y están actualizados. En caso contrario, explique el por qué.
- Además, evaluar los siguientes riesgos para la sostenibilidad:

Riesgos financieros para la sostenibilidad

- ¿Cuál es la probabilidad de que se reduzca o cese la disponibilidad de recursos económicos una vez concluya la ayuda del GEF (teniendo en cuenta que los recursos potenciales pueden provenir de múltiples fuentes, como los sectores público y privado, actividades generadoras de ingresos y otros recursos que serán adecuados para sostener los resultados del Proyecto)?

Riesgos socio-económicos para la sostenibilidad

- ¿Existen riesgos sociales o políticos que puedan poner en peligro la sostenibilidad de los resultados del Proyecto? ¿Cuál es el riesgo de que el nivel de propiedad e implicación de las partes interesadas (incluyendo el de los gobiernos y otras partes interesadas) sea insuficiente para sostener los resultados/beneficios del Proyecto? ¿Son conscientes las diversas partes interesadas clave de que les interesa que los beneficios del Proyecto sigan fluyendo? ¿Tienen el público y/o las partes interesadas un nivel de concienciación suficiente para apoyar los objetivos a largo plazo del Proyecto? ¿Documenta el Equipo del Proyecto las lecciones aprendidas de manera continuada? ¿Se comparten/transfieren a los agentes adecuados que estén en posición de aplicarlas y, potencialmente, reproducirlas y/o expandirlas en el futuro?

Riesgos para la sostenibilidad relacionados con el marco institucional y la gobernabilidad

- ¿Presentan los marcos legales, las políticas, las estructuras y los procesos de gobernabilidad riesgos que puedan poner en peligro la continuidad de los beneficios del Proyecto? Al evaluar este parámetro, es preciso tener en cuenta también si están instalados los sistemas/mecanismos requeridos para la rendición de cuentas, la transparencia y los conocimientos técnicos.

Riesgos ambientales para la sostenibilidad

- ¿Hay algún riesgo medioambiental que pueda poner en peligro la continuidad de los resultados del Proyecto?

Dentro del Informe Final de la RMT, se deben incluir también las siguientes secciones:

Conclusiones y recomendaciones: El/la Contratista Individual en Evaluación deberá incluir una sección en el informe donde se recojan las conclusiones a partir de todos los datos recabados y pruebas realizadas. Incluyendo también los análisis de sostenibilidad del manejo forestal realizado por el/la contratista individual forestal.

Las recomendaciones deben ser sugerencias concisas y concretas que orienten a intervenciones específicas,

medibles, alcanzables y relevantes. Se deberá incluir una tabla de recomendaciones dentro del resumen ejecutivo del Informe Final de la RMT. Para más información sobre la tabla de recomendaciones, consulte la "Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el PNUD y Financiados por el GEF". Las recomendaciones del/la Contratista Individual en Evaluación deberán limitarse a 15 como máximo.

Valoración:

El/la Contratista Individual en Evaluación de la RMT incluirá sus valoraciones de los resultados del Proyecto y breves descripciones de los logros asociados en una *Tabla de resumen de valoraciones y logros* (Cuadro 3), que será parte del Resumen Ejecutivo del Informe Final de la RMT. Véase el Anexo D en el presente TdR para comprobar las escalas de valoración. No es necesario hacer una valoración de la Estrategia del Proyecto ni una valoración general del mismo.

Cuadro 3. Resumen de valoraciones y logros de la RMT

Parámetro	Valoración de la RMT	Descripción del
Estrategia del proyecto	N/A	
Progreso en el logro de los resultados	Valoración del logro alcanzado para el objetivo (escala de valoración)	
	Resultado 1.1 Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 1.1.1	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 1.1.2	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Resultado 1.2 Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 1.2.1	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 1.2.2	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 1.2.3	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Resultado 2.1 Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 2.1.1	
	Valoración de logro alcanzado (escala de valoración de 6)	
	Resultado 2.2 Valoración de logro alcanzado (escala de valoración de 6)	
	Producto 2.2.1	
	Valoración de logro alcanzado (escala de valoración de 6)	
Continúan los productos y resultados de la Estrategia del	
Ejecución del proyecto y gestión	Escala de valoración de 6 puntos	
Sostenibilidad	Escala de valoración de 4 puntos	

E. Productos esperados y entregables

El/la Contratista individual en Evaluación deberá entregar los productos descritos en los siguientes cuadros, tanto en versión preliminar sujeta a revisión, como en versión final. En la primera reunión de trabajo se informará El/la Contratista individual en Evaluación la forma de entrega de la versión preliminar de sus productos, la ruta de revisión y aprobación de los mismos, y los formatos definidos por el Proyecto.

La versión final de cada producto debe ser presentada a la Coordinación de la Unidad de Gestión del Proyecto (UGP) en la 20 calle 28-58 Zona 10, Edificio del Ministerio de Ambiente, Torre 1 Nivel 2, Oficina de Proyectos, de la siguiente forma:

- Carta formal de entrega de producto.
- Versión impresa: 1 original y 2 copias
- Versión digital: 3 CD conteniendo el informe en versión Word y PDF. Todos los anexos (e.g gráficas, fotografías, organigramas, etc.) deben incluirse en su formato original y plenamente identificados. El formato de los créditos y logotipos se hará llegar a El/la Contratista individual en Evaluación. Debe incluirse una carpeta con las imágenes en calidad óptima para posteriores usos de divulgación o publicación cuando aplique.

Acuerdos Institucionales:

1. La principal responsabilidad para la gestión de esta RMT reside en el PNUD.
2. El contrato será suscrito entre el Programa de las Naciones Unidas para el Desarrollo y el/la contratista individual en Evaluación que resulte adjudicado en el proceso. El/la contratista individual en Evaluación deberá presentar sus informes a la Coordinación de la UGP, quien se encargará de la revisión y aprobación respectiva. Posteriormente la UGP obtendrá la revisión y aprobación final de la Oficial del Programa del PNUD para los productos de la RMT.
3. Insumos a ser provistos por el contratante: El equipo de Proyecto será responsable de facilitar a el/la contratista individual en Evaluación todos aquellos documentos relevantes para la RMT (Ver listado de documentos en Anexo A). Asimismo, se proveerán también toda aquella documentación adicional que se requiera para cumplir con los objetivos y resultados estipulados en los presentes TdRs.
4. El/la contratista individual en Evaluación 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. El PNUD será responsable de contratar al Contratista Individual en Evaluación y asegurar los arreglos necesarios para la realización de la RMT. El/la Contratista Individual en Evaluación será responsable de cubrir los costos de su transporte y sus viáticos durante el transcurso de la RMT

Duración de los servicios

La consultoría se propone para un período de 5 meses, iniciando al día siguiente hábil de la firma del contrato.

Para el cumplimiento de las tareas requeridas, la dedicación de tiempo estimada para el consultor es de 100 días hábiles, en una jornada de tiempo completo. Sin embargo, se espera que el Consultor proponga el número efectivo de días de trabajo que dedicará a la presente consultoría.

Lugar de Trabajo

El Programa de las Naciones Unidas para el Desarrollo (PNUD) y/o el Proyecto de "*Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales*", no ofrecerán dentro de sus instalaciones, un espacio físico al Contratista Individual, por lo que éste deberá elaborar los productos en sus oficinas propias.

Área de trabajo: El/la Contratista Individual en Evaluación deberá visitar las áreas estipuladas en los presentes TdRs. Para la presentación de avances y/o consultas con las instituciones, el/la Contratista Individual en Evaluación podrá hacer uso de las instalaciones del Proyecto previa cita y coordinación o bien coordinar las visitas en las sedes de las instituciones involucradas en la RMT.

Calificaciones:

El/la Contratista individual no puede haber participado en la preparación del Proyecto, su formulación o su ejecución (incluyendo la redacción del documento del Proyecto) y no debe haber ningún conflicto de interés con las actividades relacionadas con el mismo.

Formación académica

- ✓ Ingeniero (a) Agrónomo (a) (Sistemas Producción Agrícola, Recursos Naturales Renovables), Biólogo (a), Ingeniero (a) Forestal, Ingeniero (a) Ambiental o carrera afín.
- ✓ Mínimo de dos (2) años de estudios de postgrado en campos relacionados a la formulación y evaluación de proyectos de gestión de recursos naturales.

Experiencia General:

- Mínimo de cinco (5) años de experiencia en el área de diseño, monitoreo y evaluación de proyectos de desarrollo sostenible con organismos internacionales multilaterales relacionados con la gestión de recursos forestales, manejo del suelo, y servicios ambientales. De preferencia en proyectos con organizaciones como el GEF y/o de proyectos dentro del Sistema de las Naciones Unidas.

Experiencia específica:

Mínimo de cinco (5) años de experiencia en el área de monitoreo y evaluación de proyectos con organismos internacionales multilaterales relacionados con la gestión forestal sostenible, manejo del suelo, y/o servicios ambientales. De preferencia con experiencia con metodologías de gestión basada en resultados.

- Mínimo de tres (3) años en la aplicación de indicadores SMART y en la reconstrucción o validación de escenarios iniciales (Baseline scenarios) así como la

gestión adaptativa aplicadas de preferencia en algunas de área focales de biodiversidad, cambio climático, manejo sostenible de bosques y degradación de tierras del GEF.

- Mínimo de tres (3) consultorías, proyectos o trabajos verificables relacionados a gestión de proyectos relacionados con gestión forestal, gestión de recursos naturales en las regiones geográficas del proyecto (Jalapa, Jutiapa, Santa Rosa, o Huehuetenango). Evaluación de proyectos y un buen entendimiento del contexto del área mencionada será un valor agregado.
- Mínimo de tres años (3) de experiencia en la facilitación de procesos de consultas con actores locales y otros participantes, siendo esencial la capacidad para analizar contextos sociales, económicos y ambientales y sus implicación en el logro de resultados e impactos derivados de proyectos y/o programas locales y regionales. También, comprensión de los asuntos relacionados a género y en algunas de las área focal de biodiversidad, cambio climático, manejo sostenible de bosques y degradación de tierras del GEF; experiencia en análisis y evaluación con sensibilidad de género.

Competencias y valores corporativos para todos los integrantes del equipo consultor:

- Cualidades de liderazgo y trabajo en equipo
- Conocimiento de evaluación de Proyectos (e.g. Ex – ante, durante y post)
- Excelentes capacidades de organización
- Capacidad de trabajar de forma independiente o con poca supervisión
- Fuerte motivación y habilidad para trabajar bajo presión y con límites de tiempos
- Excelente capacidad de comunicación y habilidad para redactar documentos e informes
- Integridad y ética
- Respeto por la diversidad
- Excelentes relaciones humanas
- Actitud de servicio
- Orientación a resultados
- Efectividad operacional
- Habilidades analíticas demostrables
- Habilidad para trabajar bajo presión

E. Entrega, Revisión de Productos y Forma de Pago

El/la contratista individual en Evaluación adjudicado para realizar la consultoría, deberá presentar cada producto o informe en el plazo requerido, el cual será aprobado durante los períodos de tiempo indicados en el cuadro 5. La entrega final de los productos deberá efectuarse en versión revisada y aprobada.

Cuadro 5. Previsión de tiempo para entrega y devolución de documentos borradores.

Productos/entregables	Tiempo de entrega después firma contrato (días calendario)	Devolución productos revisados (días hábiles)
Producto 1	2 semanas	5
Producto 2	2 meses	10
Producto 3	4 meses	10
Producto 4	4.5 meses	10

Alcance de la propuesta financiera y cronograma de pagos

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 Contratista individual en Evaluación deberá tener en consideración el cubrimiento total del costo de todos los equipos (humanos y mecánicos/electrónicos), insumos y materiales necesarios para la elaboración de los productos solicitados. El monto del contrato a firmar será fijo, independientemente del cambio en los componentes de los costos.

Una vez aceptado y validado cada producto, se solicitará al Contratista Individual en Evaluación que presente la factura correspondiente al porcentaje de pago del producto entregado (de acuerdo al cuadro 6), la cual deberá ser emitida en Quetzales 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. xxx, según contrato No. xxx por los servicios de consultoría para xxx".

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

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).

Cuadro 6. Alcance de la propuesta financiera y cronograma de pagos

Productos/entregables	Fecha de entrega después de la firma del contrato	Porcentaje de pago
Producto 1	2 semanas	10%
Producto 2	2 meses	25%
Producto 3	4 meses	25%
Producto 4	5 meses	40%

El último pago está sujeto a la presentación de la evaluación del Contratista Individual en Evaluación

por el Coordinador del Proyecto.

F. Recomendaciones para la Presentación de la Oferta

Los Contratistas Individuales en Evaluación interesados, deben presentar su propuesta en original y copia, foliado en la esquina superior derecha, con índice del contenido en el orden solicitado, en sobre cerrado debidamente identificado, que debe incluir los siguientes documentos para demostrar sus calificaciones:

1. Carta del Oferente dirigida a PNUD confirmando interés y disponibilidad (formato adjunto).

Anexos:

- 1.1. Formulario P11 firmado, que incluya fechas, experiencias en actividades similares y un mínimo de tres (3) referencias profesionales o
- 1.2. Curriculum Vitae que identifique claramente la experiencia requerida en estos Términos de Referencia (la persona seleccionada deberá presentar el P11 previo a la firma del contrato).
- 1.3. Propuesta Financiera que indique el precio fijo total de la oferta –todo incluido–, expresado en Quetzales, y sustentado con un desglose de los costos según formato adjunto, el cual puede ser modificado según los rubros que el Contratista considere pertinente.
- 1.4. Términos de Referencia firmados.

2. Propuesta Técnica:

- 1.5. Carta explicando por qué se considera como el candidato más idóneo para desarrollar los servicios.
- 1.6. Documento que describa sustantivamente la Metodología por medio de la cual enfocará y conducirá las actividades para cumplir con los servicios de Consultoría.
- 1.7. Plan de trabajo que incluya cronograma detallado de las actividades mínimas especificadas en estos TdR y otras que el Contratista en base a su experiencia considere convenientes; fechas en base a duración de los servicios estipulada para la consultoría, considerando entrega y revisión de productos.

3. Documentos adicionales:

- 1.8. Fotocopia de Documento Personal de Identidad (DPI).
- 1.9. Fotocopia de Inscripción/Modificación en el Registro Tributario Unificado (RTU).
- 1.10. Fotocopia(s) de credenciales académicas: Constancia(s) de cursos universitarios aprobados, Título(s) Universitario(s) y/o Diplomas por cursos de especialización.
- 1.11. Fotocopia de por lo menos tres (3) cartas de referencias laborales/contratos/finiquitos por actividades similares a las requeridas en estos términos de referencia.

4. Criterios para la selección de la mejor Oferta

La evaluación de las ofertas se hará por medio del método de puntuación combinada, en donde la evaluación curricular y la propuesta técnica se ponderarán con un máximo de 70%, combinándose con la oferta financiera, que se ponderará con un máximo de 30%.

Criterios para llevar a cabo la evaluación Curricular, de la Propuesta Técnica y propuesta financiera.

CRITERIOS DE EVALUACIÓN		Tiempo / Número	PUNTUACIÓN			
			Específica	Parcial	Subtotal	Total
Formación académica	Ingeniero (a) Agrónomo (a) (Sistemas Producción Agrícola, Recursos Naturales Renovables), Biólogo (a), Ingeniero (a) Forestal, Ingeniero (a) Ambiental o carrera afín.	Título universitario	10	10	20	20
	Mínimo de dos (2) años de estudios de postgrado en campos relacionados a la formulación y evaluación de proyectos de gestión de recursos naturales.	3 años o más	10	10		
		2 años	8			
		Menos de 2 años	0			
Experiencia General	• Mínimo de cinco (5) años de experiencia en el área de diseño, monitoreo y evaluación de proyectos de desarrollo sostenible con organismos internacionales multilaterales relacionados con la gestión de recursos forestales, manejo del suelo, y servicios ambientales. De preferencia en proyectos con organizaciones como el GEF y/o de proyectos dentro del Sistema de las Naciones Unidas.	6 años o mas	15	15	15	15
		5 años	12			
		Menos de 5 años	0			
Experiencia específica	• Mínimo de cinco (5) años de experiencia en el área de monitoreo y evaluación de proyectos con organismos	6 años o mas	5	5	20	20
		5 años	4			

	<i>internacionales multilaterales relacionados con la gestión forestal sostenible, manejo del suelo, y/o servicios ambientales. De preferencia con experiencia con metodologías de gestión basada en resultados.</i>	<i>Menos de 5 años</i>	<i>0</i>			
	<ul style="list-style-type: none"> • <i>Mínimo de tres (3) años en la aplicación de indicadores SMART y en la reconstrucción o validación de escenarios iniciales (Baseline scenarios) así como la gestión adaptativa aplicadas de preferencia en algunas de área focales de biodiversidad, cambio climático, manejo sostenible de bosques y degradación de tierras del GEF.</i> 	<i>4 años o mas</i>	<i>5</i>	<i>5</i>		
		<i>3 años</i>	<i>4</i>			
		<i>Menos de 3 años</i>	<i>0</i>			
	<ul style="list-style-type: none"> • <i>Mínimo de tres (3) consultorías, proyectos o trabajos verificables relacionados a gestión de proyectos relacionados con gestión forestal, gestión de recursos naturales en las regiones geográficas del proyecto (Jalapa, Jutiapa, Santa Rosa, o Huehuetenango). Evaluación de proyectos y un buen entendimiento del contexto del área mencionada será un valor agregado.</i> 	<i>4 consultorías o mas</i>	<i>5</i>	<i>5</i>		
		<i>3 consultorías</i>	<i>4</i>			
		<i>Menos de 3 consultorías</i>	<i>0</i>			

	<p>• Mínimo de tres años (3)</p> <p>De experiencia en la facilitación de procesos de consultas con actores locales y otros participantes, siendo esencial la capacidad para analizar contextos sociales, económicos y ambientales y sus implicación en el logro de resultados e impactos derivados de proyectos y/o programas locales y regionales. También, comprensión de los asuntos relacionados a género y en algunas de las área focal de biodiversidad, cambio climático, manejo sostenible de bosques y degradación de tierras del GEF; experiencia en análisis y evaluación con sensibilidad de género.</p>	4 años o mas	5	5		
		3 años	4			
		Menos de 3 años	0			
Propuesta Técnica Metodológica	Se ha comprendido el propósito, el alcance y los criterios de la revisión de medio término	45	45	45	45	
	La metodología evidencia aplicación de la guía para la realización del revisión de medio término en proyectos apoyados por el PNUD y financiados por el GEF	35				
	La metodología evidencia Comprensión de la temática a evaluar	30				
	La metodología propuesta considera las actividades, cobertura geográfica y plazos de ejecución y conduce a una implementación eficiente de la evaluación	20				

	Se proponen instrumentos y técnicas apropiadas para realizar el trabajo de campo y el análisis documental	5				
	La metodología asegura un enfoque colaborativo, participativo y garantiza un balance en la participación de los distintos actores claves o partes interesadas, tanto en el nivel nacional como en el local.	1				
SUB TOTAL	Sub-Total por Evaluación Curricular y Propuesta Técnica				100	70%
PROPUESTA FINANCIERA	(Propuesta más baja / Propuesta Evaluada) * 30%				30%	
	TOTAL PUNTUACIÓN DE OFERTA				100%	

Annex 6.2.: MTR Evaluative Matrix

Table 6.2.: MTR Evaluative Matrix

Evaluative Questions	Indicators	Sources	Methodology
Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?			
DESIGN OF THE PROJECT			
Does the project support environmental and development priorities at national level?	Level that the project supports the sustainable environmental management goal of the END.	<ul style="list-style-type: none"> Documents related to the National Development Strategy of the country. Project staff MARN, INAB, MAGA, CONAP and other project's key stakeholders. 	<ul style="list-style-type: none"> Analysis of document. Interviews with the project staff. Interviews with staff from MARN, INAB, MAGA, CONAP and other project's stakeholders.
What has the participation level of the stakeholders (Municipalities, NGO and Local Government) been in project's design?	Level of involvement of Government officials and other stakeholders in the project design process	<ul style="list-style-type: none"> Project documents Project staff UNDP staff Municipalities, MARN, CONAP, INAB, FUNDAECO, CALMECAC, BID and other project stakeholders. 	<ul style="list-style-type: none"> Progress data analysis and documents. Interviews with project staff Interviews with staff from OMF, municipalities, MARN, CONAP, INAB, FUNDAECO, CALMECAC, BID and other stakeholders of the project. Interviews with UNDP staff.
Did the project consider the national realities (political framework: Forest Law, PINFOR, PROBOSQUE Law Initiative, PROANDYS, Firewood production and Use Strategy, CC Policy and Law, REDD+ National Strategy, Biological Diversity Policy, Water Use and Management, and institutional	Appreciation from stakeholders regarding the level of appropriateness of the projects design to the existing national realities and capacities?		

Evaluative Questions	Indicators	Sources	Methodology
framework: MARN, CONAP, Municipalities, NGO and Local Government) in its design?			
Were lessons learned from other relevant projects adequately included in the design of the project such as REDD+ Initiatives in The Mayan Biosphere Reserve, Sierra del Lacandón National Park and Laguna Lachuá; BID/implantation of R-PP and ENREDD+; MAGA/BID-FOMIN Rural Extension Program, CATIE efficient stoves, Reforestation Project of the INDE in Santa Rosa, other projects regarding mitigation, CC and biodiversity.	Experiences and lessons learned from other relevant projects were considered in the design of the project		
How gender considerations were included in the design of the project?	The project includes relevant considerations and budget regarding gender aspects.		
Have broader aspects of the	Aspects such as income		

Evaluative Questions	Indicators	Sources	Methodology
development concept, such as social policy, territorial vision and indigenous peoples’ rights, been included in the design of the project?	generation, gender equality and women empowerment, governance and livelihoods improvement are considered.		
Does the project allow to determine the impacts that the initiative is having and/or is expected to have over the livelihoods of the populations living in the areas of influence?	The design of the project (structure, content, baseline tools and project results framework) allows to determine the impact over the livelihoods of the populations.		
In which way is possible to recommend improvements to the design of the project for the remaining execution time?	Adaptable improvement aspects are identified in the design of the project.		
RESULTS FRAMEWORK/LOGICAL FRAMEWORK OF THE PROJECT			
Is the Project’s theory logic (process theory and change theory of the project) coherent in relation to risk and threats, and expected results?	There is logic between expected results and the design of the project (in terms of components of the project, stakeholder selection, structure, implementation of mechanisms, scope, budget, resource use, etc.)	<ul style="list-style-type: none">• Collected data during the MTR.• Project documents.• Project staff.• UNDP staff.• Quarterly and annual progress reports.• Municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.	<ul style="list-style-type: none">• Data analysis.• Analysis of Documents• Interviews with the project team.• Interviews with staff from OMF, municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.• Interviews with UNDP staff.
Are the objectives and results of the	The objectives and results of the project, or its	<ul style="list-style-type: none">• Project documents.• Project staff.	<ul style="list-style-type: none">• Analysis of document.

Evaluative Questions	Indicators	Sources	Methodology
project, or its components, clear, practical and feasible during the stipulated execution time?	components, are clear, practical and feasible during the stipulated time for the project.	<ul style="list-style-type: none">• UNDP staff.• Municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.• Project consultant reports.	<ul style="list-style-type: none">• Interviews with the project team.• Interviews with staff from OMF, municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.• Interviews with UNDP staff.• Interviews with the consultants participating in the project.
To what extent do the mid- and final- term goals meet the “SMART” criteria?	The mid- and final-term goals comply with the following criteria: specific, measurable, achievable, relevant and scheduled.	<ul style="list-style-type: none">• Project documents.• Project staff.• UNDP staff.• Municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.	<ul style="list-style-type: none">• Progress and document analysis.• Interviews with the team of the project.• Interviews with staff from OMF, municipalities, MARN, CONAP, INAB, FUNDAECO and other project stakeholders.• Interviews with UNDP staff.
Does it allow an effective follow up of the broader aspects of development and gender of the project?	Adaptable improvement aspects to the logical framework of the project are identified, in terms of income generation, gender equality and women empowerment, governance improvements.		
In which way is it possible to recommend improvements to the logical framework of the project?	Proposed improvements will allow to enhance the guidance of actions towards impact.		
Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?			
In which way and to what extent	PROJECT OBJECTIVE:	<ul style="list-style-type: none">• Project documents.	<ul style="list-style-type: none">• Data and progress document analysis.

Evaluative Questions	Indicators	Sources	Methodology
are the expected results of the project being achieved?	<p>Number of hectares (ha) of humid forest under the CCB Standards in the western region (BD-2))</p> <p>Area (ha) (by forest type) under best management practices in LULUCF*, including monitoring of C stocks (CCM-5) *Conserve and enhance carbon stocks in selected forested areas.</p> <p>Area (ha) rehabilitated* (by forest type) (CCM-5) *Reforestation with native species, natural regeneration, and sustainable agroforestry and silvopastoral systems.</p> <p>Change in coverage (ha) and quality (rapid assessment method) of the forests in the dry areas (LD-2)</p> <p>Avoided emissions (tCO₂-e) from deforestation by forest type during a 5-year period (SFM/REDD-1)</p>	<ul style="list-style-type: none"> • Project Monitoring tools. • Progress towards to the achievement of results matrix. • Quarterly and annual progress reports. • Project staff. • National policies and strategies. • UNDP staff • Municipalities, MARN, CONAP, INAB, FUNDAECO, ASILVOCHANCOL, ICUZONDEHUE and other project stakeholders. 	<ul style="list-style-type: none"> • Field observation (areas of direct implementation of the project). • Interviews with project staff. • Interviews with staff from OMF, municipalities, MARN, CONAP, INAB, FUNDAECO, ASILVOCHANCOL, ICUZONDEHUE and other project stakeholders. • Interviews with UNDP staff.

Evaluative Questions	Indicators	Sources	Methodology
	<p>OUTCOME 1:</p> <p>National policies incorporate SLM and SFM considerations</p> <p>Number of national agencies working with inter-agency agreements that integrate principles of SFM and SLM.</p> <p>Change in capacity of national technical staff as measured by capacity development indicators.</p> <p>OUTCOME 2:</p> <p><u>Pilot 1:</u></p> <p>tCO₂-e sequestered through dry forest rehabilitation</p> <p>Number of ha protected through REDD+ practices during a 5-year period</p> <p>Revenue/gross contributions (USD) through reduction of emissions under REDD+ during a 5-year period.</p>		

Evaluative Questions	Indicators	Sources	Methodology
	<p>Change in the capacity of municipal staff as measured by capacity development indicators</p> <p><u>Pilot 2:</u></p> <p>tCO₂-e sequestered through humid montane forest rehabilitation</p> <p>Number of ha protected through REDD+ practices during a 5-year period</p> <p>Revenue/gross contributions (USD) through reduction of emissions under REDD+ during a 5-year period</p> <p>Number of key species by biological groups (amphibians and plants) present in the project area</p> <p>Change in the capacity of municipal staff and community members as measured by capacity development indicators</p>		

Evaluative Questions	Indicators	Sources	Methodology
In which way and to what extent are the expected results of the project being achieved in your municipality, NGO, local government?	<ul style="list-style-type: none"> • Staff capacities • GIS tools • Equipment • Monitoring systems • Alliances and partnerships • Municipal development plans • Biological corridors • Others 	<ul style="list-style-type: none"> • Municipalities, FUNDAECO, local government (MARN, INAB, CONAP). 	<ul style="list-style-type: none"> • Document analysis. • Interviews with staff from the municipalities, FUNDAECO, local governments. • Field visits.
What are the barriers or obstacles that the project has faced in order to move towards the goals established in the progress matrix related to the two components of the project?	Barriers or obstacles faced to advance towards the goals of the project.	<ul style="list-style-type: none"> • Project documents. • Quarterly and annual progress report • Project staff. • UNDP staff. • Municipalities, FUNDAECO, MARN, INAB, CONAP and other stakeholders of the project. 	<ul style="list-style-type: none"> • Progress data and document analysis. • Evaluation of the indicators with "traffic light" system. • Interviews with staff from the municipalities, FUNDAECO, MARN, INAB, CONAP and other project stakeholders. • Interviews with UNDP staff.
What factors have helped the progress towards the goals established in the progress matrix?	Enabling factors to progress towards the project goals.		
Which are the barriers or obstacles that the project has faced to advance on those actions that will be executed by the municipality, NGO, local government?	Barriers or obstacles faced to advance towards the goals of the project.	<ul style="list-style-type: none"> • Municipalities, FUNDAECO and local government (MARN, INAB, CONAP). 	<ul style="list-style-type: none"> • Interviews with staff from municipalities, FUNDAECO and local governments.
What factors have enabled the	Enabling factors that helped the		

Evaluative Questions	Indicators	Sources	Methodology
progress in actions that will be executed by the municipality, NGO, local government?	progress of actions executed by partners of the project.		
What changes could have been done (if any) in the design of the project for improving the achievement of the expected results?	Improvement and change proposals	<ul style="list-style-type: none"> • Project documents • Project staff • UNDP staff • MARN, INAB, CONAP and other partners and project stakeholder. 	<ul style="list-style-type: none"> • Progress data and document analysis • Interviews with project staff • Interviews with staff from MARN, INAB, CONAP and other stakeholders • Interviews with UNDP staff.
Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?			
How efficient has the management of the project been according to the Project Document – PRODOC-?	Decisions are taken in a clear and transparent way.	<ul style="list-style-type: none"> • Project documents. • Project staff • UNDP staff • Central government (MARN, CONAP, INAB, MAGA, SEGEPLAN, MEM) 	<ul style="list-style-type: none"> • Progress data and document analysis • Interviews with project staff • Interviews with UNDP staff • Interviews with stakeholders • Interviews with staff from central government (MARN, CONAP, INAB, MAGA, SEGEPLAN, MEM).
Was the adaptive management needed or used to ensure an efficient use of resources?	Undertaken changes were effective to improve management		
How do you evaluate the quality of the support provided by UNDP?	Support from UNDP contributed to improve the management of the project		
Do you have any recommendation regarding this subject?			
Have adequate alliances been	Partnerships with direct stakeholders	<ul style="list-style-type: none"> • Project documents. 	<ul style="list-style-type: none"> • Progress and document analysis.

Evaluative Questions	Indicators	Sources	Methodology
<p>developed in the Project, both with stakeholders and other potential partners?</p> <p>Participation and processes promoted from the country: Do local and national governments support the objectives of the project? Do they still have an active role in the project decision making process that contribute to an efficient and effective execution?</p> <p>In which way has the public involvement and awareness been done and to what extent has it contributed to the progress towards achievement of the project objectives?</p> <p>Have sustainable forest management efforts been identified within the civil society that contribute to</p>	<p>as well as other potential partners</p> <p>Local and national governments have an active role in the Project decision making process through which they contribute to an effective and efficient execution.</p> <p>The public involvement and awareness contributes to the achievement of the project objectives.</p> <p>Civil society contributes to SFM and the achievement of</p>	<ul style="list-style-type: none"> • Inter institutional cooperation agreements • Project Staff • UNDP staff • MARN, INAB, CONAP, MAGA, ANAM and other stakeholders and key partners. 	<ul style="list-style-type: none"> • Interviews with the team of the project. • Interviews with staff from MARN, INAB, CONAP, MAGA, ANAM and other stakeholders and key interested parts of the project. • Field visits. • Interviews with UNDP staff.

Evaluative Questions	Indicators	Sources	Methodology
achieving the project objectives? Which are they? And, how do they contribute? And, if they are not existent, why?	the project objectives.		
In which way do municipalities, NGOs and local government support the achievement of the projects objectives?	Staff resources, logistics, policies, funding and institutional	<ul style="list-style-type: none"> • Project staff • Municipalities, FUNDAECO, local government (MARN, INAB, CONAP). 	<ul style="list-style-type: none"> • Interviews with project staff, municipalities, FUNDAECO, local government (MARN, INAB, CONAP).
In which way does the management information of the project meets GEF requirements, is it communicated with the project board and are lessons learned shared and adopted with stakeholders?	<p>Effectiveness of the mechanisms used by the Project manager to inform changes in adaptive management and its communication to the Project Board.</p> <p>Degree of fulfillment of the GEF requirements regarding use of information by the Project Team and its partners.</p> <p>Lessons derived from the adaptive management process are documented, disseminated and adopted by stakeholders</p>	<ul style="list-style-type: none"> • Project documents. • Project staff. • UNDP staff. • Municipalities, FUNDAECO, local government (MARN, INAB, CONAP) and other project stakeholders and partners. 	<ul style="list-style-type: none"> • Progress and document analysis. • Interviews with the project team. • Interviews with staff from municipalities, FUNDAECO, local government (MARN, INAB, CONAP) and other project stakeholders and partners. • Interviews with UNDP staff.
What is the planning	The results planning approach	<ul style="list-style-type: none"> • Project documents • Project staff • UNDP staff 	<ul style="list-style-type: none"> • Progress and document analysis.

Evaluative Questions	Indicators	Sources	Methodology
<p>approach and which tools are used to guide the management of the project?</p> <p>Did delays exist present during start up and implementation?</p> <p>Did changes in the logical framework matrix occur?</p>	<p>is used and the logical framework approach is used for project management</p>		<ul style="list-style-type: none"> • Interviews with the project team. • Interviews with UNDP staff.
<p>To what extent have the financial management and cofinancing been executed and how have they supported the actions of the project? Have the initial allocations been changed?</p>	<p>Financial execution as planned</p> <p>Cofinancing as partners' commitments established.</p> <p>The project has adequate financial control and procedures, including an appropriate information and planning.</p> <p>Cofinancing is strategically planned to help project objectives.</p> <p>The Project Team regularly coordinates with cofinancing partners in order to align financial priorities and annual work plans.</p>	<ul style="list-style-type: none"> • Project documents. • Annual implementation reports. • Annual work plans. • Project staff • UNDP staff. • MARN, INAB, CONAP and other project stakeholders and partners 	<ul style="list-style-type: none"> • Progress and document analysis. • Interviews with the project team. • Interviews with staff from MARN, INAB, CONAP and other project stakeholders and partners. • Interviews with UNDP staff.

Evaluative Questions	Indicators	Sources	Methodology
In which way do monitoring and evaluation enable the management of the project and the results-oriented actions?	<p>Reasonable and enough resources are allocated for M&E.</p> <p>Adequate tools for M&E are available.</p> <p>M&E supports the results-oriented management.</p> <p>M&E has a strategic and participatory approach.</p>	<ul style="list-style-type: none"> • Project documents • Project staff • UNDP staff • Tracking tools 	<ul style="list-style-type: none"> • Progress and document analysis. • Interviews with the project team. • Interviews with UNDP staff.
Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?			
Are there existing or foreseen financial risks (from public, private sources, and from international cooperation, etc.) that could affect SFM in the project intervention areas?	Financial risk factors for sustaining of project results.	<ul style="list-style-type: none"> • Project documents. • Tracking tools. • Project staff • UNDP staff. • Central government, local government, municipalities, FUNDAECO, ASILVOCHANCOL, ICUZONDEHUE and other project stakeholders and partners 	<ul style="list-style-type: none"> • Document analysis. • Interviews with the project team. • Interviews with staff from municipalities, central and local government, FUNDAECO, ASILVOCHANCOL, ICUZONDEHUE and key interested parts of the project. • Interviews with UNDP staff
Are there existing or foreseen social or political risks that may affect project sustainability in its pilot areas?	Socioeconomic risk factors for sustaining of project results		
Are there existing or foreseen risks of the legal framework, policies, structures and governance forest sector-related processes that may affect the	Institutional risk factors for sustaining of project results.		

Evaluative Questions	Indicators	Sources	Methodology
continuity of the project benefits?			
Are there existing or foreseen environmental risks that may affect the continuity of the sustainable forest management initiatives and their benefits?	Environmental risk factors for sustaining of project results.		

Source: Consultants

Annex 6.3.: MTR mission schedule

Table 6.3.: MTR mission schedule

Western region schedule. Pilot 2.

No.	Time	Place	Activity	Stakeholders
DAY 1: November 22nd				
1	6:30 to 7:30	Chinatlequita Restaurant	Breakfast	
2	7:30 to 8:00		Trip to Santa Eulalia	
3	7:30 to 8:00		Trip to Aldea Chiabal	
4	8:00 to 9:30	Municipality of Santa Eulalia	Existing capacities such as GIS, equipment, monitoring system, SFM knowledge, SLM, BD, REDD+, etc.	Municipal Forest Technician
5	9:30 to 10:00		Trip to San Pedro Soloma	
6	10:00 to 12:00	Municipality of San Pedro Soloma.	Municipal Development Plan. Existing capacities, such as GIS, equipment, monitoring system, SFM knowledge, SLM, BD, REDD+, etc.	Environmental Councilor, Forest Technician and Planning Municipal Office
7	12:00 to 13:00	INAB Office, in San Pedro Soloma	Presentation of the conservation agreement being implemented in the area of conservation Cerro Cruz Maltín (for a field visit, three days are needed).	Luic Mateo
8	13:00 to 13:30	INAB	Meeting with the sub regional director	Sub Regional Director
9	13:30 to 14:30		Lunch	
10	14:30 to 15:30		Trip from Soloma to the Municipality of San Juan Ixcoy.	
11	15:30 to 16:30	Municipality of San Juan Ixcoy.	Existing capacities, such as GIS, equipment, monitoring system, SFM knowledge, SLM, BD, REDD+, etc.	Environment and Natural Resources Office.
12	16:30 to 17:30	Municipality of San Juan Ixcoy.	Follow up to the conservation agreement of San José and San Francisco Reserve.	Meeting with manager and staff from ICUZONDEHUE.

13	17:30		Overnight at Chiabal or Huehuetenango	
DAY 2: November 23rd				
1	7:00 to 7:30	Amparito Restaurant	Breakfast	Rolando Gómez
2	7:30 to 8:30		Trip to San José and San Francisco Reserve	
3	8:30 to 12:00	San José Reserve	Socialization of the main achievements and limitations of the Conservation Agreement implementation. Field visit.	Staff from ICUZONDEHUE, Directive Board of Finca San José and community leaders.
4	12:00 to 13:00		Trip to Asilvo Chancol	
5	13:00 to 14:00	Asilvo Chancol Office	Conservation Agreement of Laguna Magdalena	Forest Technician and Manager of Asilvo Chancol.
6	14:00 to 15:00	Amparito Restaurant	Lunch	
7	15:00 to 16:00		Trip to Huehuetenango	
8	16:00 to 17:30	Place to be confirmed	Meeting with CONAP, INAB, MARN and FUNDAECO.	
DAY 3: November 24th				
1	06:00 to 07:00		Trip to Amparito Restaurant	
2	07:00 to 7:30	Amparito Restaurant	Breakfast	
3	7:30 to 8:30		Trip to Todos Santos	
4	8:30 to 10:00	Municipality of Todos Santos.	Municipal Development Plan. Existing capacities, such as GIS, equipment, monitoring system, SFM knowledge, SLM, BD, REDD+, etc.	Major, Environmental Councilor, Forest Office Technician
5	10:00 to 13:30	Municipal Regional Park	Conservation Agreement, Forest incentives and meeting with COCODE	Community Leaders.
6	13:30 to 14:30		Lunch	
7	14:30 to 15:30		Trip to Municipality of Chiantla	
8	15:30	Municipality of Chiantla	Municipal Development Plan. Existing capacities, such as GIS, equipment, monitoring system, SFM knowledge, SLM, BD, REDD+, etc.	Forest technician and environmental councilor.

Southeastern Region Schedule. Pilot 1.

No.	Time	Activity	Place	DAY
1	8:30 - 10:00	Interview with forest technician	Casillas	11.28.2016
2	10:00 - 10:30	Trip to San Rafael Las Flores		
3	10:30 - 13:00	Interview with forest technician	San Rafael las Flores	
		Interview with representative of the COCODE		
		Interview with municipal manager		
4	13:00 - 14:00	Trip to Mataquescuintla and lunch		
	14:00 - 15:30	Interview with forest technician	Mataquescuintla	
	15:30 - 16:00	Interview with municipal Major		
5	16:00 - 17:00	Trip to Municipality of Jalapa		
6	8:00 - 9:30	Interview with forest technician		

7	9:30 - 10:00	Interview with municipal Major	Jalapa	11.29.2016	
8	10:00 - 12:30	Trip to the community of Cerro Alcoba, meeting with the representative of the COCODE, Cerro Alcoba and subregional director of INAB			
9	12:30 - 13:00	Return to Jalapa			
10	13:00 - 14:30	Trip to the municipality of San Carlos Alzatate and lunch			
11	14:30 - 16:00	Interview with forest technician and representative of the municipality			San Carlos Alzatate
12	16:00 - 16:30	Trip to the Municipality of Monjas			
13	16:30 - 17:30	Interview with representatives of Monjas communities			Monjas
14	17:30 - 18:30	Return to Jalapa			
15	8:00 - 9:30	Interview with regional delegate of the MARN Jalapa	Jalapa	11.30.2016.	
16	9:30 - 10:00	Trip to the Municipality of San Pedro Pinula			
17	10:00 - 11:30	Interview with forest technician	San Pedro Pinula		
18	11:30 - 14:00	Trip to the Municipality of San Luis Jilotepeque and lunch			
19	14:00 - 15:30	Interview with representative of the COCODES and Custodios del Bosque Association	San Luis Jilotepeque		
20	15:30 - 16:15	Trip to San Manuel Chaparrón			
21	16:15 - 17:30	Interview with forest technician	San Manuel Chaparrón		
22	17:30 - 18:30	Trip to the Municipality of Santa Catarina Mita			
23	8:00 - 9:30	Interview with forest technician and municipal major	Santa Catarina Mita	12. 01. 2016	
24	9:30 - 10:00	Trip to Asunción Mita			
25	10:00 - 11:30	Interview with forest technician	Asunción Mita		
26	11:30 - 12:00	Trip to Las Minas Community			
27	12:00 - 13:30	Interview with representative of COCODE Las Minas			
28	13:00 - 14:30	Trip to Jutiapa and lunch			
29	14:30 - 16:00	Interview with forest technician	Jutiapa		
30	16:00 - 17:30	Interview with regional director of INAB			
31	8:00 - 9:30	Interview with department delegate of MARN	Jutiapa	12.02.2016	
32	9:30 - 10:00	Trip to Quesada			
33	10:00 - 11:30	Interview with president of the Community of Quesada	Quesada		
34	11:30 - 13:00	Interview with the forest technician			
35	13:00 - 14:00	Lunch and ending of field trip			

Schedule in Guatemala City.

MONDAY 5	TUESDAY 6	WEDNESDAY 7	THURSDAY 8
Nely Herrera	Fernando Palomo Mónica Barillas		
	Edwin Rojas (MAGA) Mario Mejía	Karen Aguilar	Omar Samayoa (BID-FCPF)
	César Ruiz		Lourdes Monzón
MARN, including Otto Fernández, Saúl Pérez, José Cojom and Carlos Abel Cifuentes, pending: Juan Carlos Diaz	Adelso Revolorio Marisol Castellanos (15:00)	Manuel Lorenzana KFW	Marta Ayala (CALMECAC)

Annex 6.4.: Lists of persons and stakeholders interviewed

Table 6.4.: List of persons and stakeholders interviewed

Name	Organization	Position
Adelso Revolorio	INAB	Planning, monitoring and evaluation director
Alberto Mateo	COCODE Cerro Alcoba	Auxiliary Mayor JALAPA / Beneficiary
Aldair Folgar	Municipality of Casillas	Coordinator
Alvaro Tomás García	ASIOVOCHANCOL/PNUD	Forest technician
Antonia Domingo	Municipality of San Juan Ixcoy /PNUD	Forest technician
Ariel Estuardo Nieves Antillón	INAB	Regional Director - Jalapa
Arvin de León Villatoro	INAB	Sub regional Director - Huehuetenango
Bairon Alvarado	Municipality of Chiantla	Park ranger
Benjamín G. Mendoza Cruz	Municipality of Todos Santos	DMP
Byron Aroldo Gómez	MARN Jalapa	Departmental Delegate
Carlos Ariel Cifuentes	MARN	DIDSEQ
Carlos Enrique Solares	Municipality of Casillas	OMSAN
César Ruiz	INE	Environmental Statistics office director
Concepción Figueroa	ICOZUNDEHUE	Local technician
Cristóbal Juan Pedro	Municipality of Santa Eulalia	Councilor II
Dimas Hernández	Municipality of Mataquescuintla	OMF assistant
Diodoro Saucedo Mérida	Municipality of Todos Santos	C Councilor V, Education and environmental commission
Diojan Palma	Municipality of Santa Catalina Mita	Councilor IV. Municipal council
Donald Godoy	Municipality of Jalapa	Assistant - researcher USAC
Edel Nmoioiyvgtf	PNUD	Consultant
Edgar Villatoro	FUNDECO	Technician
Edin Hernández	Municipality of San Pedro Pinula	OMAFMA coordinator
Edwin Gutiérrez	UGAF	Forest technician
Edwin Montero	Municipality of Jalapa	Forest assistant
Efraín E. Alay Chinchilla	Municipality of Asunción Mita	OFMSAN coordinator
Enrique Mérida	CONAP	Region VII Director
Erik Iralando Nájera Mateo	Municipality of San Carlos	OFM/UGAM coordinator
Eulalio Figueroa	FUNDECO	Project technician
Eva Yamilet Barrientos	OFM	Secretary
Exequiel Damián	Custodios del Bosque Association	Treasurer
Ezequiel Agustín	Custodios del Bosque Association	Treasurer

Fabián S. López Rodríguez	ASIOVOCHANCOL	Manager
Feliciano Mérida	ICOZUNDEHUE	Executive board Pro-Secretary
Felipe Domingo	Municipality of San Pedro Soloma	Councilor IV and Environmental commission
Fernando García	PNUD	Consultant
Fernando Palomo	CONAP	Regional Technical affairs unit Director
Flor de María Bolaños	PNUD	Environment and energy program officer
Fredy Reynosa	Municipality of Casillas	OFM-FAUSAC
Fredy Reynoso Contreras	USAC	Researcher
Gabino Carrillo	Community	Member
Gloria Ortiz	COCODE Cerro Alcoba	Beneficiary
Héctor Aníbal Castillo	Municipality of San Rafael de las Flores	OFM coordinator
Héctor Florencio Pérez	Municipality of San Manuel Chaparrón	OFM coordinator
Henry Figueroa	Municipality of Asunción Mita	OFMSAN forest technician
Henry López	FUNDAECO	Technician
Henry Mérida	CONAP. Noroccidente	Regional Director
Hugo Manfredo Loy Solares	Municipality of Mataquescuintla	Mayor
Igor de la Roca	PNUD	Project manager
Jesús Carrillo	Municipality of Todos Santos	Deputy mayor
Joel Matamoros	Municipality of Todos Santos - CHEMAL	DMP
Jorge Galicia	Municipality of Quesada	OFM/UGAM coordinator
José Cabrera	MARN Jalapa	Communal and municipal strengthening delegate
José Cojón	MARN	Climate change unit
José León Hernández	Municipality of San Rafael de la Flores	Councilor II Municipal council
José Mata	COCODE Cerro Alcoba	Beneficiary
José Víctor Sánchez	Custodios del Bosque Association	President
Juan Carlos Morales	UGP / PNUD	Project technician
Juan Figueroa Herrera	ICOZUNDEHUE	Association manager
Juan José López	Municipality of Chiantla	OMRNA Assistant
Juan Ortiz	Municipality of Todos Santos	OFM Coordinator
Juan Pablo Sandoval	Municipality of Jalapa	UGAF Coordinator
Juan Pascual	Municipality of San Pedro Soloma	Councilor III and Environmental commission
Juana Mateo	COCODE Cerro Alcoba	Beneficiary
Karen Aguilar Ponce	FUNDAECO	Institutional Development Director
Lourdes Monzón	SEGEPLAN	Land planning director

Lucia Mateo	COCODE Cerro Alcoba	Beneficiary
Lucio Fabián	Municipality of Chiantla	Councilor II and COFETAR coordinator
Luic Maltin	FUNDAECO	Municipal Coordinator
Luis Ríos	PNUD	Forest specialist
Luis Waldemar Medrano	COCODE El Fusío	President
Lusvin Jiménez	Municipality of Mataquescuintla	OFM coordinator
Ma. De los Ángeles Aceituno	BID	FCPF/REDD
Macario García	Community	Member
Manuel R. Lorenzana B.	KFW	KFW local representative in Guatemala
Manuel Rosil	Municipality of Santa Catalina Mita	OFM forest technician
Marco Vinicio Cerezo Dardón	FUNDAECO	General director
Mario Mejía	MAGA	Climate change unit
Mario Pozuelo	Municipality of Casillas	OGAM
Marisol Castellanos	INAB	Training and forest extension department director
Marlon Quevedo Abrego	Municipality of Casillas	OFM secretary
Marta Ayala	CALMECAC	Executive director
Marta Molina	CALMECAC	Project director
Miguel Ángel Segura Gómez	COCODE San Carlos	President
Miguel Lucas Figueroa	Municipality of San Juan Ixcoy	OAYRN Coordinator
Mónica Barillas	CONAP	Climate change unit director
Nelson Donald Gómez	Municipality of San Carlos	Mayor
Nely Herrera	PNUD	Monitoring and Evaluation officer
Nicolás Mateo Tomás	Municipality of Santa Eulalia	OMRNYA coordinator
Noelia Domingo	Municipality of San Pedro Soloma	Forest technician
Omar Samayoa	BID	Climate change specialist
Otto Fernández	MARN	Project unit, focal point
Pablo García	Municipality of Chiantla	OMRNA coordinator
Patrocinio Vicente Ramos	ASIOVO CHANCOL	President
Pedro Carrillo Calmo	Community	Member
Ramón Díaz	Municipality of San Pedro Soloma	DMP (Planning) director
Randy Folgar	Municipality of Casillas	OMSAN coordinator
Reginaldo Mateo	COCODE Cerro Alcoba	Beneficiary
Rigoberto Morales	Municipality of San Rafael la Flores	DMP director

Rolando Gómez Hernández	FUNDAECO	Regional Director
Romeo Cifuentes Cano	ICOZUNDEHUE. El Cimientto	Park ranger
Ronaldo Godoy Q.	USAC	Researcher
Rubén Efraín Carrillo L.	Municipality of San Juan Ixcoy	Syndic I
Santiago Carrizosa	PNUD Regional AL	UNDP regional centre RTA
Santos Mateo	COCODE Cerro Alcoba	Beneficiary
Saúl Hernández	Municipality of Mataquescuintla	Forest technician OFM
Silvia Monterroso	FUNDAECO	Technician
Teodoro Gómez Pablo	Communal committee	Treasurer
Thania Nicole ovando	Municipality of Casillas	UGAM assistant
Toledo Pascual	Municipality of Santa Eulalia	Councilor IV
Víctor Carrillo Pablo	Communal committee	Member
Virgilio Lorenzo Gómez	Custodios del Bosque Association	Vocal I. Executive board
Wilber Garcia Taylor	INAB Región VII	Sub regional Director
William Melgar	Municipality of Casillas	OFM
Wilvy García Tello	INAB	Sub regional Director

Source: Consultant based on field visits.

Annex 6.5.: Survey model for data gathering

Table 6.5.: Survey model for data gathering

PROJECT STRATEGY	
Design	
1.	Does the project support environmental and development priorities at national level?
2.	What has the participation level of the stakeholders (Municipalities, NGO and Local Government) been in project's design?
3.	Did the project consider the national realities (political framework: Forest Law, PINFOR, PROBOSQUE Law Initiative, PROANDYS, Firewood production and Use Strategy, CC Policy and Law, REDD+ National Strategy, Biological Diversity Policy, Water Use and Management, and institutional framework: MARN, CONAP, Municipalities, NGO and Local Government) in its design?
4.	Were lessons learned from other relevant projects adequately included in the design of the project such as REDD+ Initiatives in The Mayan Biosphere Reserve, Sierra del Lacandón National Park and Laguna Lachuá; BID/implantation of R-PP and ENREDD+; MAGA/BID-FOMIN Rural Extension Program, CATIE efficient stoves, Reforestation Project of the INDE in Santa Rosa, other projects regarding mitigation, CC and biodiversity?
5.	How gender considerations were included in the design of the project?
6.	Have broader aspects of the development concept, such as social policy, territorial vision and indigenous peoples' rights, been included in the design of the project?
7.	Does the project allow to determine the impacts that the initiative is having and/or is expected to have over the livelihoods of the populations living in the areas of influence?
8.	In which way is possible to recommend improvements to the design of the project for the remaining execution time?
Logical framework	
9.	Is the Project's theory logic (process theory and change theory of the project) coherent in relation to risk and threats, and expected results?
10.	Are the objectives and results of the project, or its components, clear, practical and feasible during the stipulated execution time?
11.	To what extent do the mid- and final- term goals meet the "SMART" criteria?
12.	Does it allow an effective follow up of the broader aspects of development and gender of the project?
13.	In which way is it possible to recommend improvements to the logical framework of the project?
PROGRESS TOWARDS ACHIEVEMENT OF RESULTS	
14.	In which way and to what extent are the expected results of the project being achieved??
15.	What are the barriers or obstacles that the project has faced in order to move towards the goals established in the progress matrix related to the two components of the project?
16.	What factors have helped the progress towards the goals established in the progress matrix?
17.	What changes could have been done (if any) in the design of the project for improving the achievement of the expected results?
PROJECT IMPLEMENTATION AND ADAPTIVE MANAGEMENT	
18.	How efficient has the management of the project been according to the Project Document – PRODOC?
19.	Was the adaptive management needed or used to ensure an efficient use of resources?

20. How do you evaluate the quality of the support provided by UNDP?
21. Have adequate alliances been developed in the Project, both with stakeholders and other potential partners?
22. In which way do municipalities, NGOs and local government support the achievement of the projects objectives?
23. In which way has the public involvement and awareness been done and to what extent has it contributed to the progress towards achievement of the project objectives ?
24. In which way does the management information of the project meets GEF requirements, is it communicated with the project board and are lessons learned shared and adopted with stakeholders
25. What is the planning approach and which tools are used to guide the management of the project?
26. To what extent have the financial management and cofinancing been executed and how have they supported the actions of the project? Have the initial allocations been changed?
27. In which way do monitoring and evaluation enable the management of the project and the results-oriented actions?
28. Which actions can strengthen the Project management for the remaining Project execution time?

SUSTAINABILITY

29. To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?
30. ¿In which way the identified risks can be overcome and manage to meet the expected Project results?

Annex 6.6.: List of documents reviewed

1. PNUD. 2017. Avance de Actividades y resultados. Luis Ríos. Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
2. Congreso de la República de Guatemala. 2013. Decreto Número 7-2013. Ley marco para regular la reducción de la vulnerabilidad, la adaptación obligatoria ante los efectos del cambio climático y la mitigación de gases de efecto invernadero.
3. Congreso de la República de Guatemala. 2015. Decreto Número 2-2015. Ley de fomento al establecimiento, recuperación, restauración, manejo, producción y protección de bosques en Guatemala – PROBOSQUE-.
4. FUNDAECO. 2016. Informe de Monitoreo Anfibios Viaje de Campo Parque Regional Kab'Tzin, San Juan Ixcoy, Huehuetenango.
5. FUNDAECO. 2016. Informe de Monitoreo Viaje de Campo Villa Alicia y Puerta del Cielo en Todos Santos Cuchumatán, Huehuetenango.
6. FUNDAECO. 2017. Resumen de los resultados de los acuerdos de conservación y otras acciones en la Región Occidente.
7. FUNDECO/MARN/CONAP/PNUD/GEF. 2015. Acuerdo para la conservación de los bosques y la biodiversidad del Parque Regional de Todos Santos Cuchumatán, Huehuetenango.
8. FUNDECO/MARN/PNUD/GEF. 2015. Acuerdo para la conservación de los bosques y la biodiversidad del área de conservación Cerro Cruz Maltín, San Pedro Soloma, Huehuetenango.
9. FUNDECO/MARN/PNUD/GEF. 2015. Acuerdo para la conservación de los bosques y la biodiversidad, de la Microcuenca Río Magdalena, Chiantla, Huehuetenango.
10. FUNDECO/MARN/PNUD/GEF. 2015. Acuerdo para la conservación de los bosques y la biodiversidad, de la Finca San José y San Francisco las Flores, Chiantla, Huehuetenango.
11. GEF. 2011. Project identification form (PIF). Sustainable Forest Management and Multiple Global Environmental Benefits.
12. GEF. S/F. Tracking Tool for SFM/REDD-Plus Projects. Guidance Note v0.2
13. INAB. 2016. Resolución No. JD.02.12.2016. Reglamento Ley PROBOSQUE.
14. MARN. 2007. Acuerdo Ministerial No. 362-2007. Creación de la Unidad de Lucha Contra la Desertificación y la Sequía en Guatemala.
15. PNUD. 2014. Informe de consultoría "Creación del Acuerdo Interagencial para la Inclusión de los Principios de Manejo Sostenible de los Bosques y Suelos".
16. PNUD. 2014. Informe taller de arranque. Proyecto Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales. Guatemala, Guatemala.
17. PNUD. 2014. Informes trimestrales. Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
18. PNUD. 2015. Informe de memorias, sistematización, registro fotográfico y documentación de presentación y recepción del Plan de cuenca de la parte alta y media del río Ostúa.
19. PNUD. 2015. Informe final de actividades en la elaboración del Plan de cuenca, Laguna de Ayarza.

20. PNUD. 2015. Informes trimestrales. Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
21. PNUD. 2015. Plan de cuenca Laguna de Ayarza. Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
22. PNUD. 2015. Project Implementation Review (PIR) of PIMS 4637 "Sustainable Forest Management and Multiple Global Environmental Benefits".
23. PNUD. 2016. Consultoría: Apoyo a la implementación de procesos de monitoreo, evaluación y facilitación de iniciativas de desarrollo sostenible en Áreas Protegidas Marino Costeras, bosques y biodiversidad. Producto No. 4 Documento técnico que contenga: PARTE 1: herramientas (Score-cards y tracking tools) de desarrollo de capacidades institucionales actualizadas del Proyecto Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales, y PARTE 2: análisis de resultados y lista de actores consultados.
24. PNUD. 2016. Ficha de puntaje (Score-cards) para capacidades institucionales. Establecimiento de línea base y progreso del proyecto a mitad de término: MARN, INAB, CONAP, MAGA, SEGEPLAN, INE; Municipalidades.
25. PNUD. 2016. Informe de consultoría "Actualización de planes de desarrollo municipal".
26. PNUD. 2016. Informe de consultoría "Apoyo técnico en la formulación de procesos vinculados a la gestión y planificación de la Estrategia Nacional REDD+".
27. PNUD. 2016. Informe de consultoría "Metodología para la alineación de los planes de desarrollo municipal, planes estratégicos institucional y planes operativos multianuales y anuales al plan nacional de desarrollo y su socialización en territorio".
28. PNUD. 2016. Informes trimestrales. Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
29. PNUD. 2016. Producto No. 5 Documento técnico que desglose el Plan de medidas correctivas post-evaluación que contenga al menos el abordaje técnico de los hallazgos encontrados, análisis de riesgos a enfrentar en la implementación, recomendaciones. Este plan es para el proyecto "Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales", incluyendo el análisis del cofinanciamiento, revalidación de las cartas de cofinanciamiento de los socios del proyecto e identificación de fuentes de apalancamiento financiero.
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31. PNUD. 2016. Project Progres. Análisis de problemas y riesgos.
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33. PNUD. 2017. Cuadro comparativo de presupuesto y ejecución financiera. Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
34. PNUD. 2017. Distribución de consultorías a ser elaboradas para el Proyecto MSB. POA 2017.
35. PNUD. 2017. Estado de avance de las consultorías. Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
36. PNUD. 2017. POA 2017, GEF Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.

37. PNUD. 2017. Servicios de consultoría para la facilitación de los procesos de comunicación de los Proyectos Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales y Conservación y Uso Sostenible de la Biodiversidad en Áreas Protegidas Marino Costeras. Producto No. 7 Artículos noticiosos Publicaciones para Blog Publicaciones para Redes Sociales Material fotográfico Exposures Sistematización y lecciones aprendidas sobre procesos de comunicación Informe Final.
38. PNUD. S/F. Plan de Cuenca de la Parte Alta y Media del Río Ostúa. Proyecto Manejo Sostenible del Bosque con Múltiples Beneficios Ambientales Globales.
39. PNUD. S/F. Project Document. Manejo Sostenible de Bosques y Múltiples Beneficios Globales.
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41. PNUD-GEF. 2014. Guía para la realización del examen de mitad de periodo en proyectos apoyados por el PNUD y financiados por el GEF.
42. UGP. 2017. Resumen de los resultados de los acuerdos de conservación y otras acciones en la Región Oriente.
43. UNDP. 2012. Consultancy "Projected Carbon Project Benefits Analysis and REDD+ Methodology Analysis for Pilot Projects for the Sustainable Forest Management and Multiple Global Environmental Benefits Project". Product 2.1: PIF estimates of the projected carbon Project benefits.
44. UNDP. 2013. Sustainable Forest Management and Multiple Global Environmental Benefits.
45. UVG. 2011. Carbono contenido en los árboles de los bosques y plantaciones forestales de la República de Guatemala.

Anexo 6.7.: MTR Ratings

Table 6.7.: Ratings for Project results

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

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

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

Source: Terms of Reference

Annex 6.8: Project Results Framework

COMPONENT 1: REGULATORY AND INSTITUTIONAL FRAMEWORK INTEGRATES PRINCIPLES OF SUSTAINABLE FOREST MANAGEMENT (SFM) AND SUSTAINABLE LAND MANAGEMENT (SLM), AND STRENGTHENS INTEGRATED ENVIRONMENTAL LAND MANAGEMENT CAPACITY

Outcome 1.1. Enabling policy and institutional environment for integrating principles of SFM and SLM into terrestrial planning through national-level policies to ensure the flow of multiple ecosystems services for SFM/REDD+, LD and CCM.

Output 1.1.1 Interagency agreement for cooperation between the MARN, CONAP, INAB, MAGA, and the ANAM allows inclusion of SFM/SLM principles into forestry agricultural policies, and ensures permanence of the project's benefits.

Output 1.1.2 National Action Program to Combat Desertification and Drought updated

Outcome 1.2. Improvement by 10 percent in the capacity of national technical staff as measured by capacity development indicators (CONAP, INAB, and MAGA): 40 national technical staff trained in SLM, SFM, REDD+ and C monitoring.

Output 1.2.1 Strengthened capacity of government officials and field staff (foresters and agricultural extension officers) in LUCICF management practices, SFM/REDD+ methodologies, and MRV.

Output 1.2.2 Municipal-level SFM/SLM GIS mapping tool benefits the development and guides the implementation of municipal development plans at the national level.

Output 1.2.3 National protocol for the monitoring of C flow develop and articulated with forest production/management plans (INAB), land use planning (municipalities), and conservation plans (CONAP)

COMPONENT 2 – PILOT PROJECTS FOR SFM/REDD+ AND SLM REDUCE LAND DEGRADATION, INCREASE C STOCKS, AND STRENGTHEN BD CONSERVATION IN SOUTHEASTERN AND WESTERN GUATEMALA.

Pilot 1: SFM REDD+ and SLM increase C stocks and reduce deforestation of the dry forest in a dry mountain landscape in southeastern Guatemala.

Outcome 2.1 Improved SFM/REDD+ and SFM restore C stocks of Dry forest over a 5-year period (e.i. project length): 116,848 tCO₂ eq sequestered (3,500ha: aboveground biomass)

Output 2.1.1 REDD+ pilot project targeting 17, 456 ha; 3,500 ha of which will be restored and reforested by planting native species and through natural regeneration

Outcome 2.2 Avoided emissions due to dry forest deforestation: 413, 114 tCO₂ over a 5-year period (baseline area = 17,456 ha: aboveground biomass)

Output 2.2.1 Methodology for REDD+ pilot project in the Dry forest applied.

Outcome 2.3 Improved dry forest management delivers sustained water flows in two watersheds

Output 2.3.1 SFM/SLM plan for the upper and mid sections of the Ostua River watershed associated with dry forest and the Ayarza Lagoon include planning for firewood use, establishment of riparian buffers strips, and use of windbreaks and live fences.

Output 2.3.2 Energy-efficient stoves program reduces firewood consumption and GHG emissions

Outcome 2.4 Improvement by 10 percent in the capacity of municipal staff and community members as measured by capacity development indicators: 60 municipal technical staff and 1,500 community members applying SLM, SFM and REDD+ practices.

Output 2.4.1 Strengthened capacity of municipalities and community members in the Southeastern region for including SFM and SLM, and REDD+ tools in local development plans in order to contribute to the institutional sustainability of project outcomes.

Output 2.4.2 Development plans for up to fifteen (15) municipalities incorporate SFM/REDD+ and SLM principles and their implementing measures

Output 2.4.3 Four (4) environmental/forestry municipal offices (Jalapa, Jutiapa, and Santa Rosa) fully equipped and with skilled staff for control of forest fires, and enhance conservation of BD and C sequestration

Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to the conservation of BD in a humid mountain landscape in western Guatemala.

Outcome 2.5 Avoided emissions due to humid montane forest deforestation: 46,024 tCO₂ over 5-year period (baseline area= 34,357 ha: aboveground biomass)

Output 2.5.1 REDD+ pilot Project for 34,357 ha in a production/conservation landscape that includes the Todos Santos Cuchumatanes PA.

2.5.2 Methodology for REDD+ pilot project in humid montane forest applied

Outcome 2.6 No net loss in forest cover (13,843 ha) in five forest/agricultural production landscapes (Listed in the text) maintains stable numbers of species of biological groups (plants and amphibians)

Output 2.6.1 Biological corridor established (420 ha) between forest remnants

2.6.2 Four (4) BD/forest conservation agreements between the municipality and agriculture/cattle ranching associations facilitate implementing two incentives (PINFOR, PINPEP) in order to maintain the forest cover (13,843 ha) in an agriculture/cattle ranching production landscape, and ensures permanence of the project's benefits.

Outcome 2.7 Improvement by 10 percent in the capacity of municipal staff and community members as measured by capacity development indicators: 15 municipal technical staff and 150 community members applying SFM, REDD+ and BD conservation practices

Output 2.7.1 Strengthened capacity of municipal and community members in the western region for including SFM, REDD+, CC mitigation, and BD conservation tools in local development plans in order to contribute to the institutional sustainability of the project outcomes

Output 2.7.2 BD conservation criteria (ecosystem connectivity and PA buffers) and sustainable agriculture/cattle ranching practices incorporated into the development plans for five (5) municipalities

Output 2.7.3 Five (5) municipal-level monitoring systems to assess SFM/REDD+ and BD benefits

Annex 6.9.: Summary of conservation agreements between FUNDAECO and organizations

Table 6.9.: Summary of conservation agreements between FUNDAECO and organizations

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
Agreement 1: Floresta Village y FUNDAECO	Agreement for forest and biodiversity conservation in the Cruz Maltin conservation area, San Pedro Soloma, Huehuetenango.	December 1 st 2015	July 30 th 2016	2495		To promote organic and coffee shade production in communities through the participation of coffee producers covering 20 ha that will contribute of the connectivity of 4,275 ha in Cerro Cruz Maltín.	100	21 Ha of certified coffee in Floresta village of which 8.31 Has are coffee shade certified and 12.69 ha with JAS, Cafe Femenino y Bird Trade certified 88 control and surveillance routes carried out in 620 Has in the Cerro Cruz Maltín.	There is an international certification scheme for organic coffee production conserving biodiversity at the site. More control in flora and fauna illegal extraction enforcing communal norms and sanctions.	ASOBAGRI ensures mid- and long-term technical assistance to its members
Agreement 2: ICUZONDEHU E Association and executive Board of Finca San José las Flores y FUNDAECO.	Agreement for forest and biodiversity conservation in Finca San José and San Francisco las Flores, Chiantla, Huehuetenango.	June 01 st 2015	November 30 th 2017	27,217.36		To strengthen administrative and land management (Executive Board, COCODE's, park rangers, etc.) of Finca San José las Flores to	55	48 ha of reforestation and 15 ha of agroforestry systems as part of the biological corridor.	Conservation and restoration of forest cover, and biodiversity, mainly conifers forest and flora and fauna endemic species such as	Communal authorities and local population are engaged of the control and surveillance mechanism of

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
						<p>contribute reducing biodiversity threats in the area.</p> <p>To establish a biological corridor between Finca San Jose's forest remnants through the implementation of 100 ha reforestation and 15 ha of agroforestry systems in nine communities</p>		208 control and surveillance routes.	<i>Abies guatemalensis</i> y <i>Plectrohyla tecunumani</i> .	the San José Reserve.
Agreement 3: ASILVO CHANCOL, ASOCUCH Association, Finca Chancol Executive Board, COCODE Magdalena y FUNDAECO	Agreement for forest and biodiversity conservation of the Rio Magdalena micro watershed, Chiantla Huehuetenango.	July 1 st 2015	November 30 th 2017	7,368.42		<p>To implement land conservation and natural resource management activities for restoring degraded areas and conserving Magdalena micro watershed.</p> <p>To boost conservation local mechanisms for its</p>	100	<p>100 has of natural regeneration</p> <p>Construction and maintenance of (9) de absorption wells</p> <p>Construction and maintenance of 90 m of contour bunding</p>	Conserve carbon reservoirs and biodiversity, restore degraded areas, and generate additional family income derived from the economic incentives	The existing forest management incentives (PINPEP and PROBOSQUES), and community members' willingness to access to forest incentives

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
						implementation in the Magdalena micro watershed area through the participation of local stakeholders, especially the establishment of soil conservation (contour bunding and absorption wells), establishment and/or natural regeneration management, reforestation, etc.				

Source: FUNDAECO

Annex 6.10: Summary of conservation agreements between FUNDAECO and municipalities and other relevant activities out of the agreements

Table 6.10.: Summary of conservation agreements between FUNDAECO and municipalities and other relevant activities out of the agreements

A. Agreements between FUNDAECO and municipalities

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
Agreement 1 Municipality of Todo Santos, 6 communities in the upper section of the municipality, and FUNDAECO.	Forest and biodiversity conservation of the Municipal Regional Park of Todo Santos Cuchumatán, Huehuetenango	July 1st 2015	November 30 th 2017	20,242.00	20,635.00	To establish exclusion grazing sites and reduce animal stock to promote natural regeneration for accessing PINFOR forest incentives. To reduce extensive grazing through Semi-housing livestock activities where infrastructure of sheepfold will be improved, and forage production	100	174.34 has incorporated in the PINPEP and PROBOSQE under the natural regeneration scheme Establishment of 12 ha of agroforestry systems	Ecological restoration process mainly using an endemic species (Huito) associated with <i>Pinus</i> Harnessing soil resources to establish a restoration and protection of degradation vulnerable areas	Control and surveillance in communal and private forest to avoid grazing activities in natural regeneration areas and promote biodiversity in the park. Landowners increase area (ha) with agroforestry systems to ensure restoration proves in degraded areas and decrease loss

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
						and agroforestry systems will be established		<p>Improvement of 45 sheepfolds</p> <p>Establishment of 9 ha for forage production 62,100 sheaves</p>	<p>Decreasing grazing time (women, children), promoting natural regeneration, and improving productive indexes (gathering organic matter and animal health).</p>	<p>of natural resources of the area.</p> <p>Active and responsible participation sheep farmers promoting sheep management to increase family income and restore biodiversity of the area.</p>

Source: FUNDAECO.

B. About other relevant activities developed out of the agreements (part of table 6.10).

(Information of other interventions developed within the project framework but they are not reported in table above)

ACTIVITY	Period	Amount US\$ GEF	Cofinancing US	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
Protection and conservation of Kab'Tzin forest, San Juan Ixcoy and influencing communities	From May 2015 to December 2016	5,526.32	24,068.22	To conserve forest of the municipal area of Kab'Tzin, and communities influencing the area	100	136 ha under protection forest incentive program 4 natural resources commissions operating	Carbon stocks are conserved with conifer species such as <i>Abies guatemalensis</i> and <i>Pinus spp.</i> Besides, income is generated due to the implementation of incentive programs	Technical assistance through OMARN of the municipality of San Juan Ixcoy
Strengthen of FUNDAECO staff and technical staff of municipal forestry offices	From September to December 2016			To strengthen capacities to stakeholders involved in the project		1 diploma course 1 workshop on governance 2 workshops to municipal technical and FUNDAECO staff on REDD+ 1 communal-level workshop on REDD+ and climate change	Stakeholders involved in the execution of the project adopt knowledge on REDD+, climate change and governance	Staff trained implementing and transferring knowledge in the different project interventions.

Source: FUNDAECO.

Annex 6.11.: Progress towards Project results Matrix.

Table 6.11. Progress towards Project results Matrix

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
Project objective: To strengthen land/forest management processes and biodiversity conservation in order to secure the flow of multiple ecosystems services while ensuring ecosystem resilience to climate change.	Number of hectares (ha) of humid forest under the CCB Standards in the western region (BD-2)	0	The project jointly with FUNDACO and local communities have drafted maps indicating biodiversity priority sites under CCB standards covering 1000 ha of humid forest	13,843 ha	9,794.99 ha under PES scheme improving ecological capacities to sequester carbon	S	There is 71% of progress. This indicates that there is area under PINPEP and PINFOR schemes through natural regeneration, protection and agroforestry systems which are managed under national forest management standards; expect 21 ha of coffee

¹⁴ Based on the color codes for evaluation indicator "traffic light system": Green (achieved), yellow (on target to be achieved), and red (not on target to be achieved)

¹⁵ As per Ratings for Progress Towards Results with is 6 point: Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (HU), Unsatisfactory (U), or Highly Unsatisfactory (HU).

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
							shade production certified under international standards National conditions are still outstanding to be developed so as to received incentives under CCB standards
	Area (ha) (by forest type) under best management practices in LULUCF*, including monitoring of C stocks (CCM-5) *Conserve and enhance carbon stocks in selected forested areas.	-Dry forest: 620,1 ha -Humid forest: 970,85 ha	-Dry forest: 2,000 ha, which was met under the INAB's forest incentive program PINPEP -Humid forest: 50 ha Indicator is Low, due to the lack of resources for promoting forest	- Dry forest: 1.500 ha - Hu mid forest: 13.343 ha	-Dry forest: 3.600.11 ha -Humid Forest: 17.432,19, including 13.343 ha that continue to be under good management practices as	HS	Currently there is 240% over dry forest target which indicates an area under PINPEP protection modality adopting good practices for

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
			natural regeneration and restoration		per forest cover maps.		dry forest management 13.343 ha are maintained under good practices for connectivity in the humid forest to improve carbon reservoirs through conservation agreement with communities, FUNDAECO and government entities helping communal initiatives
	Area (ha) rehabilitated* (by forest type) (CCM-	-Dry forest: 79,15 ha -Humid forest:	-Dry forest: 200 ha under INAB's		-Dry forest: 803,11 ha,		According to INAB's database

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	5) *Reforestation with native species, natural regeneration, and sustainable agroforestry and silvopastoral systems.	1.513,15 ha	incentive program (PINPEP) -Humid forest: 50 ha. under INAB's incentive program (PINPEP)	- Dry forest ¹⁶ : 3.000 ha - Humid forest: 547 ha	especially, under PINPEP agroforestry systems and forest protection schemes. -Humid Forest: 5.905,8 ha especially in agroforestry systems and forest protection	HS	reported in the 2016 PIR indicate that both indicators have been met due to the forest users' willingness to access PINPEP and PINFOR programs mainly, reforestation, natural regeneration and agroforestry schemes. The monitoring systems to

¹⁶ According to 2016 PIR, targets at the end of the Project were amended so Dry forest is 547 ha and humid forest 1.300 ha. Both areas are not mention in the Logical Framework. Even though this targets have been officially amended in 2016 PIR, amendment has not been notified neither to the project staff in the southeast pilot project area nor FUNDAECO. This has led from on field staff (PNUD and FUNDAECO staff) to manage original and inconsistent data from the PRODOC

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
							assess forest coverage and agroforestry systems to verify connectivity established in western Guatemala mentioned in the PRODOC are still pending to be developed
	Change in coverage (ha) and quality (rapid assessment method) of the forests in the dry areas (LD-2)	6.838,47 ha	6.838,47 ha are maintained according to the INAB's map used to establish the project base line In 2015 GIS to monitor coverage was expected to be established; however, GIS was not set	6.838,47 ha	6.838,47 ha of forest cover are maintained according to the INAB's forest coverage assessment map SFM/SLM GIS mapping tool has not been achieved	S	Project interventions have contributed to maintain forest cover of 6.838,47 ha. SFM/SLM GIS mapping tool is still pending to be developed.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	Avoided emissions (tCO ₂ -e) from deforestation by forest type during a 5-year period (SFM/REDD-1)	- Dry forest: 0 - Humid forest: 0	Progress in this indicator was expected to be measured in the middle of 2016, before MTR. Partners are working to the development of maps and tools to monitor carbon flows Under the REDD+ national strategy	- Dry forest: 413.114 tCO ₂ -e - Humid forest: 468.360 tCO ₂ -e	The project has developed interventions to reduce avoided emissions (tCO ₂ -e) from deforestation The PRODOC proposes to measure progress at the end of the project.	MS	The final project evaluation will allow to assess project interventions to reduce avoided emissions.
Outcome 1: Regulatory and institutional framework integrates principles of sustainable forest management (SFM) and sustainable land management (SLM), and strengthens integrated	National policies incorporate SLM and SFM considerations	-Forest incentive program for small landowners -Law for the Protection and Improvement of the Environment	PROBOSQUE draft law is waiting final approval in the Congress. This law will continue supporting forest economic incentives. There is an ongoing work to	- National Action Program to Combat Desertification and Drought updated - Agriculture policy of	PROBOSQUE law (Decree 2-2016) and its regulations were enacted by the Congress	HS	PROBOSQUE law provides continuity to PINFOR program and keeps local population interest on management, restoration, and protection of forests.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
environmental land management capacity.		-Forestry Policy	update PROANDYS jointly with the MARN	Guatemala amended	<p>- The National policy to fight Land Degradation and the National Action program to combat Desertification and Drought have been submitted to the members of the inter-institutional group for SLM to be assessed and reviewed on its technical and legal aspects.</p> <p>For 2017 the National land degradation policy and National Action program will be updated and</p>	S	The project develops efforts on the approval of the National policy to fight Land Degradation and the National Action program to combat Desertification and Drought. Besides, the project plans to facilitate its implementation by three interventions: 1) alignment, 2) monitoring, and 3) socialization / dissemination

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
					aligned each other. Besides, a tool to monitor the National Action program and the dissemination of the National Land Degradation policy will be developed.		
					For 2017 an agriculture and climate change policy of the MAGA is expected to be developed. The MAGA did not considered feasible to amend the agriculture policy		Agriculture Policy has been recently amended by the MAGA, thus project support was not necessary.
	Number of national agencies working	0	4 National entities (MARN,	5: MARN, MAGA,	6 national institutions		Since 6 national

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	with inter-agency agreements that integrate principles of SFM and SLM.		CONAP, MAGA, INAB) and SEGEPLAN work together based on SFM and SLM principles.	INAB, CONAP and National Municipalities Association of Guatemala (ANAM)	(MARN, CONAP, INAB, MAGA, GCI, el National CC Council), work to apply SFM y SLM principles. Additionally, SEGEPLAN and INE have been integrated in the execution of the project. INE was not taken into account in the PRODOC; however, its participation is important due to environmental statistics related work that is planned to be developed.	HS	institutions develop institutional coordinated work, agreements were not necessary to be established. ANAM does not work directly but its interventions are led by the municipalities within the project pilot areas

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	Change in capacity of national technical staff as measured by capacity development indicators.	INAB: 66,67% - CONAP: 57,14% - MAGA: 76,92% - MARN: 61,54%	Change in the capacity was planned to be measured before 2016 MTR	- INAB: 76,67% - CONAP: 67,14% - MAGA: 86,92% - MARN: 71,54%	-INAB: 69,05% -CONAP: 61,90% -MAGA: 66,67% -MARN: 64,10% 2016: SEGEPLAN: 51,28% INE: 15,38% There is a positive opinion that training sessions in the mid-term will increase institutional capacities.	S	As the project has been recently carried out training sessions, change in capacity are not seen in technical staff. Overall changes in capacity development indicators are positive in INAB, CONAP y MARN; however, there is a gap to be met and accomplish project target. The MAGA indicators show negative changes.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
<p>Outcomes:</p> <p>1.1. Interagency agreement for cooperation between the MARN, CONAP, INAB, MAGA, and the ANAM allows inclusion of SFM/SLM principles into forestry agricultural policies, and ensures permanence of the project's benefits.</p> <p>1.2 National Action Program to Combat Desertification and Drought updated</p> <p>1.3. Strengthened capacity of government officials and field staff (foresters and agricultural extension officers) in LUCICF management practices, SFM/REDD+ methodologies, and MRV.</p> <p>1.4. Municipal-level SFM/SLM GIS mapping tool benefits the development and guides the implementation of municipal development plans at the national level</p> <p>1.5. National protocol for the monitoring of C flow develop and articulated with forest production/management plans (INAB), land use planning (municipalities), and conservation plans (CONAP)</p>							
<p>Outcome 2: Pilot projects for SFM/REDD+ and SLM reduce land degradation, increase C stocks, and strengthen BD conservation in southeastern and western Guatemala.</p>	<p>Pilot 1: SFM REDD+ and SLM increase C stocks and reduce deforestation of the dry forest in a dry mountain landscape in southeastern Guatemala.</p>						
	tCO2-e sequestered through dry forest rehabilitation	14.299,7 tCO2-e (302,5 ha)	Progress was planned to be measured in 2016 before MTR. It would be implemented in conjunction with the REDD+ National Strategy	116.848 tCO2-e	174.126,85 tCO2-e sequestered in 3.683,53 ha of dry forest. These data need to be confirmed once allometric formula are developed in the region	S	Even though 2016 PIR reports that indicator has been achieved, data will be confirmed once forest carbon allometric formula in dry forest are developed.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	Number of ha protected through REDD+ practices during a 5-year period	0	Progress will be measured at the end of the project	1.906 ha	The PRODOC proposes to measure progress at the end of the project. There is uncertainty that this target under REDD+ voluntary market will be met.	MU	Project actions and consultancies on REDD+ contribute to meet the indicator. Forest plantations, reforestation plots, and agroforestry systems covering 803,11 ha are interventions on the field and they are expected to be part of the REDD+ modality
	Revenue/gross contributions (USD) through reduction of emissions under REDD+ during a 5-year period.	0	Progress will be measured at the end of the project. The project will continue working	USD \$619.672 (247.869 VCUs)	The PRODOC proposes to measure progress at the end of the project. There	MU	Project actions and consultancies on REDD+ contribute to meet the

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
			with government entities to the development of the REDD+ National Strategy and MRV		is uncertainty that this target under REDD+ voluntary market will be met.		indicator. The definition of a benefit sharing mechanism is lacking.
	Change in the capacity of municipal staff as measured by capacity development indicators	Municipalities (11 de 15): - San Manuel Chaparrón: 15,38% - Jalapa: 33,33% - San Luis Jilotepeque: 51,28% - Mataques-cuintla: 30,77% - Quesada: 35,71% - El Progreso: 25,64% - Santa Catarina Mita: 38,10% - Asunción Mita:	Progress was planned to be measured before MTR	Municipalities: - San Manuel Chaparrón: 25,38% - Jalapa: 43,33% - San Luis Jilotepeque: 61,28% - Mataques-cuintla: 40,77% - Quesada: 45,71% - El Progreso: 35,64% - Santa Catarina Mita: 48,10% - Asunción Mita:	-San Manuel Chaparrón: 20,51% -Jalapa: 40,48% -San Luis Jilotepeque: 23,08% -Mataques-cuintla: 25,64% - Monjas: 13,89% -San Carlos Alzatate: 35,71% -San Pedro Pinula: 20,51% -Quesada: 30,95% --El Progreso:	S	Capacity building (and other project's services) increased from 11 to 15 municipalities. Average change in capacity is reduced by 21,04 %. It increases for the municipalities of San Manuel Chaparrón, Jalapa, El Progreso, Asunción Mita, Agua Blanca, San

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
		7,14% -Agua Blanca: 35,71% -San Rafael Las Flores: 30,77% -Casillas: 56,41%		17,14% - Agua Blanca: 45,71% - San Rafael Las Flores: 40,77% - Casillas: 66,41%	35,90% -Santa Catarina Mita: 30,95% -Asunción Mita: 14,29% -Agua Blanca: 40,48% -Jutiapa: 17,95% -San Rafael Las Flores: 33,33% -Casillas: 43,59% There is a positive opinion that training sessions in the mid-term will increase institutional capacities. Capacity building helped creating and		Rafael Las Flores. It decreased for the municipalities of San Luis Jilotepeque, Mataquescuintla, Quesada, Santa Catarina Mita y Casillas. Training sessions has contributed to improve and develop Forest and environmental municipal offices' activities in order to strengthen municipal governance.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
					strengthening Forest and environmental municipal offices to develop new activities, disseminate forest family consumption, improve issuing forest license and water resource management		Government and staff changes may have affected capacity development indicators. In addition, capacity development indicators methodology may have also influenced as it presents contextual analysis constraints.
Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to the conservation of BD in a humid mountain landscape in western Guatemala.							
	tCO2-e sequestered through humid montane forest rehabilitation	30.130,8 tCO2-e	Progress planned to be measured in 2016 before MTR. The project worked with INAB to increase CO2-e sequestration	25.679 tCO2-e	45.509,13 tCO2-e sequestered in 3.889,19 ha calculated as per humid montane forest carbon	S	Even though 2016 PIR reports that indicator has been achieved, data will be confirmed

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
			capacity through forest restoration with SFM techniques		sequestration index of 11.96 tCO ₂ -e/ha		once forest carbon allometric formulas in humid montane forest are developed through the carbon inventory consultancy.
	Number of ha protected through REDD+ practices during a 5-year period	0	Progress will be measured in 5-year period. The project worked with INAB to increase CO ₂ -e sequestration capacity through forest rehabilitation with SFM techniques.	1.012 ha	Progress will be measured at the end of the project. However, there are regional-level initiatives under implementation such as reforestation, and agroforestry systems covering 5,905.8 ha	MS	It is highly uncertain that a carbon project will be developed during the remaining execution period of the project under the REDD+ voluntary market. There is a very low

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
					under REDD+ modality		performance of the REDD+ national strategy and MRV development as they rely on an international factor.
	Revenue/gross contributions (USD) through reduction of emissions under REDD+ during a 5-year period	0	Progress will be measured at the end of the project. The project will continue working with government entities to the development of the REDD+ National Strategy and MRV	USD \$702.540 (281.016 VCUs)	Even though progress will be measured at the end of the project, target is expected not to be achieved under the REDD+ voluntary markets.	MU	Many resources have been invested to establish a national REDD+ framework to develop carbon projects under voluntary markets.

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
							However, project results may not be achieved as national strategies have not been agreed to develop carbon projects for the remaining project life. Further, a benefit sharing mechanism needs to be also developed to facilitate the implementation of carbon projects.
	Number of key species by biological groups	- Amphibians: 8	Amphibians: 8 Sp. and Plants: 11 Sp.	-	According to the biological		8 amphibian species and 11 species of

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
	(amphibians and plants) present in the project area	<p>(<i>Plectrohyla tecunumani</i>, <i>Bolitoglossa nussbaumi</i>, <i>Pseudoeurycea rex</i>, <i>Plectrohyla hartwegi</i>, <i>Dendrotriton cuchumatanus</i>, <i>Plectrohyla hartwegi</i>¹⁷, <i>Plectrohyla ixil</i>, <i>Craugastor lineatus</i>) - Plants: 11</p> <p>(<i>Pinus hartwegii</i>, <i>Pinus pseudostrobus</i>, <i>Pinus ayacahuite</i>, <i>Alnus jorulensis</i>, <i>Alnus firmifolia</i>,</p>	According to the biological monitoring system conducted by FUNDAECO in conjunction with CONAP indicated that population remains stable.		monitoring led by FUNDAECO -Amphibians: 8 -Plants: 11	HS	plants remains stable in the forest areas where conservation agreements are being implemented

¹⁷ Repeated specie, register the following specie instead: *Bolitoglossa hartwegi*. **Logical framework needs to be adjusted**

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
		<i>Arbutus xalapensis,</i> <i>Cupressus lusitanica,</i> <i>Juniperus standleyi,</i> <i>Abies guatemalensis,</i> <i>Quercus sp.,</i> <i>Budleya nítida)</i>					
	Change in the capacity of municipal staff and community members as measured by capacity development indicators	Municipalities: -Santa Eulalia: 33,33% -Chiantla: 50,00% - San Pedro Soloma: 33,33% -San Juan Ixcoy: 38,10% -Todos Santos Cuchumatán: 73,81% CSO:	Progress was planned to be measured before MTR.	Municipalities: -Santa Eulalia: 43,33% -Chiantla: 60,00% - San Pedro Soloma: 43,33% -San Juan Ixcoy: 48,10% -Todos Santos Cuchumatán: 83,81% CSO:	Municipalities: -Santa Eulalia: 23,81% -Chiantla: 50,00% -San Pedro Soloma: 26,19% -San Juan Ixcoy: 42,86% -Todos Santos Cuchumatán: 52,38% -CSO:	MS	As in Southeastern part of Guatemala, technical capacities on staff were reduced from 46% to 39%. Staff rotation has influenced in 95%. In contrast, capacities increased in

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
		-ASOCUCH: 64,10% - ICUZONDEHUE : 66,67% -ASILVOCHAN-COL: 64,10% -ACODIHUE: 80,00%		-ASOCUCH: 74,10% - ICUZONDEHUE : 76,67% -ASILVOCHAN-COL: 74,10% -ACODIHUE: 90,00%	- ICUZONDEHUE : 75,00% -ASILVOCHAN-COL: 71,79%		local associations: ICOZUNDEHUE y ASILVOCHAN-COL, show a "high" development level (from 65% to 73%)
<p>Outputs: Pilot 1: SFM REDD+ and SLM increase C stocks and reduce deforestation of the dry forest in a dry mountain landscape in southeastern Guatemala.</p> <p>2.1. REDD+ pilot project targeting 17,456 ha: 3,500 ha of which will be restored and reforested by planting native species and through natural regeneration</p> <p>2.2. Methodology for REDD+ pilot project in the Dry forest applied.</p> <p>2.3. SFM/SLM plan for the upper and mid sections of the Ostua River watershed associated with dry forest and the Ayarza Lagoon include planning for firewood use, establishment of riparian buffers strips, and use of windbreaks and live fences.</p> <p>2.4. Energy-efficient stoves program reduces firewood consumption and GHG emissions</p> <p>2.5. Strengthened capacity of municipalities and community members in the Southeastern region for including SFM and SLM, and REDD+ tools in local development plans in order to contribute to the institutional sustainability of project outcomes.</p> <p>2.6. Development plans for up to fifteen (15) municipalities incorporate SFM/REDD+ and SLM principles and their implementing measures</p> <p>2.7. Four (4) environmental/forestry municipal offices (Jalapa, Jutiapa, and Santa Rosa) fully equipped and with skilled staff for control of forest fires, and enhance conservation of BD and C sequestration</p>							

Project Strategy	Indicator	Baseline	Level of 1 st PIR (self-reported)	Target at end of the project	Mid-term level and assessment ¹⁴	Achievement rating ¹⁵	Justification for rating
<p>Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to the conservation of BD in a humid mountain landscape in western Guatemala.</p> <p>2.8. REDD+ pilot Project for 34,357 ha in a production/conservation landscape that includes the Todos Santos Cuchumatanes PA.</p> <p>2.9. Methodology for REDD+ pilot project in humid montane forest applied</p> <p>2.10. Biological corridor established (420 ha) between forest remnants</p> <p>2.11. Four (4) BD/forest conservation agreements between the municipality and agriculture/cattle ranching associations facilitate implementing two incentives (PINFOR, PINPEP) in order to maintain the forest cover (13,843 ha) in an agriculture/cattle ranching production landscape, and ensures permanence of the project's benefits.</p> <p>2.12. Strengthened capacity of municipal and community members in the western region for including SFM, REDD+, CC mitigation, and BD conservation tools in local development plans in order to contribute to the institutional sustainability of the project outcomes</p> <p>2.13. BD conservation criteria (ecosystem connectivity and PA buffers) and sustainable agriculture/cattle ranching practices incorporated into the development plans for five (5) municipalities</p> <p>2.14. Five (5) municipal-level monitoring systems to assess SFM/REDD+ and BD benefits</p>							

Annex 6.12: Overall Project Rating

Table 6.12.: Overall Project Rating

	Objective	Pilot 1	Pilot 2	Project
Number of indicators (Data)	9	4	5	18
Maximum score possible	54	24	30	108
Score obtained	48	17	22	87
Percentage met	88,89	70,83	73,33	80,56
Average point (*)	5,33	4,25	4,40	4,66
Rating	S	MS	MS	S

Source: Consultants.

(*) Corresponds to an assessment strategy based on quantitative valuation from a numeric scale

Annex 6.13.: Corrective measures for management mechanisms

Table 6.13: Corrective measures for management mechanisms.

Management mechanism factors	Leads to an execution, and effective, efficient adaptive management	Good practice/ corrective action (CA)	Corrective measure
Management mechanism	Yes	Corrective action is required (CA)	It is required to strengthen the PCU by hiring a monitoring specialist who will coordinate activities with the administrative and financial assistant. To local government: improve coordination of project activities between central government authorities and local government. Based on reviewing the PRODOC, establish a "branding" policy supported by UNDP so that project activities and national institutional framework is clearly visible.
Work planning	Yes	Corrective action is required (CA)	Greater coordination with the MARN's technical staff in terms of project execution and the development of the annual work plan
Financing and cofinancing	Yes	Corrective action is required (CA)	A short-term action is required so that the Government of Guatemala and KFW agrees and facilitates to start the execution of the cofinancing resources during the remaining period of execution of the project.
Monitoring and evaluation systems at project level	Yes	Corrective action is required (CA)	Hiring a monitoring and evaluation specialist to develop the following roles: a) Develop a M&E system with adequate tools and mechanism, b) Coordinate with project's stakeholders, c) Systematize data and files, d) Prepare M&E reports, and other M&E related activities. With regards to the capacity development assessment, consultant raised corrective measures per stakeholder in order to facilitate the achievement of the PRODOC's indicators. Other technical recommendations from the forestry expert must be taken into account
Stakeholder involvement	Yes	Corrective action is	A work plan is deemed necessary to articulate project actions with CONAP.

		required (CA)	Stakeholders' involvement structure stated in the PRODOC is required to be assessed to facilitate that other direct stakeholders carry out an active participation in the project's decision making processes. It is required that the PCU starts close coordination with international entities such as IDB (FCPF) and KFW as potential source of complementary projects.
Information	Yes	Corrective action is required (CA)	The level of information generated up to date by project indicates that a systematization process is required. It is important to document and share lessons learned derived from the adaptive management process among stakeholders so that they can be used them into their institutional forest management policies and plans. Since PROBOSQUE law is about to enter into force, it is essential to follow up coordination with PROBOQUES
Communication	Yes	Corrective action is required (CA)	Focus on the remaining execution period of the project and invest resources to communicate project results.

Source: Consultants based on the information provided by the project and field mission.

Annex 6.14.: Agreements with Municipalities and other relevant activities. Southeast region.

Table 6.14.: Agreements with Municipalities and other relevant activities: Southeast region**A. Agreements with Municipalities**

Organizations involved in the agreement	Name of the agreement	Start date	End date	Amount US\$ GEF	Cofinancing	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
Jalapa	Strengthening/ opening of municipal forestry office (OFM)	February 2016	Not established	3274.06 for equipment + 1300 additional for training sessions in each municipality	6400.00 /year for forestry technician	Strengthenin g local forestry management	An execution of 90% is estimated for 2016	Opening municipal forestry office, training technical staff, equipment for the municipal forestry office, supporting management and activities development	Registration of the OFM in the National Forest Registry, internal and institutional agreements	As long as OFM's staff is technically prepared and OFM is self- sustained.
San Luis Jilotepeque										
Monjas										
San Pedro Pinula										
San Carlos Alzatate										
Mataquescuintla										
San Manuel Chaparrón										
Quesada										
Jutiapa										
El Progreso										
Asunción Mita										
Agua Blanca										
Santa Catarina Mita										
Casillas										
San Rafael las Flores										
COCODES, municipalities on the upper and middle sections Rio Ostúa	Establishment of the upper and middle section of the Rio Ostua and Laguna Ayarza watershed committee	August 2015	Not established	Consultancy cost for the development of the watershed management plan	Cost/person/day to participate in 25 people meetings	Follow up to identified priority activities in the watershed management plans		Watershed management plans for upper and middle section of the Río Ostúa y Laguna de Ayarza finalized	Watershed management plans, minutes of the watershed committee meetings	Permanent accompaniment from the MARN to convene and coordinate committees.
COCODES and communities in the Ayarza Lagoon										

** Since the last two accords were not agreed, the accord was verbally convened. An agreement was not sought to be formally agreed.

Source: Information generated by the project.

B. About other relevant activities undertaken out of the agreements (part of table 6.14.)

(Information of other interventions developed within the project framework but they are not reported in table above)

ACTIVITY	Period	Amount US\$ GEF	Cofinancing US	Objectives	Executing percentage (%)	Actions developed	Results and sources of indicator	Sustainability
Forest fires protection and control training course	2016	4500.00	4500.00 US forest service	Certification of 20 local technicians on 3 forest fires prevention and control training course	100	Development of incident control system, forest fire behavior and control courses	Training of 20 local forestry technicians and preparation of 2017 forest fire control season	Integration of 20 local forestry technicians into the 2017 SIPECIF activities
Controlled burning course	2015	2600.00	3000.00 San Rafael Mining company. Fire Equipment to control forest, equipment was delivered to COCODES's chairman of san Rafael las Flores	Training of 40 community leaders on the fire management course to carry out controlled burning and slash-and-burn in forest	100	Controlled burning course for community leaders	Training of 40 community leaders, slash-and-burn and controlled burning of 25 ha to prevent forest fires	Follow up and annual training sessions of additional people at regional level.
Reforestation sessions	2015 and 2016	1000.00	13,000.00 equivalent of about 60,000 plants for reforestation in: cerro alcoba jalapa, el aguacate san pedro, Ayarza Casillas, and seed donation de for nurseries in the Carrizal, Jalapa.	Promoting silviculture in forest plantations in communities in the region	100	Reforestation sessions and communal nursery production during 2015 and 2016 period	Reforestation of 50 ha through forest plantation and live fences.	Carry out similar initiatives with PINPEP or PROBOSQUE projects so that plants used for reforestation remains stand until their exploitation.

Source: Information generated by the Project.

Annex 6.15. Audit Trail

Note: The following table shows comments and responses template matrix. The aim of this matrix is to report how comments have been included (or not) into the final MTR report.

Table 6.15.1 shows the audit trail for comments received April 18th 2017 of the MTR for the Sustainable Forest Management and Multiple Global Environmental Benefits project.

A second set of comments from the PCU was received May 31st 2017 which the MTR team adequately addressed. Table 6.15.2., shows the audit trail for comments received May 31st 2017.

Track changes comments in column N°4 for deliverable 3 were provided by different institutions and are shown per institution in column "Author", and change/comment number in column N° 5:

Table 6.15.1.: Audit trail based on comments received April 18th 2017.

Author #	Paragraph N°	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
PCU	Header	Cover page	Logo is not correct	Logos were amended
PCU	Page vii	Acronyms	Include MTT meaning	Included in acronyms section
UNDP	1	Section 1.3	Evidence in this conclusion in important	So It was done. Remember that this section is a summary. Other details are provided in Finding Section and its analyses, rating and annexes
UNDP	1	Section 1.3	I suggest to adequately differentiate project tracking tools: TT (focal area), Capacity development scorecard, etc. I suppose these data refer to the change (increase/decrease) on capacity scorecards	So, it was done. Remember that this section is a summary. Other details are provided in Finding Section and its analyses, rating and annexes. Project tracking tools and capacity development scorecard are included in chapter "4.3.4 Monitoring and evaluation system at project level". This chapter does not refer to capacity development scorecard but TT results
UNDP	1	Section 1.3	Positive changes in MTT? Hard to understand, this project must generate changes in those institutions in charge of land and forest	The following sentence was included: "...capacity development scorecard and TT valuation with regards to the participation of institution in charge of land and forest

¹⁸ Verbatim copy of reviewers' comments. It includes correct spelling and punctuation when was requested by the reviewers.

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			management, and biodiversity conservation	management, and biodiversity conservation (INAB, CONAP and MARN), reports positive changes ..."
UNDP	1	Section 1.3	Only positives? Any key milestone that justify this claim in INAB, CONAP and MARN?	In fact, they were positives. There is no key milestone. Positive changes refer to mid-term indicators derived from the implementation of the TT (BD, LD, MCC y SFM/REDD+)
UNDP	1	Section 1.3	Is there any reference of how many offices were trained and improved capacities?	Not Possible. The projects has not systematized information at the moment, because of the lack of monitoring
UNDP	1	Section 1.3	What was this strengthening about?, what is the evidence that forestry municipal officials are strengthened?	Short-courses, workshops, equipment and its use. Remember that this section is a summary. Other details are provided in Finding Section and its analyses, rating and annexes.
UNDP	1	Section 1.3	Improve wording. SEGEPLAN what with? Work together	SEGEPLAN was supported in the development of the Municipal Development Plans (MDP) alignment methodology where environmental variables were incorporated into 15 municipalities' MDP
PCU	1	Section 1.3	I suggest the following wording: economic incentives under the national program framework for Sustainable Forest Management	The sentences was included as it were proposed: "...economic incentives under the national program framework for Sustainable Forest Management."
UNDP	Row 1, table 1.4	Section 1.4	Has the defined strategy helped to guide project achieved results? Is the valid for the remaining execution time of the project?	In accordance with findings chapter, the following text has been added. "Project's strategy has contributed to guide achieved results. However, an assessment is deemed to be necessary for the remaining execution time of the project."
UNDP	Row 2, table 1.4	Section 1.4	What is the evidence that is "satisfactory" and that we are meeting the objective? The project has carried out	In fact, evidence is shown in Finding and annex chapter. MTR shows, as requested, progress in the achievement of

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			progress incorporating areas into PINFOR and PINPEP, best practices, and restoration. It is important to identify whether this process of land and forest management, and biodiversity conservation are strengthened.	the objectives. Of course, these results are supporting land and forest management, and biodiversity conservation.
UNDP	Row 2, table 1.4	Section 1.4	Which goal will not be met? What timeframe on? If the goal of the objective is not met, it would be necessary to review achievement rating based on which would be aspects that will not be achieved. Why? And reasons	As mentioned "Changes in TT" It is not possible to points out that goal will not be met. Scores remain as there are two-years period for project execution
UNDP	Row 2, table 1.4	Section 1.4	An analysis whether the SFM, and SLM principles will remain is necessary. Is PROBOSQUE law contributing towards these challenge?	Paragraph was adjusted including the following sentence: PROBOSQUE law design and lobby process was supported and will not only continue supporting SFM, SLM and biodiversity principles but will also scale up actions in different sustainable development process.
UNDP	Row 2, table 1.4	Section 1.4	Which capacities in the staff were strengthened?, could these capacities remain even though staff might leave institutions?	Concerning capacities paragraph was amended as follows: " These capacities could continue as administrative and management mechanisms are being strengthened to promote follow up in different commitments: for instance, OFM."
UNDP	Row 2, table 1.4	Section 1.4	Will Environmental information system progress? Will it be implemented? Will it be used? Is it something municipalities and institutions required?	Regarding the Environmental information system the following text was added: "It is expected that this system will be properly operated as it was an initiative derived from the stakeholders involved"
UNDP	Row 2, table 1.4	Section 1.4	In terms of results, will it be achieved? It is an activities description	A text has been added: "Even though a REDD+ pilot project will not be met, project interventions continue

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
				supporting SFM, restoring carbon reservoir in the Dry Forest."
UNDP	Row 2, table 1.4	Section 1.4	Is is possible to apply the REDD+ methodology in a near future?	The following text has been added: "..., REDD+ methodology has not been applied as yet; however, current project activities developed may provide elements for further application at the ENREDD level, but not fully applied during the remaining lifetime of the project.
UNDP	Row 2, table 1.4	Section 1.4	Beyond the dissemination of the watershed plan, it is important to show the importance of its use	The following text has been added: "...a socialization and inclusion into the municipal planning tool is planned."
UNDP	Row 2, table 1.4	Section 1.4	Which capacities are developed, will it be applied in the future, or are being applied already?	As this table is a summary, details are shown in Findings Chapter.
UNDP	Row 2, table 1.4	Section 1.4	The promotion of forest incentives will help to avoid emissions	The following text has been added: " ... As forest incentives are emission reduction tools as they keep forest cover; hence, CO ₂ -e emissions are avoided in this forest".
UNDP	Row 2, table 1.4	Section 1.4	Which is the evidence	The following text has been added "...According to field visits and forest diagnosis conducted by FUNDAECO, remains stable ...". Besides, 2016 PIR points out FUNDAECO's statement
UNDP	Row 2, table 1.4	Section 1.4	Which capacities have been developed.	Details are shown in Finding Chapter
UNDP	Row 2, table 1.4	Section 1.4	This tools will be used to mainstream SFM y REDD+	The following text has been added: "...design and dissemination of SFM, REDD+, CC mitigation and BD conservation tools and other development tools ..."
PCU	Row 2, table 1.4	Section 1.4 mention that in the annual operative plan (AOP) a biological monitoring	The following text has been added: "... 2017 AOP includes the implementation of a

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			consultancy will developed, as you can see it in the 2017 annual plan.	biological monitoring system with local communities and municipalities in the pilot region 2..."
UNDP	Row 2, table 1.4	Section 1.4	This rating shows elements that can be incorporated in the future for a better project execution and it refers to what the guide states to be included in the rating section.	No comments
UNDP	Row 3, table 1.4	Section 1.4	Out of the scope of the project	As stated in the PRODOC, KFW cofinancing resources are important; therefore, a short-term action for the project is to coordinate with KFW
UNDP	Row 4, table 1.4	Section 1.4	I do not understand cash flow	It refers to the information derived from the execution of financial resources
UNDP	Row 4, table 1.4	Section 1.4	In the municipalities? What is "policulturalidad"?	Even though the term was change by Pluricultural, it also refers to the challenge that municipalities have to attend people from different cultures.
UNDP	Row 4, table 1.4	Section 1.4	Which is the most adequate institutional capacity	Report was amended with the following text: "... A proper institutional capacity regarding environment issues has been developed"
UNDP	Row 4, table 1.4	Section 1.4	What we can say about the competent authorities and the ones responsible, are these stakeholders? Is there a good level of involvement, is there any political will to follow up interventions promoted by the project?	Comment was addressed by adding the following text: "... good level of involvement from key stakeholders that are in charge of SFM, SLM and BD (MARN, INAB, CONAP) through different participation mechanisms, encouraging institutional staff to follow interventions promoted by the project;..."
UNDP	Row 4, table 1.4	Section 1.4	This rating is focused to identify whether the objectives and results will be achieved, whether there are shortcomings	No comments.
UNDP	1	Section 1.5.	I do not understand this sentence. Take into account	It was considered. Remember that this is a summary;

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			what that GEF-5 states and what the projects states on the REDD+ framework	therefore, it does not include explanations, analysis, details, etc. The following text has been added: "it was complex with regards to outputs/indicators of the REDD+ strategy..." For further details, please check Findings Chapter and conclusions.
UNDP	1	Section 1.5.	Fully agree. Recommendation on how to resolve it during the second phase of the project	The following recommendation was included in the summary and recommendation section: "to strengthen the gender dimension in the project, the guidelines should be defined and a strategy should be included where: 1) incorporate gender aspects into the policies, regulations and actions promoted by the project, 2) define women participation quotas in the benefits of the project and 3) incorporate gender indicators in the LF."
PCU	1	Section 1.5.	This was not a requirement for project design; however, it is worthwhile that even though the PRODOC does not consider gender issues, the project is developing proper measures into project activities based on gender approach.	It refers to the design phase. Remember that this does not include explanations, analysis, details, etc. For further details, please check Findings Chapter and conclusions.
UNDP	1	Section 1.5	It is a consultant's opinion	For further details, please check Findings Chapter and conclusions
UNDP	2	Section 1.5	What do you mean by this? It is not explained.	Remember that this is a summary. For further details, please check Findings Chapter and conclusions.
UNDP	5	Section 1.5	I suggest to divide execution and cofinancing ratings. Execution is a direct responsibility of the project.	As it refers to financial issues, the same conclusion remains in accordance with financial related chapter.

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			Cofinancing is not a responsibility of the project, especially if factors at the start of the project is subject to political decisions	
UNDP	5	Section 1.5	Is it because of KFW cofinancing resources? Please, clarify, as you mention that all co-financers have accomplished.....	It was explained in the Findings Chapter.
UNDP	5	Section 1.5	Check out conclusions: PNUD has guidelines and procedures established which cannot be simplified. If "simplified" is a conclusion, so which is the recommendation provided by the reviewers. Remember that recommendations must be implemented and monitored its achievement.	Text has been deleted " ... procedures can be simplified ..."
UNDP	5	Section 1.5	I do not understand	Included in year 2017
UNDP	6	Section 1.5	Excellent. What it refers to?	The project lacks of this elements to follow up its actions and results
UNDP	7	Section 1.5	What is the evidence	Remember that this is a summary. For further details, please check Findings Chapter and conclusions. However, the evidence is the achievement of the forest management plans under PINPEP and PINFOR.
UNDP	8	Section 1.5	An key element in the adaptive management is stakeholders involvement	Agree. Remember that this is a summary. For further details, please check stakeholder involvement of the Findings Chapter and conclusions
UNDP	9	Section 1.5	Please take into account that this project catalyzes, adds and maximize national processes.	Agree. For this reason, project sustainability, likely is considered at the midterm.
UNDP	9	Section 1.5	What it is expected? Were national institutions' commitments for the future of the projects' results including	In fact, commitments to continue applying best practices were explored with projects' stakeholders. A text was added to the section 4.4.3:

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			applying best practices explored?	"...and follow up commitment of the implementation of best practices,".
UNDP	Title	Section 1.6	<p>There good recommendations. Thanks. Recommendation can be set in order based or related to the conclusions. Addressed to actions. It is important to take into account that to choose recommendations, the project needs to assess effective alternatives, policies, financial priorities, etc.</p> <p>Essential to clarify the potential of the implementation of recommendations. Recommendations can be actions to be implemented. They must be realistic and reflect an understanding for UNDP and constraints. An identification of recipient or responsible is important.</p>	Agree. Remember that this is a summary. For further details, please check stakeholder involvement of the Findings Chapter and conclusions
UNDP	4	Section 1.6	Not possible. The project is not responsible of it.	As previously mentioned, KFW cofinancing is included in the PRODOC. Report was amended as follows: "... and promote coordination with MARN so that the KFW cofinancing resources are executed in accordance to the PRODOC. "
PCU	7	Section 1.6	Agree. Ronny please include some elements that allows us to justify this: e.g. avoided emissions sales which we know it will not be possible as different context was assessed during the project design phase: focused on voluntary market and country under a national approach, commitments on emission reduction based on Paris	The following text has been added: "... amendment strategy to the PRODOC design and to the Executive Board about the logical framework related to the REDD+ strategy. For further details please see section 4.1.2 Findings on the project's results framework/logical framework..."

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			Agreement and the country NDC commitments submitted to the Convention; this makes the carbon credits sales not feasible as stated in the PRODOC. Therefore, it is necessary an amendmentand other elements based on your opinion that it is necessary to adjust.	
PCU	7	Section 1.6	Please clarify this recommendation so necessary changes can be easily seen.	Remember that this is a summary. For further details, see 4.1.2 section 4.1.2 Findings on the project's results framework/logical framework..."
UNDP	10	Section 1.6	Is MTR recommending this? RMT???? Why ?	Yes, this is a recommendation. Remember that this section is a summary. For further details please see Finding and recommendations Section
PCU	3	Section 3.1	Does it refer that forest cover is increasing? If so, please clarify ...	It is a technical terms stated in the PRODOC
PCU	3	Section 3.1	I recommend to include tools that have helped forest incentives, Protected Areas law, as well as to write the name of the tools.	Agree. They have been added.
UNDP	3	Table 3.6	Review and include its role in the project implementation, in addition of what has been established. Sometimes, it refers to an institutional role.	Elements were reviewed and incorporated. The first table was made using PRODOC's information.
PCU	3	Table 3.6	I consider there are other administrative units, high level officials (e.g. project unit, and DETEDESEQ unit) linked to this actions. Please include them	Information units were reviewed and incorporated. The first table was made using PRODOC's information.
PCU	3	Table 3.6	Then, climate change direction, DETEDESEQ, among others. (e.g. Environmental information system unit, and National Climate Change information system – SIA/SNICC).	Suggestion was made.

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
PCU	2	Section 4.1.1	This was a good anticipation as there are not stable markets at the moment. Besides, the country is analyzing whether to access funds in based on payment performance...) this will allows us to adjust logical framework goals and indicators regarding forest carbon	Comment was added as follows: "Anticipation was positive, as currently the country is analyzing whether to access funds in based on payment performance. "
PCU	4	Section 4.1.1the last comment does not indicate That the project design foreseen this???..... is that what it happened	Agree.
UNDP	6	Section 4.1.1	This finding would needt further analysis based on the reviewer external opinion and on evidence gathered whether the institutional and legal framework allows what the project is aiming by mainstreaming SFM and SLM into policies and whether it will help sustainability of project benefits.	<p>"institutional and legal framework allows what the project is aiming by mainstreaming SFM and SLM into policies and whether it will help sustainability of project benefits".</p> <p>The following text was included: "Based on consultancy conclusions" <i>"Establishment of the Interagency agreement for the inclusion of Forest and land management principles, confirmed by policy departments or units of institutions involved and agreed in closure consultancy minute in June 2015."</i></p>
UNDP	8	Section 4.1.1	Repeated paragraph	Table has been amended
MTR Team	6	Section 4.1.2		Baseline in PRF and PRODOC states that indicator species list mention 8 amphibian species however, <i>Plectrohyla hartwegi</i> is repeated. According to the PRODOC and FUNDAECO, the correct specie is: <i>Bolitoglossa hartwegi</i> as this is an indicator species of Humid montane

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
				forest, but is not mentioned in the base line.
UNDP	7	Section 4.1.2	Check the suitability of a recommendation.	Agree. An amendment recommendation for the logical framework for the item 5.2.3., outcome 2 was included.
PCU	7	Section 4.1.2	This is an option, but MARN has not established a regulation regarding article 19 Compensation mechanisms, Voluntary emission reduction mechanism. What it is necessary is to develop a national carbon market but is not developed so far.	The analyses of the three option need an amendment and review of the logical framework taking into account the feasibility of the purposed options. Other option would be, for example, national forestry incentives.
PCU	7	Section 4.1.2	I am asking: ¿Is not possible to include national forestry incentives as sustainable forest promotion mechanism aiming forest protection, emission reduction caused by land use change, and at the same time generating economic benefits to communities and farmers, etc?	The analyses of the three option need an amendment and review of the logical framework taking into account the feasibility of the purposed options. Other option would be, for example, national forestry incentives.
UNDP	3	Section 4.2.1.	It is important to highlight whether the legal framework allow what it was defined in the PRODOC with regards to mainstream SLM and SFM principles.....	The legal framework is another hierarchy beyond what was raised in the PRODOC. The existing legal, institutional framework or stakeholders involved had not affected the inclusion of SFM and SLM. Axel Gomez consultancy states that there are 43 documents such as policies, laws, programs, manuals, guidelines, etc. with SFM an SLM principles. Regulations are up to date and obliges its implementation
PCU	4	Section 4.2.1.	I suggest highlight that this law will continue supporting national forest incentive programs. This helps to address threats identified in the project.	Agree with the first part, but threats are not identified as mentioned. The following text has been included: " <i>continuity to national forestry incentive</i> "

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
				<i>programs through the promotion of"</i>
UNDP	6	Section 4.2.1.	Policy has not been approved. It is important to analyze feasibility and political will to approve and implement it in order to set a political enabling framework to integrate SFM and SLM	Policy has not been approved, indeed. However, we hope the project team will continue supporting printing and dissemination as established in 2017 annual work plan. It is a new project coordinator's role to promote the policy approval jointly with local authorities so that the annual work plan can be accomplished.
UNDP	9	Section 4.2.1.	¿How all these capacities can be maximized based on institutional capacities?	The following text has been included: "These results can be maximized in a near future through the implementation of the institutional framework in order to promote and facilitate information for decision making in those related institutions"
UNDP	26	Section 4.2.1.	Question for Luis: Did you share with Rony and Gustavo the joint work between the project and the REDD+ national strategy and PDD?	No comment
MTR Team	40	Section 4.2.1.		<i>Bolitoglossa hartwegi</i> , is the correct specie; however it is repeated in the PRODOC <i>Plectrohyla hartwegi</i> .
PCU	22	Section 4.2.1.	Fees of what?? Please specify	The following text has been included: "fees system derived from municipal forestry services"
PCU	27	Section 4.2.1.	Without entering into the municipality property inventory	Correct. It was included in the text.
UNDP	34	Section 4.2.1.	¿Source?	FUNDAECO was added as source
PCU	35	Section 4.2.1.	Y surface...	"surface" was included
PCU	35	Section 4.2.1.	Here is where women can used this surplus to other productive activities such as making fabric that increase	The following text has been included "which contribute women's income generation and developing other

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			family income and allow children to attend school	productive activities such as fabric making and children can attend school regularly"
UNDP	37	Section 4.2.1.	Check this rating, moderately does not exist	"Moderately" was removed
UNDP	38	Section 4.2.1.	It is important to evidence developed competencies	Paragraph 41 addresses this comment
PCU	45	Section 4.2.1. 2017 annual work plan you have, a monitoring consultancy regarding its design and implementation is included. Please check it out	The following text was included: "Five monitoring system at municipal level to assess SFM/REDD+ and BD are in progress to be developed"
UNDP	4	Section 4.2.2.	Which tools are these? Specify	The following text was included: "the following tools" Tools were in the text.
PCU	14	Section 4.2.2.	In this cases, it is necessary to recommend an amendment as income from verified emission reduction sales will not be possible. Please focus on Incomes generated by the forestry incentive program which is under implementation....	The following text was included: "...where 2017 annual work plan includes consultancy to design and implement a monitoring system."
PCU	1	Section 4.2.3	Comment: I believe income from verified emission reduction sales will not be possible as the country has not signed an interest letter with world bank. Once signed, the country needs 18 months to arrange MRV systems, safeguards, benefit sharing, etc., and then start negotiating national sales. This context is out of the project framework. It would be necessary to make changes in goals and indicators.....	Comment: interesting information about the context. Definitely, logical framework needs to be adjusted which has been pointed out.
PCU	1	Section 4.2.3	I would like to suggest to highlight this element, and draw up some recommendations to change this goal and take into account investments on sustainable	A recommendation regarding the adjustment of the logical framework was included. The way to adjust and review does not correspond to the MTR.

Author #	Paragraph Nº	Comment location	Comment/Feedback on the draft MTR report ¹⁸	MTR team response and measures taken
			forest management through forestry incentives programs.	
PCU	Title	Section 4.2.3	It has not been mentioned anything about to allocate carbon credits into the voluntary market.	This comment does not correspond about what is requested. "Existing barriers for the achievement of the project's objectives" "
UNDP	2	Section 4.2.3	Please clarify what does the project resources towards the national REDD+ strategy means. The project addresses resources to the pilot areas, not to the REDD+ strategy itself. GEF cannot finance actions related to FCPF activities. This is an agreement between both multilateral funds.	The following text was included: "to the pilot included 2017 annual work plan"
UNDP	4	Section 4.3.1.	Please be more precise. I understand that it is suggested the need of hiring a monitoring specialist?	The following text was included: " a person who supports the project coordinator"
PCU	7		This stakeholder is not part of the project.	Everything related to INFOM was deleted.
UNDP	9	Section 4.3.1.	¿why?	The following text was included in the paragraph: . "structure incorporated within the COMUDES to strengthening the role of OFM (e.g. plant production in nurseries),"
UNDP	11	Section 4.3.1.	I suggest to explain the process, why and the challenge of the timeframe.	No comments. Finding is evident
UNDP	13	Section 4.3.1.	This already exists	Paragraph was reworded clearer.
UNDP	13	Section 4.3.1.	What is important is not to show off the project	It is important to make the project results visible as well as the governmental institutions involved on them
UNDP	8	Section 4.3.3	Check out these recommendations. They are not possible.	The following text was deleted <i>"on the other hand, an small expenses procedure simplification would facilitate current administrative paper work and would reduce load</i>

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				<i>work not only for the PCU but UNDP."</i>
PCU	9	Section 4.3.3this numbers will not sum up 100%?	Percentage are from different variables
UNDP	13	Section 4.3.3	¿why?	The GEF project alternative, assumes an amount of cofinancing resources need for the achievement of the proposed results.
UNDP	1	Section 4.3.4	¿so, UNDP tools, and regulations does not count?	The opposite, that is why they were mentioned in the text
UNDP	1	Section 4.3.4	¿is this de project board?	According to the PRODOC, it is different from the Project board. A footnote has been included pointing out its composition.
UNDP	1	Section 4.3.4	It is DIM projects. This is the main reason.	Agree. The DIM project scheme was already mentioned in the project description.
UNDP	4	Section 4.3.4	¿which type?	The following text was included: "through desk review and field missions"
UNDP	5	Section 4.3.4	Yes, it is clear. Good issue. This is a requirement when project finishes.	No comments
PCU	9	Section 4.3.4	PINPEP/PINFOR or PROBOSQUE projects are payment results-based which means that incentives paid are verified by INAB. The Payment bill will be the mean to verify performance and control.	Payment bill as mean of performance and control verification is not considered in the logical framework. The project has not set adaptive mechanisms to it.
UNDP	8	Section 4.3.5	At project level, communication must be done with the financial executor FCPF through the MARN. The project must not be in contact with the FCPF. UNDP country office is the one that coordinate with IDB and KFW through monthly G-13 thematic groups meetings	Paragraph was modified as follows: "reactivate communication regarding cofinancing resources committed to the MARN as it is the funds executor of FCPF and KFW. This are sources of complementary projects"
UNDP	1	Section 4.3.6.	¿which?	The following text was included:....."through newspaper notes"

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UNDP	1	Section 4.4.1.	I suggest to reword this sentence.	The following text was included: "a reduction of economic resources once the project finishes"
PCU	1	Section 4.4.1.	The project cannot finance actions to implement REDD+ as there is a project MARN/BID/FCPF of USD \$8.9 million under execution. In case of the REDD+ strategy, project actions must be coordinated through this process.	Agree. A coordination with this project is needed.
UNDP	3	Section 4.4.1.	Adequate terms: cofinancing	Text included: "Adequate terms: cofinancing"
UNDP	4	Section 4.4.1.	Check the GEF – FCPF topic	Sentence adjusted as follows: "...Attention to coordinate MARN with REDD+ strategy"
UNDP	1	Section 4.4.3.	Check out: joint coordination is possible Financial support: Not	Sentence adjusted as follows: "...coordination with the MARN"
UNDP	2	Section 5.1.	¿???	PRODOC states results relying on the REDD+ strategy implementation
UNDP	5	Section 5.1.	¿???	Idem
PCU	6	Section 5.1.	¿and for the pilot area 1? Same case for the pilot area 2.	The following words were deleted "...in the pilot area 2"
UNDP	17	Section 5.1.	Not clear	Sentence adjusted as follows: "The communication scheme used is general"
UNDP	Title	Section 5.2.	Review recommendations based on the comments made in the executive summary	Review executive summary based on the recommendations. It was done for the P4.
PCU	7	Section 5.2.	Dear Ronny, I understand that Gustavo's recommendations would be included in this document; hence, this paragraph will not be included. Please indicate Gustavo's recommendations in this document?? Flor and Nely, do you think it is necessary, otherwise, I suggest remove this paragraph and any other	Recommendation deleted from the report.

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			one that refers to the same topic.	
UNDP	7	Section 5.2.	Indeed, this report must be holistic	Idem
UNDP	Title	Section 5.2.3	Why? They are pilot projects	According to the project design and logical framework, results relies on the implementation of the REDD+ strategy. The realistic management for the remaining project timeframe and final evaluation, design amendments and logical framework must be carried out.
UNDP	1	Section 5.2.3	¿???	PCU strategic management for the remaining execution time of the project must be a priority role.
UNDP	2	Section 5.2.3	Why? They are pilot projects	According to the project design and logical framework, results relies on the implementation of the REDD+ strategy. The realistic management for the remaining project timeframe and final evaluation, design amendments and logical framework must be carried out.
PCU	Row three	Annex 13	¿please specify what is understood by scaling up??	It has been deleted, as it is not deemed necessary to pay for reforestation plans. As in the Project results matrix, these indicators have been met. There were problems as the PRODOC. Areas in the pilot areas were changed, southeast were 3,000 ha and 2016 PIR amended to 547 ha. For western region was the opposite.
PCU	Table header	Annex 6.14.	Edit table so they do not appear.	Agree. In the original document (without change) is included as it is.

Source: Developed based on comments and corrections carried out by UNDP and PCU received on Abril 18th 2017.

Table 6.15.1.: Audit trail based on comments received May 31st 2017.

Author	Page¹⁹	Comment/feedback on the draft MTR Report²⁰	MTR team response and measures taken
PCU	3	In what aspects?	The following sentences was included: "At the level of assumptions related to the REDD+ strategy and the LF"
PCU	3	Comment: More than a list of achievements, a useful aspect for PCU is to show the drivers of success (institutional, etc.) of these achievements.	What was required by the MTR was included.
PCU	4	I would add the agreement with the INE and how coordination between institutions is being achieved through the environmental OCSE.	It was added: An agreement with INE on environmental statistics, achieving coordination between information-generating institutions through the OSCE / Environment.
PCU	4	How? Or in what sense?	It was added: "especially in CR1 and CR2. Footnote... 5 results capacities (RC) were reviewed: CR 1: Ability to acquire commitments and develop actions; CR 2: Capacity to generate, access and use information and knowledge; CR 3: Capacities for strategies, Policies and Legislation development,; CR 4: Management and implementation capacities; CR 5: Capacity for Monitoring and Evaluation
PCU	4	Incorrect! It is the DCS (development capacity scorecard).	It was added: development capacity scorecard

¹⁹ As requested in the meeting held on 12/06/2017 with the PCU, header in table 6.15.2 was changed,.

²⁰ Verbatim copy of reviewers' comments. Therefore, it includes spelling corrections when they requested it.

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PCU	4	No, what it ensures is the continuity of the forestry incentive programs.	It was added: the continuity of the Forest Incentive Programs (PINFOR)
PCU	5	Although the REDD + methodology is not being applied directly, there are actions within the incentive programs and the National Strategy for Restoration of the Forest Landscape, they come to develop actions compared to those of REDD + and mainly direct to very similar results (reduction of emissions by forest degradation and land use change).	It remains as indicated because they can be ignored, both the result as the indicator, raised as such in the PRODOC. It is clearly stated in section 4.1.2.
PCU	6	Lays out modalities that avoid CO2-e emissions.	A footnote was included.... In the project, especially in natural forests management with the purpose of protection and delivery of environmental services, restoration of degraded lands and natural regeneration management modalities.
PCU	7	What is the specific point?	No comments. "Municipalities" term was included.
PCU	7	Why is this being proposed if the project is mobilizing of PINPEP resources in Western Guatemala?	The following text was deleted: "budget must be allocated for reforestation in the Western region".
PCU	7	The project is working with INAB in a sustainably way to access incentive programs that include reforestation, conservation, etc. Why this? And why linked to MARN in the description?	The following text was deleted: "budget must be allocated for reforestation in the Western region".
PCU	7	This is out of the scope and objectives of the project.	As indicated in Annex 6.13., Corrective measures for management mechanisms. "the government of Guatemala and MARN must make the necessary arrangements with KFW".

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PCU	7	This is not a role of the Project, we cannot do anything in this regard.	As indicated in Annex 6.13., Corrective measures for management mechanisms. "the government of Guatemala and MARN must make the necessary arrangements with KFW".
PCU	7	Reforestation is already taking place with the direct support of INAB and by the communities, I do not understand the meaning of this. Also, how will linking with MARN improve reforestation?	The following text was deleted: "budget must be allocated for reforestation in the Western region".
PCU	7	It does not rely upon the project.	KFW's co-financing does not depend on the government, but actions can be taken to achieve this in the future.
PCU	7	I don't understand what you mean by "communication with Cooperation in the areas of project intervention"? Or any committee or project support group identified in the PRODOC?	As indicated in Annex 6.13., Corrective measure for management mechanisms. "Reestablishment of communication with international organizations such as IDB (FCPF) and KFW".
PCU	8	(which?)	This is a summary. Broader aspects are indicated in the corresponding section
PCU	8	Low in reference to what? Co-financing is being carried out as planned, except for KFW which, for external reasons has not started. The idea of co-financing raised in this paragraph is somewhat contradictory.	It is explained in section 4.3.3 (Financing and co - financing).
PCU	8	This was not a requirement so it was not taken into account, but it cannot be described as something negative.	It is not stated as negative. It is complemented at the design section as follows: "because this was not required for the design phase".
PCU	9	How does this link to the sustainability strategy for the results of the project?	It must consider them all. That is what it is all about,

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			that the current results are kept and that others are achieved.
PCU	9	How? What is required? Through a communication plan, however, UNDP communication guidelines should be taken into account.	This is a MARN's action
PCU	9	How? What is required? Through a communication plan, however, UNDP communication guidelines should be taken into account.	The project is not shown in the field: See section 7.2. "the lack of visibility in the field of the project and institutional adoption". E.g. No signs are observed in the project areas.
PCU	9	Is it Municipal Development Plan (PDM) or Municipal Forest Office (OFM)?	It's about the Municipal Development Plan.
PCU	9	Is the recommendation addressing a project extension or not..... because previously they said that they do not consider a project extension. Now, in this case they state it as an option to be analyzed. If so, what should be the arguments for requesting the extension (financial, goals, processes).	The arguments are financial. Section 4.3.3. The level of –low execution is high and management of the financial surplus, failure to take budgetary and management measures, presents the risk of a need to extend the execution period, which could lead to an increase in operating expenses at the end the project. Conclusion 7.5. The project has not been efficient to implement GEF resources and the cofinancing funds are extremely low. Because the level of low execution is high 64% and there is a risk of the need to extend the execution period.
PCU	9	PDM: Municipal Development Plans, this would be with SEGEPLAN then?	INAB has the plan to accompany the municipalities in the PDM.
PCU	9	What is an specific recommendation to improve the consistency of the information of	See section 4.1.2. and footnotes 22.

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		the TT and baseline indicators for the final evaluation of the project?	
PCU	9	What happen to the VCS issue? Do not they need to be thought or changed/linked to the national forest incentives process?.	Already mentioned in section 1.7 of these recommendations
PCU	9	Ronny, you propose that municipalities need to be part of the Project Board? Decision making processes happens at this level, honestly I don't think that this may be the role of the municipalities, since they are beneficiaries. Not decision makers.	It wouldn't be at this level. It is a direct work with the municipalities. E.g. the case of the Municipality of San Rafael, that is not a passive beneficiary, rather it moves forward and develops its own proposals.
PCU	9	According to the PRODOC, municipalities don't appear as decision makers in the project. Some of their proposals have been taken into account, however we have to be realistic since if we authorize one, then 20 municipalities will be deciding. Anyway, it would be more accurate to visualize the best way for municipalities to participate in the implementation processes.	Refer to previous answer.
PCU	15	Project Board, in this case only MARN and UNDP play a role in making decisions regarding the project, this is the maximum authority of the project. On the other hand, there is the Technical Advisory Committee (TAC), which is the one that has the other institutions MAGA, CONAP, INAB, Segeplan, INE, Fundaeco. Its role is mainly to advise and serves as coordination platform. Please do not confuse them, these are two different spaces.	"(CTA)" was deleted.
PCU	16	The MARN has a Project Unit, which aims to be the liaison between MARN and the PCU, and facilitates its role of the different MARN units to support the PCU providing institutional support of ToRs, deliverables, monitoring the implementation of the POA, receives reports, etc. It should be mentioned that it has a very important role in this project and also in the coastal-marine project. You met Otto Fernández (project unit coordinator) and official liaison with the rest of our projects.	The following paragraph was included: And the Project Unit that is the liaison between MARN and the PCU, with the assignment to facilitate the good performance of the projects through which the MARN is involved, to provide the approve ToRs,

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			of the products and follow-up to the implementation of the POA.
PCU	19	¿Which ones?	They are indicated in the paragraph "of income, health, education and gender"
PCU	21	Shouldn't this appear as a corrective action to be developed by the PCU?	It was recommended to be participatory. Suggested way to do this would be: 1. Participatory workshop for review and adjustment of logical framework, based on the results of the MTR. Conducted by the PCU. 2. Approval by the Project Board. 3. Approval by UNDP Regional Office.
PCU	21	Should not we suggest here to a new approach of implementing actions, which can reformulate goals, from a different perspective, but in the end, achieve similar goals?	Review and adjustment of the Logical Framework (LF) has been recommended. Further details please see notes to LF in Annex 6.11. Already in recommendation No. 3 and in paragraph 2 of section 5.2.3
PCU	21	How does the recommendation derive: institutionalize the Project Board? And disseminate in Technical Advisory Committee and Local Committees? It would be: Make a PCU proposal of all the changes necessary to be approved in Project Board and then socialize them with other project stakeholders.	The best way to do this would be: 1. Participatory workshop for review and adjustment of LF, based on the results of the MTR. Conducted by the PCU. 2. Approval by the Project Board. 3. Approval by UNDP Regional Office.
PCU	21	In this case, it is necessary to eliminate or modify the approach of these indicators in the recommendations section.	Already in recommendation No. 3 and in paragraph 2 of section 5.2.3

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PCU	22	The problem here is not the data inconsistency, is that there is a baseline in the field that allows to obtain a data closer to reality and a methodology developed for its calculation. The data of the TTs on CO2-e are cabinet based approximate calculations, in the case of TT for the MTR projections. Please read the TTs report to support of the MTR process..	No comments.
PCU	22	This is still not an option, since Article 19 of the Framework Law on Climate Change refers to two regulations: 1. Emission compensation, will be a regulation for companies such as Energy Generators with fossil fuels (oil or coal) to compensate emissions. 2. Incentive program that motivates voluntary activities to reduce GHG emissions. These regulations are not yet developed, in fact in the current POA 2017 we are trying to support the MARN to develop them. But it is not yet an option.	It was corrected as follows: "a future option"
PCU	22	This should not appear in the recommendations section nor in the corrective actions, where the name is clarified.	It was already raised in a recommendation that refers to these inconsistencies (errors)
PCU	22	Exactly and this applies also for the reported calculations of CO2-e in the TTs. See comment above	No comments.
PCU	22	The reason for these inconsistencies was the lack of/poor documentation of the methodological process that generated each indicator of the TTs.	The following paragraph was included: "The reason for these inconsistencies was the lack of/poor documentation of the methodological process that generated each indicator of the TTs."
PCU	22	All baseline TTs were updated for the MTR. Not only CCM-5.	Deleted: "With the exception of CCM-5 that was developed for MTR"
PCU	23	This would be included in the recommendation and corrective actions section as it clarifies the need to amend it. This will allow two important aspects: emissions reduction, community income generation as payment from compensations. I	Recommendation included.

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		suggest to clarify this, and draw up a recommendation.	
PCU	24	This information is ok, but does not reflect the findings from the capacity development scorecards. Capacity development scorecards provides strategic inputs for project management/planning	The following paragraph has been included: Changes in technical capacities for government agencies does not show improvements as capacities remain in around 65% (INE and SEGEPLAN are not included as they have recently established their baseline). According to the Capacity development scorecards the most important governmental institutional weakness is in their CR 5: M&E capacity. The tendency in this pilot area, specifically with local government (MARN y CONAP) is that there is slightly increase from 73% to 75%); being CR 2 and CR 5 where better performance was reported.
PCU	26	jas previous comment!	The following paragraph has been included "Changes in technical capacities comparing baseline and mid-term data, indicates that capacity average for municipalities in southeast is 11% whereas, capacities decreased from 35% to 32% showing weaknesses in the CR3, CR4 and CR5."
PCU	26	With regards to the result 2.1.1 REDD+ pilot project, tones of VCUs and income derived from VCU sales will not be possible so it is important that the MTR suggest to review and propose an amendment to this results and	Clearly stated in section 4.1.2.

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		indicators. These amendments will be carried out by the PCU and submitted to TCA for approval. (This will done with the new M&E specialist)	
PCU	26	This result and indicators will also need to be reviewed and amendments be approved by the Project Board.	This is what it was recommended
PCU	26	¿What could be a recommendation if is not feasible? I believe it is important some recommendations if there will not a feasible scenario. Also, actions could be suggested in exchange of what it was planned, specifically in terms of the VCSs	Raised in section 4.1.2. Besides, there is a recommendation to review and adjust the project logical framework
PCU	28	¡Would be ideal to cite reports!	Included .." reported in the 2016 PIR..."
PCU	28	This is the same case as Pilot Region 1. All though the consultancy will establish REDD+ potential, the project will not generate and sale VCUs. This means, suggest to review and propose an amendment These amendments will be carried out by the PCU and submitted to TCA for approval.	See recommendation 3, section 5.2.1
PCU	28	¿As in the pilot region 1, what would happen if is not feasible? On other hand, how can be VCUs issue improved? At least a recommendation	See recommendation 3, section 5.2.1
PCU	28	Sorry Ronny for being repetitive but REDD+ is an international mechanism to obtain funds (money as a result of GHG emission reduction sales) so as to carry out actions for reduction of emissions from Deforestation, forest degradation, + conservation and carbon reservoirs in forests. So, the project through PINFOR, PINPEP, PROBOSQUES and conservation agreements already carries out actions to reduce emissions but not with REDD+ mechanism. That's why I suggest that the suitable recommendation is to review and propose new indicators that shows emission reduction progress even though not through REDD+ mechanism (VCUs indicators and income derived from VCUs sales are VCS or CCV voluntary market standards)	<p>A text has been included in recommendation 3: As well as to review and propose new indicators to measure existing emission reduction progress.</p> <p>Another recommendation were also included:</p> <p>4. This will also include the amendment of REDD+ indicators under different scheme. For example, national forest incentives. It is feasible to assess the change of scheme based on income beneficiaries received from the forest</p>

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			incentive program instead of VCUs income. 5. As REDD+ results, PCU need to assess PRODOC and logical framework mistakes (section 4.1.2) and develop a set of changes/amendments to the logical framework and further approved by the Project Board and disseminated amongst project stakeholders.
PCU	29	How are these achievements within the assessed capacities? (planning, M & E, coordination, financial resources). A list like this does not indicate which capacities are in progress and which are not. In the ToR it is stipulated that a comparison of progress between base line and medium term should be made.	The following was included: "The results on the change of technical capacities for the case of the 5 municipalities of Huehuetenango indicate a decrease in capacities from 46% to 39%; with CR3, CR4 and especially CR5, where further attention is required. And lastly, the only sector in which there was an improvement in technical capacity was the Associations of the same region, ICOZUNDEHUE and ASILVOCANCHOL, with a "high" level of development (65% to 73%). In general, the results in the change of capacities, based on the baseline presented in the PRODOC and the previous revision to the MTR, the achievement of the capacity increase (10%) has not been achieved.
PCU	31	Update this information based on the TT arrangements made by UNDP headquarters.	The ones delivered by the project were considered.
PCU	31	I believe that it should be emphasized more that, although the approval of the National	The following paragraph was included:

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		REDD + Strategy has not been reached yet, progresses have been made in implementing the forest incentive processes which is payment results-based like REDD + methodology. Therefore, maintenance / improvement of C stocks and the generation of economic benefits from sustainable forest are being attained. The recommendation of the best route to take or the changes needed to internalize these elements should be cleared out, so that it does not depend on the approval of a national process.	" this report proposes a strategic review of these indicators".
PCU	31	This case will not be possible, therefore it will be necessary to amend it since this situation does not depend upon the project.	It still depends on the design of the project. This should be reviewed as proposed in recommendation 3.
PCU	31	This is what I said in the previous version, it would be good to see the national processes, which like the international ones, have certifications and are paid by results. It would be appropriate to give some suggestions on how to address this and any changes that may arise to be considered by the Project Board.	The following sentence was included: "certified management under some" When the LOGICAL FRAMEWORK is reviewed, it should be adjusted according to the standards that were applied, in this case the national standards (PINFOR and PINPEP).
PCU	32	Is it planned in the PRODOC? But that will not be possible due to the fall in prices of the voluntary market and little progress in REDD +, amendments must be made.	The following sentences was included: "The PRODOC suggests".
PCU	32	If this is already a recommendation, would it be necessary to formalize it by the Project Board and to socialize it in the board of directors and other instances?	The change has already been made, next step is its socialization.
PCU	33	This should be addressed in the recommendations and corrective actions sections. Also, I make the comment again, whether to suggest a change of scheme, so that revenues from national incentives can be taken into account instead of the VCS, since both goes to communities, and C stocks are	This has been extensively explained. See previous notes.

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		maintained and sustainable management of the forest is promoted.	
PCU	33	Capacity Assessment states which is low and which is high. It is suggested to be more precise in the rating used for the MTR.	It refers to the second barrier identified in the PRODOC. This was assessed in the corresponding rating of results 1.2, 2.4 and 2.7. Once the capacity assessment was revised, the corresponding notes were included in results 1.2, 2.4 and 2.7. and Table 1.4. Evaluations for results 2.4. and 2.7. were adjusted.
PCU	33	<p>I do not understand this, as previous sections were considered as "very satisfactory" and now they are being considered as low, I would recommend checking both to avoid contradictions.</p> <p>The barrier I consider as the most important is the rotation of personnel. When the strengthening actions have been carried out, change of authorities represents a new start. So I emphasize that the barrier goes in line of the continuity of the trained people, rather than actions.</p>	The paragraph was amended as follows: "The assessment on institutional capacity development evidences that there has been progress in central government institutions and associations, however, not so in local governments. In addition, there is a common practice of personnel rotation within institutions; this may affect the project's goals in the future, if the trained personnel were replaced".
PCU	34	Be careful with this, since the area of action of the Mancomunidad can be out of the area of project direct intervention	The following sentence was included: (as long as other areas out of the area of the project's direct intervention are no included)
PCU	34	Be consistent with the Project Board (MARN-UNDP), Technical Advisory Committee (TAC other institutional partners), and Local Committees.	This was pointed out in the page 83 of the PRODOC.

Author	Page ¹⁹	Comment/feedback on the draft MTR Report ²⁰	MTR team response and measures taken
PCU	38	I recommend highlighting this in the recommendations and corrective actions section.	It is part of the analysis on this subject.
PCU	39	It is recommended to explain that VERY low is due to the cofinancing of KFW being near 75% of all co-financing resources. However, the remaining co-financing of the other partners has been almost 50% of the execution.	The following footnote was included: This is due to the fact that the cofinancing committed by the KFW, which represents 86.60% of the total co-financing amount, has not been allocated. .
PCU	39	It is necessary to be clear that although the Dry Forest Corridor project started TODAY. Due to the delay, it is not going to be able to execute 18 million in the lifetime of our project. Also considering that even though the MARN indicated that it would start early in 2017, we are going through the 5th month of the year and this has not started.	No comments
PCU	41	"... which went through a prioritization process, and those prioritized, when pertinent, were included in the POA 2017; others may be part of the POA 2018. One of the greatest inconvenient encountered is ... "	The suggestion was included as follows: "... which were prioritized and included within the POA 2017; others may be part of the POA 2018".
PCU	41	This is one of many inconvenient.	No comments.
PCU	41	This is already beyond the scope of the project, since the official delivery was made.	A note can sent to request it do that the project could obtain a confirmation.
PCU	41	Management Tracking Tool (METT)	Deleted "Management Tracking Tool (METT)".
PCU	41	Which went through a prioritization process, and those prioritized, when pertinent, were included in the POA 2017; others may be part of the POA 2018.	The following sentence was included: "Which went through a prioritization process, and those prioritized, when pertinent, were included in the POA 2017; others may be part of the POA 2018".
PCU	41	METT does not apply for this project. Be careful, check where METT is mentioned.	It was amended as follows: "TT".

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		Seems that there is a confusion in terminology. The Tracking Tools applicable for the project are: 2.1, 2.2, 2.3, 2.4.	And "of the management effectiveness (ME), was deleted.
PCU	42	CALMECAC is not part of the project implementation actions. Since the two organizations are not on the same level, I suggest considering the relevance of this comment. CALMECAC is just another stakeholder in the region, while FUNDAECO is an active project stakeholder inked to the project execution.	This organization provided co-financing.
PCU	42	All the INAB's files which include Forest Incentive Programs according to PINFOR, PIMPEP and PROBOSQUE are related to results payment-based scheme. This means that a field verification inspection (in case 85% trees are alive) is done before issuing payments. This payment is a record of project effectiveness and good management.	The project does not have verifiers. On the field visits, we did not find control records of the effectiveness of reforestation activities, prior to and after being certified by INAB.
PCU	43	This should also appear in the recommendations and corrective actions section at the beginning. My only comment is that a recommendation should be generated combining the UNDP communication protocols and requirements with what is called for.	See section 5.2.2. sub section 1.
PCU	48	More reasons could be indicated here.	There is no reference of what reasons refers to .
PCU	48	Therefore, changes should be made ...	Already included in recommendations.
PCU	55	Finish the sentence.	This paragraph was included: it can be found in http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20SP_2014.pdf .
PCU	65	Check the table format.	This template is based on the ToRs.
PCU	121	Change, it is continuity of PINFOR.	Amendment made.
PCU	127	This is very important, these initiatives are considered REDD +, then the income they	No comments.

Author	Page ¹⁹	Comment/feedback on the draft MTR Report 20	MTR team response and measures taken
		generate for the landowners or landholders with the Forest Incentive programs could replace income derived from VCU Sales which will not be achieved.	
PCU	128	Here we should make the change indicating that it would not be revenue from VCUs sales in voluntary markets, rather quantify the income from Forest Incentive Programs!	Consideration should be given to revising the LOGICAL FRAMEWORK.
PCU	128	If forestry incentives are considered, the benefit-sharing mechanism is already established and operating.	It should be considered in the LOGICAL FRAMEWORK review, and then accepted by UNDP Regional.
PCU	133	Same previous comment.	Logical Framework revision should be considered
PCU	160	Do you refer to monitoring?	It is not for the MTR team to indicate it. This is a comment from one of the reviewers, who did not explain its meaning.

Source: Developed based on comments and corrections carried out by UNDP and PCU, received May 31st 2017.

Annex 6.16.: Evaluation consultant code of conduct an agreement form for med-term review

Evaluators/consultants:

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

Evaluation consultant Agreement Form for MTR

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

Name of Consultant: Ronny Ricardo Muñoz Calvo

Name of the Consultancy Organization (where relevant): _____

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

Signed at San José, Costa Rica on the 23rd July 2017

Signature:



(fecha)

Evaluators/consultants:

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

Evaluation consultant Agreement Form for MTR

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

Name of Consultant: Gustavo Pinelo

Name of the Consultancy Organization (where relevant): _____

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

Signed at Guatemala, Guatemala on the 23rd July 2017

Signature:

Annex 6.17.: Mid-term review report clearance form

Mid – term review report clearance form

Evaluation report Reviewed and cleared by

UNDP Country Office:

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____