

Republic of Guatemala

Productive Landscapes Resilient to Climate Change and Socio-economic Networks Strengthened in Guatemala

PIMS 4386

Executing Agency MARN

Implementing institution: UNDP

Mid-term Evaluation

Evaluator: Javier Jahnsen

April 2018

The evaluator is grateful for the collaboration of the UNDP Country Office and the staff of the PPRCC Management Unit and the Ministry of Environment and Natural Resources. In addition, the evaluator is thankful for the information and support provided by all interviewed stakeholders linked to institutions and communities in the Nahualate River basin.

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i. Acronyms

CONAP	National Council of Protected Areas
AF	Adaptation Fund
FAUSAC	Agricultural Department of the University of San Carlos
ICTA	National Science and Technology Institute
INAB	National Forestry Institute
INSIVUMEH	National Institute of Seismology, Volcanology, Meteorology and Hydrology
MAGA	Ministry of Agriculture and Livestock
MARN	Ministry of Environment and National Resources
NIM	National Implementation
CO	Community Organization
SDO	Sustainable Development Objectives
LO	Local Organization
PCL	Local Community Projects
PIR	Project Implementation Report
UNDP	United Nations Development Program
PPRCC	Productive Landscapes resilient to climate change and socio-economic networks strengthened in Guatemala
PRODOC	Project Document
SESAN	Nutritional and Food Safety Secretariat

ii. Executive Summary

This document presents the main findings, conclusions and recommendations of the mid-term evaluation of the Productive Landscapes resilient to climate change and socio-economic networks strengthened in Guatemala (hereinafter PPRCC). The evaluator is grateful for the invaluable support of UNDP, the PPRCC Management Unit and all the stakeholders who participated in the evaluation.

Project Information Table

Table 1 General Project Information

Project Title	Productive Landscapes resilient to climate change and socio-economic networks strengthened in Guatemala. PIMS 4386
Implementing agency	United Nations Development Program
Executing Agency	Ministry of Environment and National Resources
Implementation Modality	National Implementation
Geographic Scope of the Project	<p>Upper and middle basin of the Nahualate River, in 19 sub-basins selected on the basis of their vulnerability: Alto Nahualate, Uguaxucube, Tzozomá, Paximbal, Igualcox, Masá, Ixtacapa, Yatzá, Panán, Mixpiyá, Nicá, Mocá, Paquiacamiyá, Tarro, Bravo, San Francisco, Chunjá, Siguacán and Coralito.</p> <p>The 19 sub-basins are located within the jurisdiction of 12 municipalities: Nahualá, Santa Catarina Ixtahuacán, Santa Lucía Utatlán, Santa María Visitación, Santa Clara La Laguna, San Juan La Laguna and Santiago Atitlán, Department of Sololá; Santo Tomás La Unión, San Pablo Jocopilas, San Antonio Suchitepéquez, Chicacao and Santa Bárbara, Departamento of Suchitepéquez.</p>
Project start date	July 2015
Project URL	http://marn.gob.gt/s/pprcc
FA Allocation to the Project	US\$5,000,000 (without co-financing).

Brief Description of the Project

The project aims at increasing climate resilience in production landscapes and socio-economic systems in 19 sub-basins of the Nahualate River in the departments of Sololá and Suchitepéquez, which are threatened by climate change and climatic variability impacts, in particular hydrometeorological events that are increasing in frequency and intensity. To reach the aforementioned objective, the project implements several interrelated measures ranging from the improvement of institutional capacities to the provision of support to building more resilient local economies and increasing the adaptive capacities of communities via the implementation of adaptation measures.

Project Progress Summary

Although up to the time of the midterm evaluation, the project presented adequate progress in terms of the indicators related to the development of standards, manuals, strategic plans, inter-institutional team formation, financial mechanism identification and application of adaptation measures, some implementation gaps were identified in the case of results related to the availability of climatic scenarios (stations), watershed management strategies and areas subject to conservation through protected areas or forest incentive mechanisms.

The application of adaptation measures (mainly, soil conservation, agro-forestry systems and reforestation), training with a practical approach and the rescue of ancestral agricultural practices were recognized by the interviewees as evidences of the achievement of the project objectives.

Given the area of intervention, the project did not face obstacles for the incorporation of cross-cutting issues like gender, respect for Human Rights and cultural relevance within the interventions. These three topics were observed across the different activities and components.

By July 2018, the PPRCC Management Unit plans to reach most results, especially those linked to the construction of storage centers, implementation of bioengineering works, implementation of financial and micro-finance mechanisms, closure of PCLs and conformation of value chains.

The following table presents the assessment of progress for each of project outcome.

Tabla 2 Summary of project progress

Measure	Score	Description of achievement
Project Strategy	NA	The project is aligned with the main international and national instruments on adaptation and climate change. Its PRODOC served as a reference element, but the context analysis included in it did not delve into all the particularities of the intervention area. The gender, cultural relevance and the Human Rights approach constituted cross-cutting areas of the intervention.
Progress toward results	Achievement of the objective – S (5)	Up to the time of the midterm evaluation, the level of achievement of the project's objective was satisfactory since, in general, the implementation of adaptation measures to increase the resilience of the productive landscapes in the target communities showed clear signs of progress.
	Outcome 1	

Measure	Score	Description of achievement
	Progress score S (5)	Progress linked to the achievement of outcome 1 is satisfactory, since it is expected that the PPRCC will achieve or surpass most of its end-of-project objectives, with some relevant drawbacks. Observed progress is related to the strengthening of INSIVUMEH, as well as to the availability of strategic institutional plans and municipal development plans linked to adaptation measures. The drawbacks identified correspond, mainly, to the need for installation and operation of three meteorological stations.
	Outcome 2	Progress toward achieving outcome 2 is satisfactory due to the preservation and implementation of ancestral agricultural practices and the implementation of measures to adapt to climate change as part of the execution of PCLs. An important gap identified in the achievement of this outcome, however, corresponds to the protracted process of certification of protected areas through the mechanisms of CONAP.
	Progress score S (5)	
	Outcome 3	The project identified micro finance mechanisms that could underpin the sustainability of actions once the intervention ends. However, an important gap that the project can still close is the need for an ex-post measurement of household income levels. The construction of business plans for PCLs with productive components can contribute to the achievement and continuity of results.
	Progress score S (5)	
	Outcome 4	The project has achieved important progress in the generation and dissemination of information about its activities. A pending task for the completion of the project is the systematization of lessons learned by the PPRCC management unit and the different stakeholders.
	Progress score S (5)	

Measure	Score	Description of achievement
Implementation of the project and adaptive management	Moderately satisfactory (4)	The continuity of the staff of the Management Unit throughout the project has allowed the development of an adequate discipline of implementation. PCLs have reached a good level of execution, but they still require the definition of concrete post-project activities to reach their maximum potential and profitability. The PPRCC's monitoring and evaluation function needs to be strengthened.
Sustainability	Moderately probable (MP) (3)	There are moderate risks for the sustainability of the interventions, but there are also expectations that at least some of the results will be maintained. Two key aspects for sustainability correspond to the capacity of the PCLs to plan their activities in the near future and the commitment of the relevant institutions to continue supporting the different activities on adaptation measures at the central and community level.

The following sections present the main conclusions of the mid-term evaluation.

Summary of conclusions

Relevance and design

- The PPRCC based its strategies on national and international priorities, instruments, laws, policies and commitments on climate change adaptation.
- There is a good level of national ownership of the project's activities at all levels, as well a general perception of the project as an intervention of national interest, two conditions that are necessary to contribute to the sustainability of the project.
- The project design correctly identified the socio-economic, environmental and climatic vulnerabilities of the Nahualate River basin. However, some particular aspects of the intervention area presented a challenge during the execution of the project, namely, the installed capacity (networks of existing stations), local land tenure dynamics and land administration and the roles of community authorities as compared to those of their municipal counterparts.
- From its initial stage, the project correctly identified the way in which the risks associated with climate change could influence an increase in gender inequalities and affect the Human Right linked to the protection of life.
- The design of the PCLs did not include the consideration of a counterpart contribution included within the budget of each PCL.

The Monitoring and Evaluation Function

- The midterm evaluation was delayed due to administrative issues.
- Although the project developed certain tools for the monitoring and evaluation function, the absence of an M&E plan has not given them sufficient functionality.
- The technical reports presented by the PPRCC to UNDP and donors have a quantitative format that does not include an analysis of the variation of the status of each indicator with respect to the agreed targets.
- Although the Management Unit stated that each quarterly report sent by OLs included five annexes related to the physical progress and planning of the PCL (each of which was prepared by the coordinator of each PCL and authorized by the project coordinator, after receiving the endorsement of staff in charge of field monitoring), the evaluator concludes that these reports did not include an adequate degree of progress analysis, namely, an explanation of variations of what was achieved with respect to what was planned, strategies to close implementation gaps, and integration of activities.

Management Arrangements

- The continuity of the Management Unit team has ensured the cohesion of the PPRCC's budget planning, the focus of the interventions and the monitoring of the activities at the central and regional levels.
- The project's financial management has been adequate. The PPRCC has achieved a commendable degree of completeness and timeliness in the presentation of financial documentation. The challenge that persists, however, is to link the effectiveness of financial management with the way in which resources support the implementation of activities and how the quality of these, in turn, contributes to the products and results.
- *Evolution of risk management*
 - National elections and changes in government: As of December 31, 2017, government changes have not had an adverse effect on the project.
 - Partners and stakeholders do not cooperate and information is not shared among them: The dissemination of information is done primarily through the Inter-Institutional Support Committees, an aspect that contributes to mitigate the identified risk.

Local Community Projects

- From the point of view of the evaluator, the Local Community Projects (whose core aspects were based on the experience of the GEF Small Grants Program) constitute the main intervention of the PPRCC. These sub-projects have generated strengthening of local organizations that, otherwise, could not have access to training opportunities and implementation of measures to adapt to climate change.
- A missing aspect regarding the PCLs was the lack of a request to each OL of an adequate training plan and not of isolated training activities.
- The PCLs of phase 2, being of a productive nature, merited a cost-benefit analysis of their interventions.

- The accountability process could not be evidenced at all levels of the results chain. Although most of the interviewees at the community organization level stated that they had received project information, it was not possible to verify the existence of copies of monitoring and closure reports of PCLs in the localities where they were implemented. The direct involvement and shared responsibilities in implementation, generate greater ownership and commitment of the COs.
- There is a window of opportunity to: (i) measure the income levels of the PCL beneficiaries (which constitutes a baseline for future impact measurements), (ii) develop cost-benefit analyses of PCL interventions and (iii) prepare business plans that offer a better future outlook on supply, demand, prices and competition for those PCL with a productive and / or value chain creation component.

Assessment of progress on the different components of the projects

- Component 1
 - The development of institutional strategic plans and municipal development plans are two important successes of the project.
 - The generation of information and climate scenarios has been a remarkable achievement of the intervention.
 - The challenge of producing climate information that can be disseminated in an easy-to-analyze-and-understand format and with the appropriate content to all the audiences in the area of intervention persists.
- Components 2 and 3
 - The implementation of adaptation measures and the possibility of generating income through the creation of value chains and marketing of specific products, was an added value of components 2 and 3 of the project.
- Component 4
 - Component 4 has shown clear achievements in terms of the production of information and communication material in radio, television and digital media, as part of a communication strategy that takes into account the cultural characteristics of the audience, the importance of sending a clear message about adaptation measures and the need to give a voice to beneficiaries to show how the benefits of the project have boosted their well-being and that of their communities.

Sustainability

- The PPRCC does not currently have an exit strategy. In addition, the evaluator did not identify any MARN-led resource-mobilization strategy to follow up on the sustainability analysis included in the PRODOC.

Main Recommendations

The following table presents the main recommendations of the evaluation.

Table 3 Summary of recommendations

Rec #	Recommendation	Entity responsible
A	Outcome 1	
A.1	The inter-institutional strategic plans and the municipal development plans must be used as sustainability instruments. For this, the role of the municipal and community authorities is key to making the strategies of these plans visible in the municipal budgets, thus adopting the strategies as their own.	Project Management Unit , Community and Municipal Authorities
B	Outcomes 2 and 3	
B.1	The content of the progress reports presented by the PCLs must coincide with each of the activities included in the grant agreements.	Project Management Unit and OLS
B.2	The field visit reports to the PCLs by the Management Unit staff should include additional specificity in terms of the problems identified, the recommendations provided and the follow up process.	Project Management Unit
B.3	In the final reports of the PCLs, the term impact must be substituted, given that what is reported, for the most part, are products / results.	Project Management Unit
B.4	In future interventions, disbursements for overhead should be linked to performance (5% at contract signature and 5% at midterm of implementation) with clear milestones of what institutional strengthening means.	Project Management Unit

Rec #	Recommendation	Entity responsible
B.5	For each PCL with a productive component, the OL must prepare a business plan that allows proper assessment of the planned growth and profitability scenarios for at least two years after the end of the PCL.	OL
C		
Outcome 4		
C.1	The Project should consider that it has an opportunity to share with different partners a compendium of lessons learned, good practices and knowledge management on specific topics such as the results of the basin approach in the context of adaptation and in light of international commitments on climate change and the results of the implementation of adaptation measures by community organizations that lead social processes in their localities.	Project Management Unit and supporting institutions
D		
Project Implementation and Adaptive Management		
D.1	To strengthen their role, the Inter-Institutional Support Committees should strategically plan their meetings from this moment until the end of the project, analyze the manuals generated by the PPRC and take advantage of information on project progress that has been shared with them throughout the intervention.	Inter-Institutional Support Committees
D.2	Given that the PPRC is deemed a successful project, the MARN should consider the possibility of raising financial resources for its replication in other vulnerable areas of the country where the projections of loss of aptitude for certain crops or the decrease of adaptive capacity, for example, are expected to be more extreme.	MARN

Rec #	Recommendation	Entity responsible
D.3	The Management Unit must evaluate the compliance of the collaboration letters signed with the ministries and other institutions and present the results of this assessment during the closing workshop and in the final report to the Project Board.	Project Management Unit
D.4	The monitoring and evaluation function of the PPRCC should be strengthened taking into account the planning of monitoring activities of the four project results from this point until the end of the intervention, using a critical path and guaranteeing the improvement of the descriptive and analytical content of progress reports.	Project Management Unit
D.5	In future similar interventions, a counterpart should be included within the budgets of community projects in order to strengthen the ownership of activities. The counterpart contribution could be in the form of work, inputs or financial resources of local organizations.	Project Management Unit
E	Sustainability	
E.1	The Project Board has the challenge of strengthening its key and strategic role in the final stretch of the project. For this, the Board should request that the MARN's Project Unit starts the development of an exit strategy.	Project Board and Project Unit at the MARN
E.2	For each PCL with a productive component, the OL must prepare a business plan that allows proper assessment of the planned growth and profitability scenarios for at least two years after the end of the PCL.	OL under the supervision of the Management Unit.

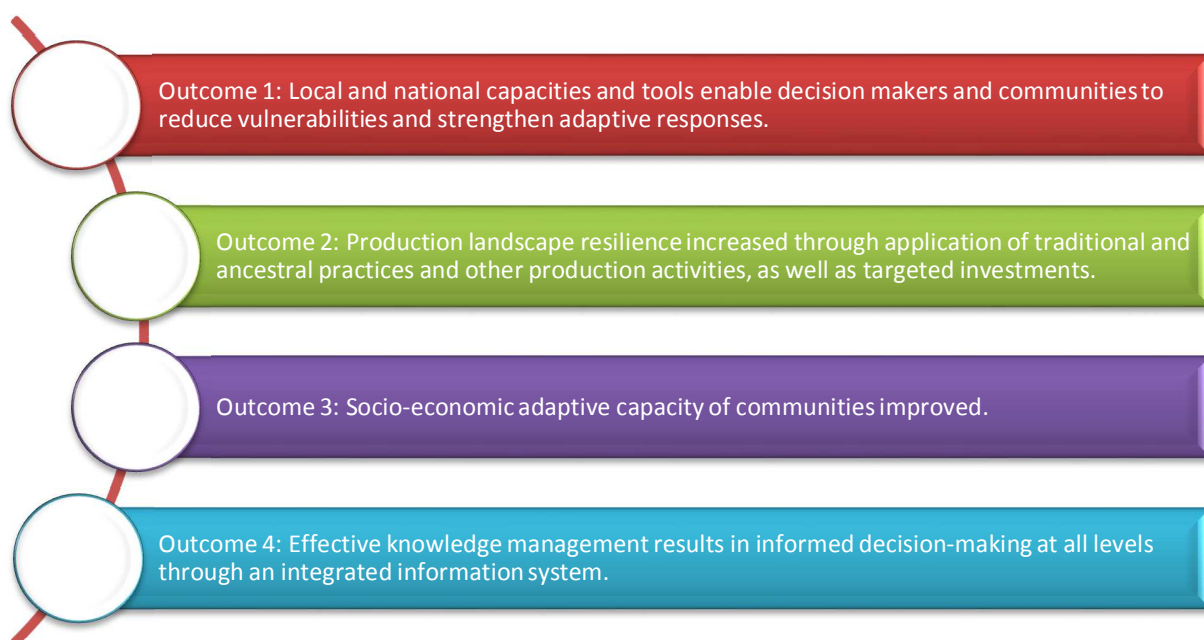
1. Introduction

This document constitutes the final report of the Mid-Term Evaluation (MTE) for the UNDP-supported and Adaptation Fund-financed project entitled “Productive Landscapes resilient to climate change and socio-economic networks strengthened in Guatemala” (PIMS 4386), which is being executed by the Ministry of Environment and Natural Resources (MARN). The objective of the project, which has a predicted duration of 48 months and a financial allocation of the AF for US \$ 5,000,000.00, without co-financing provided, is to increase the climatic resilience in productive landscapes and socioeconomic systems in target municipalities threatened by climate change and impacts of climatic variability, in particular hydro-meteorological events that are increasing in frequency and intensity.

The results of the project are aligned with the objective of the Adaptation Fund, which seeks to support concrete adaptation activities that reduce vulnerability and increase adaptation capacity to respond to the impacts of climate change, including local and national variability. At the same time, the project is linked to the priority on Inclusive and Sustainable Development and with the indicator “Number of municipal development plans that incorporate the protection, responsible use and conservation of natural resources” included in UNDP’s Program Document for Guatemala (2015-2019) and with the programmatic areas of Social Development and Inclusive and Sustainable Development of the United Nations Development Assistance Framework 2015-2019.

The following figure presents the projects expected outcomes.

Illustration 1 Expected outcomes of the PPRCC



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

The evaluation methodology follows the guidelines of the Manual for Planning, Monitoring and Evaluation of Development Results of the United Nations Development Program (UNDP).

The specific objectives of the evaluation included the analysis of:

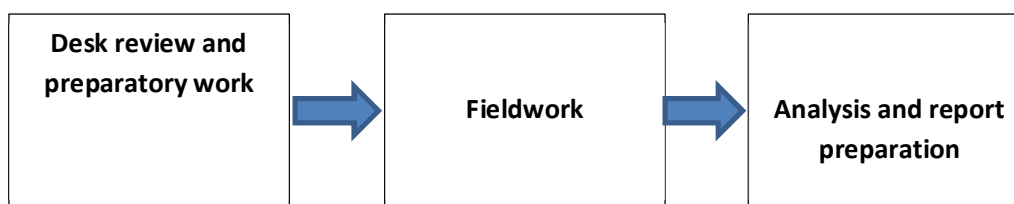
- Consistency of project activities with respect to the objectives of the Adaptation Fund.
- Initial outputs and results of the project;
- Quality of implementation, including financial management;
- Assumptions made during the preparation stage, particularly objectives and agreed upon indicators, against current conditions;
- Factors affecting the achievement of objectives;
- Current context to assess changes generated by socio-economic conditions;
- M&E Systems.

The proposed evaluation followed an approach that emphasized the participation of stakeholders and partners and focused on the usefulness and application of evaluation results. Similarly, the evaluation sought to identify the alignment of activities with the strategies and policies of the Adaptation Fund, UNDP and the Republic of Guatemala.

The evaluator followed a collaborative and participatory approach ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office, UNDP-GEF Regional Technical Advisers, and other key stakeholders.

The following figure presents the evaluation methodology, which was based on a set of mixed methods. Each of the methodological elements is explained in detail in the following sub-sections.

Figure 1 Summary of the proposed methodology



Source: Based on the information of the terms of reference.

1.1 Desk review and preparatory work

The evaluator reviewed the following documents:

- The Project Document (PRODOC)
- Concept Note of the AF
- Proposal of the AF
- Guidance document for implementing entities on compliance with the Environmental and Social Policy of the Adaptation Fund
- Guidance document for executing entities on compliance with the Gender Policy of the Adaptation Fund
- UNDP Initiation Plan
- UNDP Environmental & Social Safeguard Policy
- Social and environmental assessment
- Project reports including Project Performance Reports/PPRs
- Technical and financial proposal and progress and closure reports of PCLs
- Lessons learned
- National strategic and legal documentation
- Project Products
- Atlas Reports
- Other technical reports provided by the counterpart

This methodological stage also included discussing the evaluation methodology in meetings with the technical counterpart, the development and validation of data collection instruments for the different methods used, the selection of sites and the selection of stakeholders that were interviewed.

1.2 Fieldwork

This stage was the longest one in terms of its duration and the number of required activities. The field work relied on the use of various data collection methods including key informant interviews, in-depth interviews, field visits and questionnaires, as appropriate and feasible.

Stakeholder involvement included interviews with stakeholders who have project responsibilities, including but not limited to¹:

- Project Director
- Vice-Minister of Natural Resources and Climate Change
- Chief of Climate Change Adaptation - MARN
- Project Coordinator
- UNDP's Country Office Energy and Environment Officer
- UNDP's Regional Technical Adviser on Adaptation
- Executing Agencies
- Task Team Leaders
- Consultants and experts of the thematic area
- Project Stakeholders
- Local governments and civil society organizations

The evaluator conducted field visits in target municipalities in accordance with discussions with the technical counterpart.

1.3 Analysis and report preparation

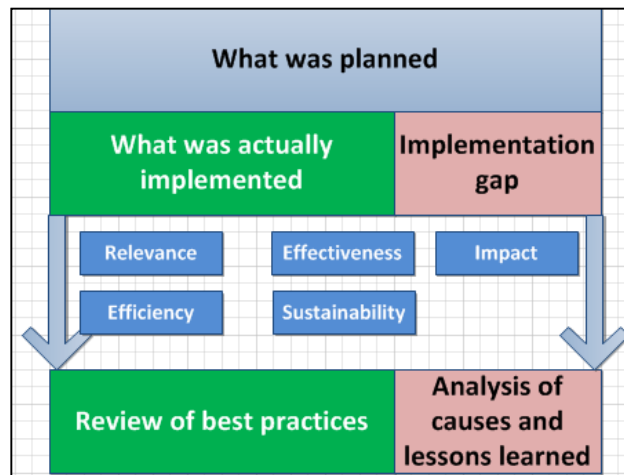
This stage included data analysis, preparation of the inception report, the draft report, collecting comments from the client and preparation of the final report on the basis of comments received. The information obtained via interviews and field visits was summarized and organized according to the different evaluation criteria. The analysis of data also took the following into consideration:

- Comparison of indicators baseline values with observed and target values.
- Comparison of activity planning versus activity implementation with an additional component of quality analysis to verify if a particular activity was implemented with the desired quality level.
- The identification of lessons learned.
- The identification and systematization of good practices.

These comparisons were based on the following conceptual framework.

¹ The complete list of interviewed actors is included in the annexes section.

Illustration 2 Conceptual framework for information analysis.



Source: Based on the information of the terms of reference.

After the introduction, the document presents:

- A brief description of the Project: the context in which the project was implemented and the problem it addressed.
- The main results of the mid-term evaluation: findings organized in accordance with the thematic sections of the data collection instruments.
- The main conclusions and recommendations: the evaluator's assessment and opinion on the project's design, results framework, progress toward results and sustainability. This section includes a series of recommendations for the different stakeholders involved in project coordination and execution.
- Lessons learned: elements that, according to the evaluator, constitute a learning experience applicable to the remainder of the project's life cycle.
- Annexes including additional information on the evaluation's coordination and implementation.

2. Description of the context of the project

2.1 Development context

According to the PRODOC, Guatemala is a country with high levels of poverty and inequality. More than half of the country's population is poor, with indigenous women being the population group with the greatest vulnerabilities. The majority of indigenous populations live in rural areas with the lowest levels of the Human Development Index. The main environmental and climatic problems identified in the country and, with more intensity in the Nahualate River basin, correspond to temperature increases, decrease of the total average rainfall and increases in the frequency of extreme climatic events.

2.2 Problems addressed by the project

The project sought to address the problems created by the impacts of climate variability in 19 sub-basins of the Nahualate river basin. At the same time, it sought to increase the resilience levels of community organizations in these areas affected by severe situations of poverty and vulnerability to extreme weather events. Given the situation in the area of intervention, the project also focused on the creation and strengthening of socio-economic networks through a model of small grants that supported interventions that combined adaptation practices with the creation of value chains.

2.3 Description and strategy of the project

The project strategy consisted of a set of interrelated actions organized into four technical components, ranging from improving institutional capacities to supporting more resilient local economies and increasing the capacity of communities to adapt to climatic variability.

The project has a strong community focus and is based on an intervention that aims to strengthen capacities at the central institutional level, at the regional levels of state entities and at the community level.

2.4 Project stakeholders

The Adaptation Fund is project's financing agency. The MARN is the executing agency of the PPRCC. UNDP acts as an implementing agency, which provides the required technical support. As a multilateral agency, UNDP is responsible for providing several general management services that include project formulation and evaluation, determination of execution modalities and evaluation of local capacity, briefings for project staff and consultants; general supervision and oversight, including participation in project reviews and reporting to donors of financial resources, among others. Based on this context, UNDP supports the PPRCC project director and the project coordinator to maximize its scope and impact, as well as the quality of its products. At the same time, UNDP is responsible for managing the resources in accordance with the specific objectives defined in the Project Document. Financial management and accountability of

allocated resources, as well as other activities related to the execution of project activities, are carried out under the supervision of the UNDP Country Office, the UNDP Regional Center and UNDP Headquarters. UNDP is responsible for the internal oversight of the project and the evaluation activities, taking into account the local capacities for the start-up of project management, limitations and requirements, as well as the effectiveness and efficiency of communications between the projects, ministries and other institutions that are relevant to the project.

A Management Unit within the MARN is in charge of day-to-day project execution. This unit coordinates all the administrative and technical operations of the intervention at the central level with other ministries and public institutions, among which are the National Institute of Seismology, Volcanology, Meteorology and Hydrology (INSIVUMEH), the Secretariat of Planning and Programming of the Presidency (SEGEPLAN), the Ministry of Agriculture and Livestock (MAGA), the National Institute of Forestry (INAB), the Secretariat of Food Safety and Security (SESAN) and the National Council of Protected Areas (CONAP). The Management Unit of the PPRCC works in close coordination with the Development Councils formed at the municipality and department levels and coordinates actions with the Inter-Institutional Support Committees at the local level. As part of components 2 and 3, the Management Unit of the PPRC interacts with local organizations in charge of managing small grants that benefit community organizations of municipalities in the departments of Sololá and Suchitepéquez.

The project was approved by the Project Board of the AF in 2013. Its official start date was July 2015. The PPRCC was planned with an expected duration of 48 months.

The following section presents the main results of the evaluation. These findings are linked to the PPRCC's strategy, progress toward results, implementation arrangements, adaptive management and sustainability of the intervention.

3. Results

3.1 Project Strategy

3.1.1 Project Design

According to the interviewees and, based on the document review, it is clear that the project is aligned with the relevant international and national strategies, as well as with legal framework and sectoral policies. The project is specifically consistent with:

- The Sustainable Development Goals (SDG) 1 (End of Poverty) by strengthening community organizations in places with a significant prevalence of extreme poverty, 2 (Zero Hunger) through its interactions with food safety initiatives, 5 (Gender) through the strengthening and inclusion of women in adaptation measures, 12 (responsible production and consumption) through agro-ecological production and productive linkages, 13 (Action for Climate) through the implementation of adaptation measures and strengthening of resilience and 15 (Life of Terrestrial Ecosystems) through the restoration of soils and production of manuals and ecosystem management tools.
- The K'atun National Development Plan: our Guatemala 2032², specifically with its priorities labeled “Urban and Rural Guatemala” (integral rural development, resilient and sustainable territorial development, and local territorial development) and Natural Resources Today and for the Future (the environmental sustainability as a pillar of development).
- The following national policies:
 - National Policy and Strategies for the Development of the Guatemalan System of Protected Areas, National Forest Policy, Environmental Management Framework Policy, Gender Equity Policy in the Environmental Management Sector 8. National Policy on Environmental Education, National Policy on Climate Change, Conservation, Protection and Improvement of the Environment and Natural Resources and the National Policy for Disaster Risk Reduction in Guatemala.
- Decree 68-86 on the protection of the environment³.
- Framework Law to Regulate the Reduction of Vulnerability, Compulsory Adaptation to the Effects of Climate Change and the Mitigation of Greenhouse Gases⁴.

The interviewees stated that the project responds correctly to national priorities in terms of climate change and the socio-economic and environmental vulnerability of rural populations with respect to climate effects. At the same time, interviewed stakeholders confirmed the existence

² http://www.undp.org/content/dam/guatemala/docs/publications/undp_gt_PND_Katun2032.pdf

³ https://www.preventionweb.net/files/27701_gtleyproteccionmedioambiente6886%5B1%5D.pdf

⁴ https://conred.gob.gt/site/documentos/base_legal/ley_cambio_climatico.pdf

of a good degree of national ownership of the project as the MARN-led intervention is considered a national effort that involves not only one ministry, but other institutions and organizations linked to risk management, food safety, forest protection and scientific climate analysis. The project has made it possible to respond to national priorities, but it has also positioned Guatemala on a good path to fulfill global environmental commitments.

Beyond the relevance of the project with respect to national strategies, interviewed stakeholders offered information on its design aspects. Although some stakeholders considered that the project design had an adequate focus on the needs of the communities and populations most vulnerable to climate change, others stated that some of its goals were too ambitious considering the environmental vulnerability of Guatemala or that they had not adequately considered the existing capacities of the targeted areas (e.g. the network of existing stations that could provide information on climate scenarios). Local stakeholders stated that some particularities of the Nahualate river basin and the effect that these could have on implementation, namely, the extension of the area of the basin, lack of definition of territorial limits between municipalities, the role of community authorities and the existing infrastructure were not adequately considered during the PPRCC's design phase.

Although as of May 2016, the PPRCC developed tools for Monitoring and Evaluation⁵, which included a monitoring and evaluation planning matrix, a capacity analysis matrix for monitoring, and a matrix of indicators, the interview process and the document review did not allow the evaluator to confirm that they have been applied consistently or that there was a definition of detailed processes that are usually included in a monitoring and evaluation plan (e.g. human resources, M&E training needs, data collection and analysis processes, verification of the quality of the data, definition of information flows, etc.).

3.1.2 Results Framework

According to the interviewees, some indicators of the project's results framework were adjusted between the moment of inception and the midterm evaluation. After the PPRCC's start-up workshop, held on July 2, 2015 in Guatemala City, the original results framework included in the Project Document (PRODOC) -document that is considered a reference- incorporated some considerations related to the reality of the implementation zone. A specific case corresponded to component 1, which included an activity linked to the installation and operation of nine meteorological stations. The original justification for the installation of nine stations was the need to increase the density of information and the generation of capacities to make climate scenarios available to different audiences. INSIVUMEH, however, carried out a review of the initial report on the proposed location of the nine stations, which was determined on the basis of parameters of territoriality, representativeness of life zones and active meteorological stations. The results

⁵ <http://www.marn.gob.gt/Multimedios/9815.pdf>

of this review indicated that to increase the density of information in the meteorological network of the Nahualate River basin, only three new meteorological stations were needed (with an average cost of US \$ 18,000 per unit) in the upper area of the basin. Another case that escapes the capacity of the project but definitely influences its results is linked to activity 2.1. This activity, which had a budget of \$ 225,672 for 2017, required that at least 200 hectares of natural forest were conserved through the mechanism of protected areas or forest incentives. Although the evaluator observed the existence of a significant delay in complying with the target for this indicator, it is possible that said target can still be achieved by requesting and obtaining a faster response from CONAP.

The logical / results framework includes some indicators whose measurement depends on more than two variables. For example, indicator 1.2 refers to the number of strategies, development plans and municipal strategic plans that incorporate information on the risks of climate change and adaptation measures. Evidently, the measurement of this indicator requires obtaining information on the development status of at least three instruments. Accordingly, any conclusion regarding the status of this indicator with respect to its targets can only be made when all the three afore-mentioned elements -which depend on different processes- are analyzed.

The activities of Local Community Projects (PCL), interventions that represent approximately 50% of the PPRCC's budget, are presented in a global manner in each of the annual operational plans and not with the detail of their disaggregation, which would have generated additional facilities for their management and would have allowed the Management Unit to provide additional and timely strategic information about their implementation to the Project Board.

One aspect that, according to the interviewees, should have required further elaboration in the design of the project, corresponds to the communication and transportation difficulties that exist in the intervention area (e.g. the acquisition of vehicles was not originally contemplated), which generated initial difficulties for the on-site monitoring that the Management Unit should carry out.

The analysis of the results framework conducted by the PPRCC's Management Unit required a process of selecting priorities. This process involved making decisions about the feasibility of reaching the objectives. In this way, during the first year of execution (6 months of the year 2015), 12 and not 14 results were considered to prioritize those that needed to be addressed immediately (e.g., consultancies and necessary studies).

3.2 Progress toward results

The following table presents the classification of progress in terms of the achievement of results.

Measure	Score	Description of achievement
Progress toward results	Achievement of the objective - S (5)	Up to the time of the midterm evaluation, the level of achievement of the objective of the project was satisfactory since, in general, the implementation of adaptation measures to increase the resilience of the productive landscapes in the target communities showed clear signs of progress.
	Outcome 1	Progress linked to the achievement of outcome 1 is satisfactory, since it is expected that the PPRCC will achieve or surpass most of its end-of-project objectives, with some relevant drawbacks. Observed progress is related to the strengthening of INSIVUMEH, as well as to the availability of strategic institutional plans and municipal development plans linked to adaptation measures. The drawbacks identified correspond to the need for installation and operation of three meteorological stations.
	Progress score S (5)	
	Outcome 2	Progress toward achieving outcome 1 is satisfactory due to the preservation and implementation of ancestral agricultural practices and the implementation of measures to adapt to climate change as part of the execution of PCLs. An important gap linked to the achievement of this result's targets corresponds to the protracted process of certification of protected areas through CONAP.
	Progress score S (5)	
	Outcome 3	The project identified micro finance mechanisms that could underpin the sustainability of actions once the intervention ends. However, an important gap that the project can still close is the need for an ex-post measure of household income levels. The construction of business plans for PCLs with productive components can contribute to the achievement and continuity of results.
Progress score S (5)		

Measure	Score	Description of achievement
	Outcome 4	The project has achieved important progress in the generation and dissemination of information about its activities. One pending task for the completion of the project is the systematization of successful PPRCC experiences.
	Progress score S (5)	

3.2.1 Summary of progress toward the achievement of results

The assessment of results (with a Satisfactory rating (S)) take into account the cycle and status of progress of each activity at the time of the midterm evaluation. The evaluator's criteria are based on best practices identified as part of his international experience.

Although up to the time of the midterm evaluation, the project presented adequate progress in terms of the indicators related to the development of standards, manuals, strategic plans, inter-institutional team formation, financial mechanism identification and application of adaptation measures, some implementation gaps were identified in the case of results related to the availability of climatic scenarios (stations), watershed management strategies and areas subject to conservation through protected areas or forest incentive mechanisms. Although the project has not been completed, the level of progress in these last results has not been commensurate with the time elapsed in the implementation of the PPRCC.

The application of adaptation measures and the preservation of ancestral practices were recognized by the interviewees as evidences of the achievement of the project objectives. The practices of soil conservation, agro-forestry systems and reforestation were those that, according to the results of the field visit, are more deeply rooted.

Trainings with the "learning by doing" approach were recognized by the interviewees as one of the main benefits received. However, it has not been possible to identify a clear training plan or a methodology for evaluating the training events.

Given the area of intervention, the project did not face obstacles for the incorporation of cross-cutting aspects like gender, Human Rights and cultural relevance within the interventions. Women have a preponderant role within communities and project communications have respected both languages and local practices.

The Management Unit plans that, by July 2018, it will reach most of the results, such as the construction of storage centers, implementation of bioengineering works, implementation of

financial and micro-finance mechanisms, closing of small projects of grants and conformation of value chains.

The following table presents a detailed analysis of progress toward the achievement of each PPRCC result.

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
1.1	Availability of downscaled climate scenarios and early warning information	0	0	Three stations	Three stations (According to the recommendation of INSIVUMEH)	0	0%	On target to be achieved	<p>At the time of the first PPR, The National Institute of Seismology, Volcanology and Hydrology (INSIVUMEH) issued the field report that allowed determining the location of the meteorological stations in the Nahualate River basin, taking into account parameters of territoriality and representativeness of life zones.</p> <p>The PPRCC promoted the formation of working groups comprising INSIVUMEH and two private entities (ICC and ANACAFE) in order to reach agreements that would allow the national meteorological database to be fed with more than 2 million records, thus increasing the meteorological network with 26 stations.</p> <p>INSIVUMEH, however, carried out a review of the initial report on the proposed location of the nine stations, which was determined on the basis of parameters of territoriality, representativeness of life zones and active meteorological stations. The results of this review indicated that in order to increase the density of information in the meteorological network of the Nahualate River basin, only three new meteorological stations were needed (with an average cost of US \$ 18,000 per unit) in the upper area of the basin.</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
									<p>The value of this indicator is on target to be achieved.</p> <p>In its section on project indicators, the last available PPR (15-02-2018) indicated that the three additional stations would be acquired during the first half of 2018.</p> <p>The 2015, 2016 and 2017 operational plans and quarterly reports were reviewed to inform the conclusions linked to this sub-component.</p>
		0	INSIVUMEH was strengthened .	1 inter-institutional team was trained and is now able to generate weather projections.	1 inter-institutional team was trained and is now able to generate weather projections.	1 inter-institutional team was trained and is now able to generate weather projections.	100.00%	Achieved	<p>The strengthening of the INSIVUMEH team corresponded to:</p> <p>(i) the purchase of a server; (ii) the start-up of a new database based on the World Meteorological Organization (WMO) standards; (iii) entry of physical information and data migration to the new database; (iv) addition of 2 million records from 26 meteorological stations of local organizations (Institute of Climate Change and National Coffee Association) with whom administrative arrangements were made to provide historical and future information of 53 additional meteorological stations.</p>
		0	No bulletin available	Quarterly bulletins with climatic information	Bulletins with climatic information	Quarterly bulletins with climatic information	100.00%	Achieved	<p>Quarterly bulletins with climatic information are available. The challenge that persists corresponds to the need to tailor climatic information for the different audiences at each level.</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
1.2	Number of strategies and development plans adopted and implemented , incorporating information on climate change risks and adaptation measures	0	No strategy on watershed management		1 strategy on watershed management	No strategy on basin management was identified at the time of the mid-term Evaluation	0.00%	On target to be achieved	<p>For the first target: The study on the biophysical characterization of the Nahualate River Basin and 19 sub-basins has been completed. The information is key to carry out the strategic planning of the basin. The Inter-institutional Support Committee has partially made the written technical contribution that will add to the development of the strategy.</p> <p>The following course was facilitated: Bioclimatology, geobotany and biological indicators as tools to identify and evaluate the ecological risk in the face of climate change, provided to technicians from 6 government institutions.</p>
		0	No institutional strategic plan		12 institutional strategic plans	12 institutional strategic plans	100.00%	Achieved	<p>There are 12 Institutional Strategic Plans that incorporate adaptation measures within the municipal government's planning for the 2016-2020 period. These are available at the PPRCC's website for each of the departments.</p> <p>http://www.marn.gob.gt/s/pprcc/paginas/PEI_Suchitepquez</p>
		0	No municipal development plan		12 municipal development plans	12 municipal development plans	100.00%	Achieved	<p>There are 12 Municipal Development Plans available at the project website for each department.</p> <p>http://www.marn.gob.gt/s/pprcc/paginas/Planes_de_Desarrollo_Municipal_PDM_20172032_Solol</p> <p>http://www.marn.gob.gt/s/pprcc/paginas/Planes_de_Desarrollo_Municipal_PDM_20172032_Suchitepquez</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
1.3	Number and type of financing mechanisms identified and assessed by MARN and relevant stakeholders.	0	The existing financial mechanisms in Guatemala have been identified and evaluated, including an institutional mapping and a capacity assessment. A private-private figure and a public-private figure have been proposed.	In the second year of the Project, the financial mechanisms (payments for environmental services, certifications, central and local government budget planning) existing in Guatemala will have been identified and evaluated, including an institutional mapping and a capacity assessment.	In the second year of the Project, the financial mechanisms (payments for environmental services, certifications, central and local government budget planning) existing in Guatemala will have been identified and evaluated, including institutional mapping and capacity assessment.	Financial mechanisms existing in Guatemala identified and evaluated. Mechanism proposals completed.	100%	Achieved	The financial mechanisms (payments for environmental services, certifications, central and local government budget planning) existing in Guatemala have been identified and evaluated, including an institutional mapping and a capacity assessment. A private-private figure and a public-private figure have been proposed.

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
2.1	Number of hectares of natural forest subject to conservation through the protected area or forest	0	34.35 hectares of natural forest subject to conservation through the figure of forest incentive	Not available	200 hectares	58.55 hectares	29.30%	On target to be achieved	312.90 hectares of natural forest, authorized by the municipal government for conservation under the figure of protected area. The resolution on the registration of the National Council of Protected Areas (CONAP) is still pending. The achievement of this target does not depend on the MARN or the Management Unit but on the

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
	incentives mechanisms								<p>institutional responsibility of the CONAP to issue the aforementioned resolution.</p> <p>Although the target for this indicator is on track to be achieved, the progress observed at the time of the mid-term evaluation (29.3% when more than half of the project's life cycle has elapsed) reveals some important elements that were not considered initially, such as the particularities and duration of certification processes by CONAP.</p> <p>The evaluator considers that if the PPRCC had constructed the indicator as the Number of hectares of natural forests subject to conservation that have complied with the presentation of the technical / documentary requirements and have been presented to CONAP or INAB to be considered, respectively, protected areas or areas with forest incentives, the degree of progress observed would have been "Achieved".</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
2.2	Number of ancestral and traditional practices recovered for increased resilience of productions landscapes adopted by the communities in the target area of the project	0	10 ancestral practices identified in the Nahualate River basin, through a participatory diagnosis with local community organizations	Not available	At least 2 ancestral practices implemented to increase the resilience of productive landscapes.	10 ancestral practices implemented	500.00%	Achieved	10 ancestral practices identified in the Nahualate River basin, through a participatory diagnosis with local community organizations. The report is available at http://www.marn.gob.gt/Multimedios/9219.pdf
		0	No surface area under management	Not available	Not available	83.37 hectares	Not available	Not available	No target was available to calculate the percentage of execution or to classify the achievement.
		0	No household receiving benefits		Not available	250 households (1125 people approximately)	Not available	Not available	No target was available to calculate the percentage of execution or to classify the achievement.
2.3	Number and type of adaptation measures implemented by CBOs and NGOs (based on catalog established by the project).	0	0		15	15	100%	Achieved	The implementation of 15 different adaptation measures (including land use, water management, forestry and agricultural measures) has been completed. They are implemented through a community-based adaptation process using the small grants mechanism through local and community organizations.

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
3.1	Percentage of targeted households with a more secure access to income for livelihoods (disaggregated by gender).	0	1,500 households belonging to 50 community organizations identified as direct beneficiaries through the small grants mechanism.	Not available	At the end of the Project, at least 50% (N = 1500) of the households of members of the community organizations included in the intervention have more secure access to income for their livelihood.	83.03% of member households of community organizations have benefited through the promotion of productive activities.	0%	On target to be achieved	<p>A baseline of income and expenditures per household was constructed for the beneficiaries of 18 small grant projects (approximately 2,491 households).</p> <p>An average monthly income per household of USD 201.33 (Q 1,477.77) and an average monthly expenditure per household of USD 194.14 (Q 1,425.01) was established. The study was conducted with a confidence level of 95% and using an average exchange rate of 1 USD / Q 7.34.</p> <p>The baseline found that the estimated income was less than the minimum wage (US \$ 214.5 per month), less than the sustainable salary at the community level estimated by FAO (US \$ 219.62 per month), less than the minimum wage for agriculture (US \$ 394.17 per month) and less than the basic basket price (US \$ 555.72 per month). The study (which was based on the framework of the National Institute of Statistics of Guatemala (INE)) also found that the average income was higher than the independent national wage (US \$ 176.47 per month).</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
								<p>Although at the time of the midterm evaluation, 83.03% of the member households of community organizations had been reached with the intervention, it cannot be guaranteed that the increase in income is attributable to the project. Improvements in income levels are generally indicators of impact and are usually measured at least two years after the end of the project, using, for this purpose, panel studies that should have been incorporated into the design of the PPRCC.</p> <p>The evaluator considers that a post-PCL measurement of expenditures and household income (practically a panel study of the beneficiaries included in the baseline using the same sampling methodology) would provide information that would facilitate the analysis of variation of income levels and could determine if the goal has been reached. The Management Unit has planned in its 2018 operational plan a final evaluation of income and expenses per household, which will be carried out between June and August 2018.</p>	

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
									The scope of the goal of this indicator is linked to the implementation of business plans of the PCL with productive components.
3.2	Number and type of social networks for production in the target area (indicating gender composition).	0	5 productive linkage networks identified and with potential to boost the local economy: honey, organic coffee, maxán, cocoa and vegetables.	Not available	At least 2 social networks (associations or production cooperatives and marketing associations) formed, reinforced and in operation.	0	0%	On target to be achieved	To reach the target, the indicator requires that networks have been fully reinforced and put into operation. Under the model of productive chains, 5 networks of community groups have been formed and strengthened around the following products: honey, cocoa, vegetables (pea) and maxán. It is still necessary, however, to complete the strengthening of the networks and ensure their total operation.
3.3	Number of microfinance mechanisms identified, evaluated and fostered with technical assistance from the project.	0	4 microfinance mechanisms (microcredits) identified	At the end of the second year of the project, existing microfinance mechanisms will have been identified and evaluated, including institutional an mapping	By the end of the project, the implementation of at least one microfinance mechanism to support processes of adaptation to climate change will have been	4 microfinance mechanisms (microcredits) identified, as well as their role in supporting measures to adapt to climate change; socialized and validated by a forum with experts.	0%	On target to be achieved	The creation of two funds under the figure of microfinance mechanisms is underway. These funds intend to provide local groups with microcredits for women and men. As part of their eligibility criteria, the funds require potential microcredit beneficiaries to implement measures of adaptation to climate change. 4 microfinance mechanisms (microcredits) identified, as well as

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
				and a capacity assessment.	promoted, with a level of support agreed by the Inter-Institutional Support Committee.				<p>their role in supporting measures to adapt to climate change; socialized and validated by a forum with experts. These, however, have not started to operate.</p> <p>The Management Unit is taking the necessary steps to achieve this target.</p> <p>It is necessary, however, to have a plan for the implementation of microfinance mechanisms to achieve the target of this indicator.</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
4.1	Inter-institutional information system of climate change designed and operating in a coordinated manner at multiple levels, running.	No information and communication system in place	(i) The social communication strategy was developed. (ii) Interaction with government institutions and civil society through the web sub-portal (http://marn.gob.gt/s/pprcc) and social networks.	From the first year of the project, an inter-institutional information and communication system will be developed for adaptation to climate change that will operate in a coordinated manner.	From the first year of the project, an inter-institutional information and communication system will be developed for adaptation to climate change that will operate in a coordinated manner.	Information and inter-institutional communication system for climate change designed and operated in a coordinated manner at various levels.	100%	Achieved	<p>The web sub-portal for the exchange of climate information operated by INSIVUMEH has been finalized. Visitors will be able to download climatic information from each meteorological station in the country, information on climate scenarios by municipality, weather forecasts and information on early warnings. In addition, INSIVUMEH issues daily, weekly, monthly and annual bulletins that contain climate information. The sustainability of the process is based on the creation of a work team comprising INSIVUMEH technicians, the Ministry of Agriculture, and Livestock (MAGA) and the Ministry of Environment and Natural Resources (MARN), which holds bi-monthly meetings .</p> <p>Five letters of understanding have been signed with government entities: National Institute of Forests (INAB), National Institute of Seismology, Volcanology, Meteorology and Volcanology (INSIVUMEH); the Institute of Agricultural Sciences and Technology (ICTA), Ministry of Agriculture and Livestock (MAGA) and the Faculty of Agriculture of the University of San Carlos of Guatemala (FAUSAC).</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
4.2	Percentage of targeted population affirming awareness of predicted adverse impacts of climate change and appropriate response (disaggregated by gender)	0	0	Not available	At the end of the project, at least 70% of the rural population of the municipalities (a total of 85,341 rural inhabitants) know about the adverse impacts of climate change and the appropriate responses.	0	0%	On target to be achieved	The first phase of the radio campaign was completed between March and October 2017, whose objective was to raise awareness and promote the topic adaptation to climate change among the target population. The campaign was broadcast on three radio stations and in four languages (Quiché, Kakchiquel, Tz'utujil and Spanish). The estimated potential audience for the 12 municipalities of the Project jurisdiction was 240,000 women (51%) and 234,000 men (49%), including rural and urban population. Given the coverage of the three radio stations, the messages reached an even larger population outside the project area.

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
									<p>The second phase will be carried out between the months of February and May 2018. After that, the evaluation of the communication campaign will be carried out.</p> <p>Although only an evaluation of the radio campaign -and no survey to assess changes in knowledge, attitudes and practices- was planned in the 2018 operational plan, the target for this indicator is considered to be on track to be achieved. The inclusion of said activity in the current operational plan is recommended.</p>

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
4.3	Number of lessons learned and best production practices included in Project dissemination strategies and shared on UNDP, MARN, and ALM websites.	0	3 manuals prepared as guidelines for work: (i) Technician's manual for adaptation measures to climate change, (ii) Manual for small-scale civil engineering and bioengineering works; (iii) Manual of local community projects (grants).		10	0	0.00%	On target to be achieved	First target: The lessons learned and best practices will be systematized during the first semester of 2018.
			1 Approved technical standard: Proposal of amounts per year to provide incentives in the modalities established by the		4 Technical guidelines	2	50%	On target to be achieved	The management unit has planned the development of two guidelines during the first semester 2018.
				4 Manuals	4	100%	Achieved		

Sub-component	Indicator	Baseline value	Level at first PPR	Midterm target	Final target	Value reached at midterm	Percentage of execution	Classification of the achievement	Justification of the classification
			PROBOSQUE Law. The PROBOSQUE law (Decree 2-16 of the Congress of the Republic) is the mechanism that allows financial incentives for forest restoration, through reforestation and natural regeneration of areas.						

3.2.2 Persistent challenges to achieve the project's objectives

The analysis of the available documents and the field work allowed the evaluator to identify some challenges that the Management Unit will have to overcome in the final stretch of the project.

- Outcome 1
 - The first challenge corresponds to the need to complete the installation and guarantee the safety of the 3 stations recommended by INSIVUMEH. This has been a constant challenge of the project, as evidenced in the section dedicated to this indicator in the quarterly progress reports submitted to UNDP.
- Outcome 2
 - The second challenge is related to strengthening the level of coordination with CONAP to ensure that it issues the resolutions corresponding to the registration of 312.90 hectares of natural forest before closure of the intervention.
- Outcomes 2 and 3
 - A specific challenge of the PCLs, interventions that have progressed in terms of the implementation of adaptation measures, corresponds to the consolidation of productive and marketing chains. The field work confirmed that although the participating community organizations have taken important steps in terms of (i) diversification of products (in the case of honey and cocoa), (ii) construction of collection centers, (iii) completion of some market studies (in the case of maxán), (iv) improvement of production, as well as (v) diagnostics to identify productive chains⁶, the challenge of having a concrete business plan that analyzes the demand, supply, competition and profitability of the ventures and formal links with potential buyers persists.
- Outcome 5
 - The challenge corresponds to the implementation of the results-oriented monitoring and evaluation function. By not having baselines for some indicators, measuring progress with respect to a situation without a project is a difficult endeavor. This is the case of the indicator on knowledge acquired in terms of adaptation to climate change and the indicator linked to the increase in the level of income of the beneficiary households.

⁶ <http://www.marn.gob.gt/Multimedios/9802.pdf> y http://www.marn.gob.gt/paginas/Anexos_estudio_Identificacin_de_cadenas_ecoproductivas_y_su_potencial_acceso_a_mercados_en_la_zona_del_Proyecto

3.2.3 Ways in which the project can build on its successes

- The implementation of measures to adapt to climate change by local organizations that participate in the PCLs of Suchitepéquez and Sololá have generated added value for their ventures. This is the specific case of soil conservation activities and agro-forestry systems linked to PCLs that work with cocoa. Being a product grown in the context of the aforementioned practices, it has an additional value in contributing to the protection of the environment and resilience. This, evidently, is an aspect that supports the good will of the brand that is expected to be commercialized and that could be promoted in all the undertakings that seek the creation of productive chains.
- The role of the community authorities has been, in many cases, more decisive than that of their municipal counterparts. This constitutes evidence of the level of local ownership of the activities. One particular success story is that of the PCL focused on water harvesting and the protection of water sources, an undertaking in which the involvement of community leaders has allowed (i) the organization of the community to support the objectives of the project, (ii) avoiding duplication of efforts with other existing intervention in the area and (iii) the coordination of measures to contribute to the sustainability of the benefits generated by the PCL. The case of the PCL on water harvesting in the community of Chiquix is exceptional, because the interviewees claimed to have resolved their water supply problems in a definitive manner.
- The field work allowed the evaluator to identify the predominant role of women within the community, either as leaders of organizations or as part of the implementation of adaptation measures. This is a successful aspect that is further enhanced by noting that, generally, women from intervention communities can perform extra-family activities only between 9:00 AM and 12:00 PM.

3.3 Project Implementation and Adaptive Management

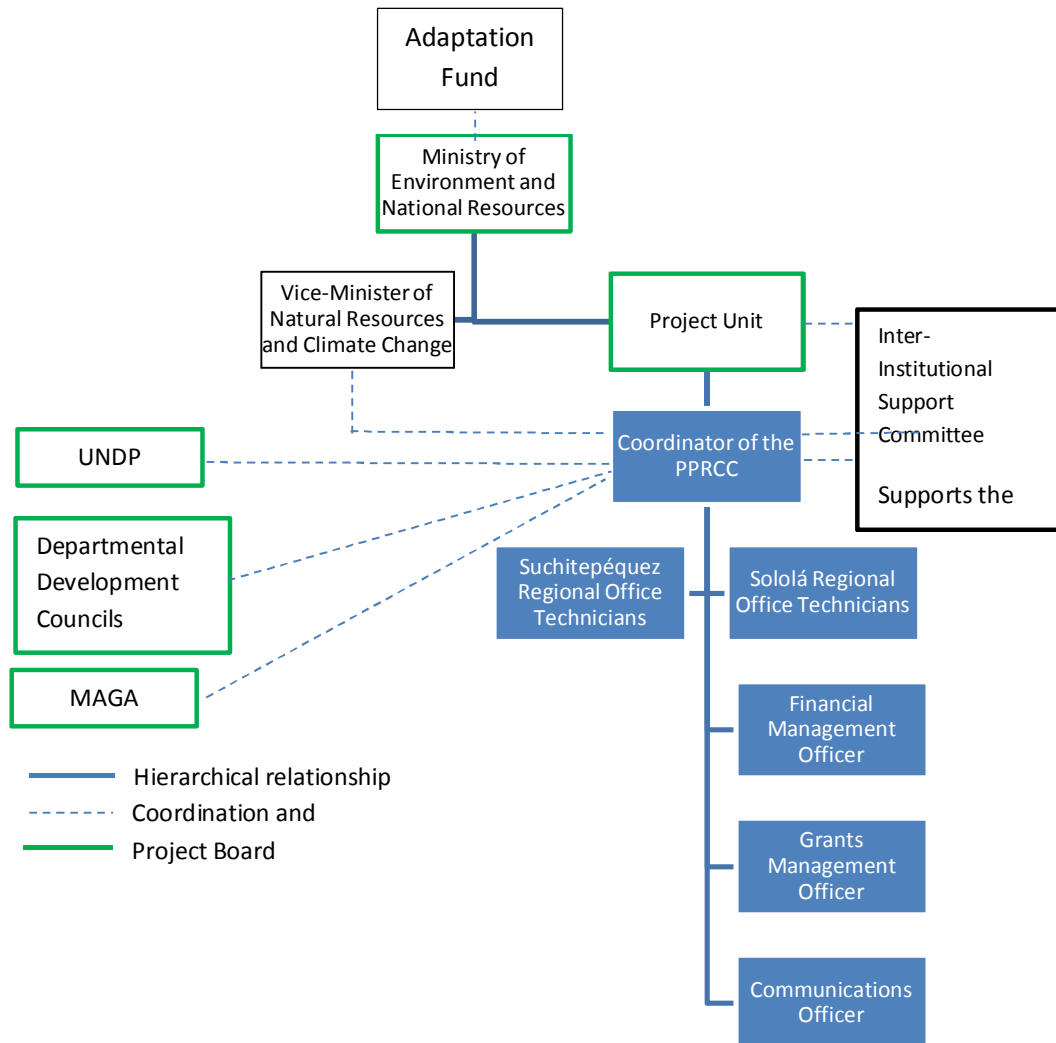
<p>Project Implementation and Adaptive Management.</p>	<p>Moderately satisfactory (4)</p>	<p>The continuity of the staff of the Management Unit throughout the project has allowed the development of an adequate discipline of implementation. PCLs have reached a good level of execution, but they still require the definition of concrete post-project activities to reach their maximum potential and profitability. The Monitoring and Evaluation Function still needs to be strengthened.</p>
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The evaluator considers the progress in the implementation of the project and adaptive management is Moderately Satisfactory (MS). The continuity of the staff of the Management Unit throughout the project has allowed the development of an adequate discipline of implementation. The internal communication of the Management Unit, made by all available means, has been identified as a strength for the detection of bottlenecks. Local Community Projects reached a good level of implementation, but they still require the definition of concrete post-project activities to reach their maximum potential and profitability. The monitoring and evaluation function, particularly with regard to the quality of the reports submitted to the different instances, needs to be strengthened. Although the Management Unit prepared its reports using pre-defined formats, they have the potential to improve their content if an additional qualitative analysis of each achievement or bottleneck is included. The roles of the different stakeholders involved in the project are clear, but some results depend on their capacity for appropriation and commitment (e.g., the case of CONAP in result 2).

3.3.1 Management Arrangements

The following figure presents the general management and coordination arrangements of the PPRCC.

Figure 3 Coordination and communication arrangements of the PPRCC.



Source: Based on the information collected during the field work stage.

Within the Ministry of Environment and Natural Resources (MARN) there are two entities with clear roles linked to the project, namely, the Projects Unit (which consolidates the support of the different cooperation agencies in environmental matters, forms part of the Board of the Project, approves operational plans and payments to suppliers) and the Vice-Ministry of Natural Resources and Climate Change (which participates in the activities on behalf of the Minister of MARN, supports interventions and inter-institutional coordination).

The project is strategically coordinated through a Project Board (JDP), which provides support to the project’s operational management. The JDP is chaired by the Minister of MARN or his delegate, and includes a representative of UNDP-Guatemala, a representative

of MAGA, as the governing body of the Agriculture Sector, and two representatives elected by the Departmental Development Councils of Sololá and Suchitepéquez. The JDP is assisted by an Inter-institutional Support Committees, made up of key institutions such as MAGA, CONRED, SEGEPLAN, INAB, CONAP, INSIVUMEH, MARN, SESAN and the participation of non-governmental organizations. These committees were installed to supervise the coordination and monitoring of project execution. The technical contribution of the Inter-institutional Support Committees has been punctual, but they require further strengthening and information to generate greater appropriation of the activities by the participating institutions.

The team of the Management Unit has had stability and therefore continuity in their tasks. This has prevented the interruption of activities and has fostered the creation of a collaborative environment. However, the Management Unit does not have an organizational manual, a situation that has generated some discretion in many processes that had to be formalized, from the monitoring function to the standardization of administrative and technical support processes.

The project has achieved an adequate discipline in the presentation of supporting documentation and results of financial management. In spite of this, these processes do not go hand in hand with the programmatic progress and in many cases the presentation of technical progress reports has been omitted. This management methodology, which deals with financial and programmatic aspects separately, does not allow for a comprehensive vision of results-oriented execution.

According to the PRODOC, to strengthen national mechanisms to address climate change in Guatemala, the strategic information and lessons learned from this project will be taken to the high level of the Inter-institutional Committee on Climate Change (CICC), which responds to the President of the Republic and is led by the Vice-President. In addition, constant feedback on progress and limitations to implement the project, and the integration of development plans are coordinated through the corresponding level of the Development Council System of Guatemala.

3.3.2 Work planning

The project uses annual operational plans that include a breakdown of activities according to results and expected outputs, with specification of budgets for each group of activities. Although these instruments allow for a global overview of planning, at the time of the mid-term evaluation there was no detailed link between the activities of the PCLs and the activities of the general operational plan, beyond recognizing that the latter included information on outputs 2.2, 2.3 and 3.2. According to the evaluator's assessment, and although each PCL has a different budget, a detailed analysis of how the activities of each PCL contribute to the general operational plan of the PPRCC could have contributed to the

achievement of specific objectives. Firstly, such detail facilitates the identification of the level of contribution of each PCL to the results, especially considering that the aforementioned outputs represented 55%⁷, 45%⁸ and 46%⁹ of the total project budget in 2016, 2017 and 2018, respectively. And secondly, this analysis allows for the identification of strategic information that strengthens the control of interventions and provides instances like the JDP with key inputs for decision making.

Other planning processes were observed, including the development of a comprehensive communication strategy (which has allowed the production of abundant audiovisual content and informative and inductive activities on the project), an effort that prompted a radio campaign to generate knowledge, awareness, participation and change in behavior of the different stakeholders.

3.3.3 Financial Management

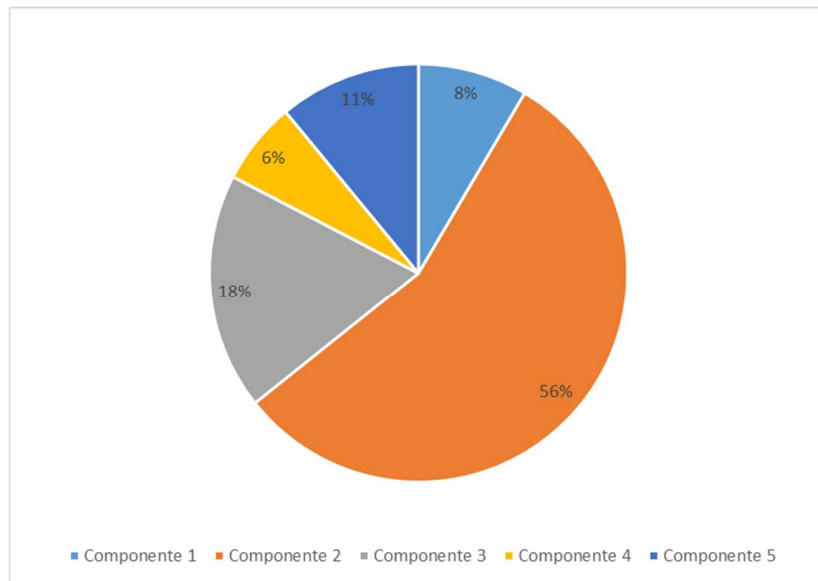
The evaluator observed an adequate level of financial management. The administrative staff of the Management Unit had detailed records on budgets, disbursements and expenditures for the project as a whole and for the PCL in particular. According to the last progress report sent to the Adaptation Fund, in the 30/48 month of implementation, the PPRCC had executed US \$ 3,877,730.24, that is, 77% of its budget. At the same time, it had committed US \$ 693,920.83 for the first half of 2018. By June 2018, financial execution of the PPRCC is expected to reach 91.43%.

⁷ N=US\$1,250,000

⁸ N=US\$1,968,293

⁹ N= US\$1,122,080.91

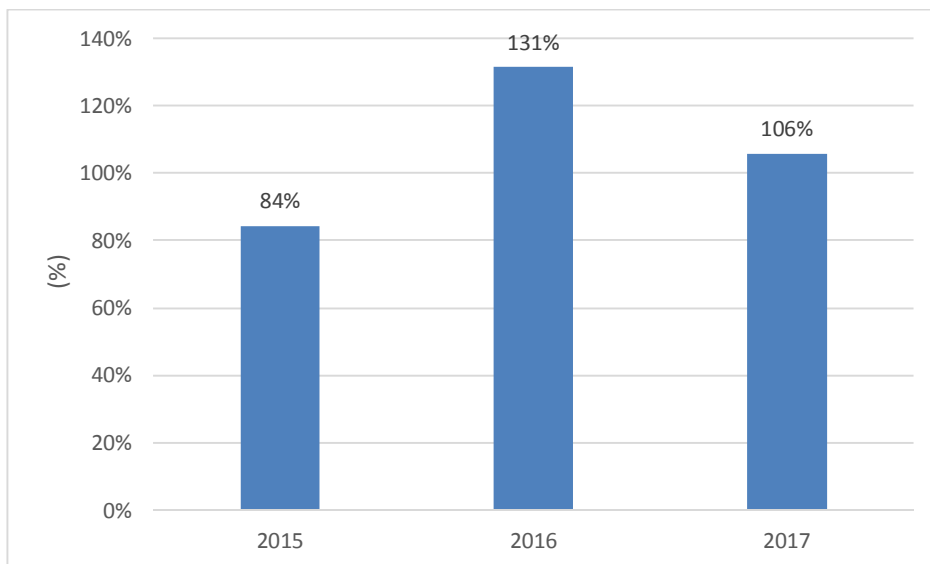
Graph 1 Percentage of budget allocation by project component. 2015-2018.



Source: Based on the information collected during the field work stage.

Components 2 and 3, which are linked to the activities of the PCLs, represented almost 75% of the total budget of the project, making them the most important intervention.

Graph 2 Percentage of annual budget execution. 2015-2017.

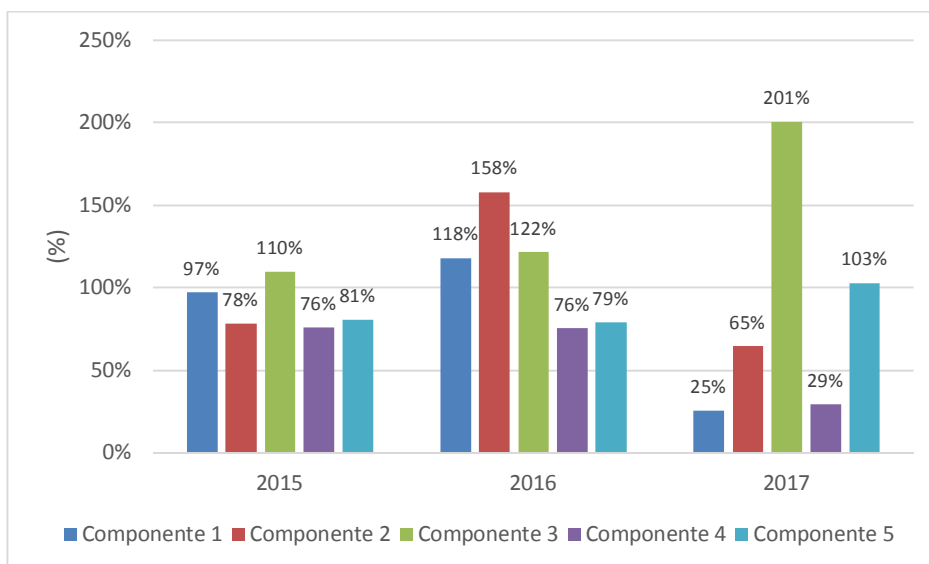


Source: Based on the information collected during the field work stage.

Unlike the year 2015, during the last two years, the project registered execution levels that exceeded the threshold imposed by the annual budgets, which could indicate that a compensation

of the execution was given once the project was launched and the main activities of the different components started.

Graph 3 Percentage of annual budget allocation by project component. 2015-2017.

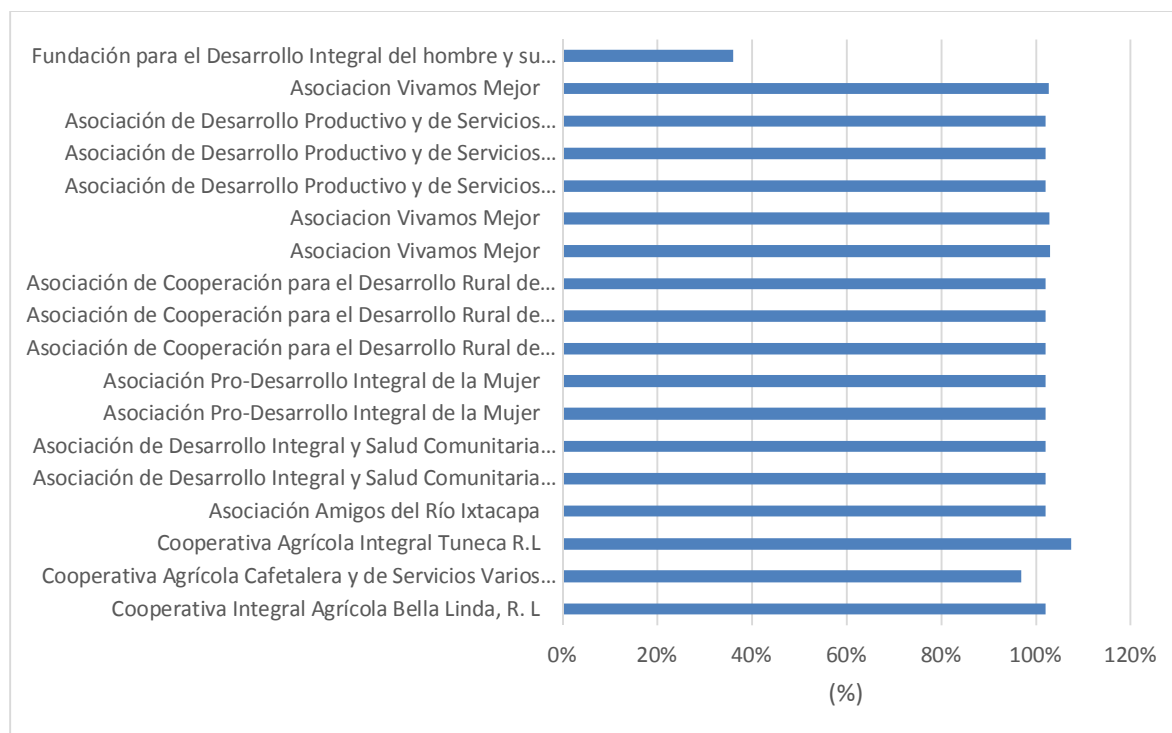


Source: Based on the information collected during the field work stage.

If the financial execution by component is analyzed, some interesting aspects emerge. For example, the percentage of execution of component 4, linked to documentation, dissemination and systematization of lessons learned, remained stable (76%) during the first two years of the project, but registered a decrease of at least 47 percentage points in 2017. A different situation was observed in the case of component 2 (Development and implementation of management practices and production of resilient ecosystems), since the corresponding percentage of execution, driven by the implementation of the PCLs of phase 1, was doubled between 2015 and 2016. On the other hand, the level of implementation of component 3 (Increase in the capacity of community associations to reduce the risks associated with socio-economic and ecosystem-induced climate losses), always remained above 100%, especially in 2017. According to the Management Unit, the observed over-execution may have been influenced by the way in which the grant mechanisms facilitated the process of expenditures and the achievement of targets.

Financial execution of the PCL

Graph 4 Percentage of budget execution by PCL of phase 1. 2016-2017.

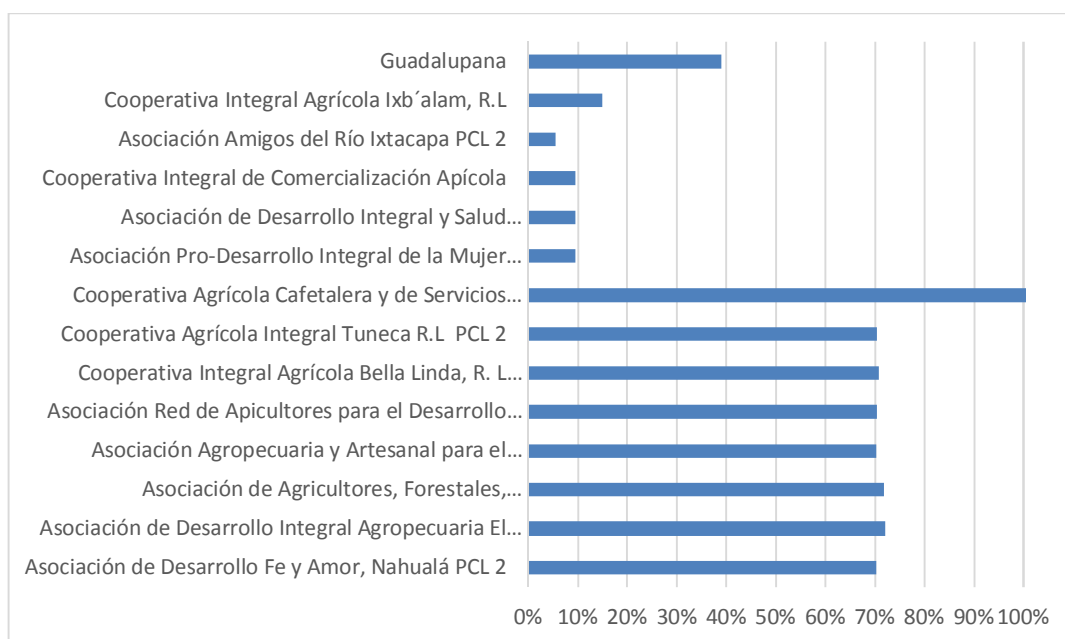


Source: Based on the information collected during the field work stage.

Almost all of the phase 1 PCLs had an execution of 100% of the approved budgets. The exception was the Foundation for the Integral Development of Man and his Environment (Calmecac), a PCL that was canceled due to considerable delays in financial and programmatic execution. Phase 1 PCLs initiated and finalized activities on the stipulated date. There were no differences or delays according to the information of the Management Unit.

All the phase 1 PCLs presented important differences between the scheduled date and the effective date in which the fourth disbursement was made. The most extreme case corresponded to the Asociación Vivamos Mejor, whose fourth disbursement was delayed by 222 days. This difference was due to the availability of donor funds at the end of 2016 and the beginning of 2017.

Graph 5 Percentage of budget execution by PCL of phase 1. 2017.



Source: Based on the information collected during the field work stage.

To date, half of the phase 2 PCLs have registered an execution level of 70% or more. The dissimilar levels of execution in the rest of the PCLs of this phase are due to the variations in the start dates of activities and in the timing of disbursements. All the phase 2 PCLs presented important differences between the scheduled date and the effective date in which the first disbursement was made. The most extreme case was Cooperativa Agrícola Integral Tuneca, whose first disbursement was scheduled for April 10 and was effectively made in June 2017. According to the PPRCC Management Unit, the main reason for delays in disbursements is linked to their approval process, that is, to approve the application for the first disbursement to PCLs, OLs were required to present the property registry of the land where the construction of collection centers would take place. In the particular case of Cooperativa Tuneca, administrative procedures were carried out to correct errors in the registration data of the farm owned by the cooperative, which delayed the first disbursement.

Nine Phase 2 PCLs have a scheduled completion date of May 31, 2018, 3 have an end date scheduled for June 28, 2018, 1 for July 7, 2018, 1 for November 7, 2018 and 1 for December 28, 2018.

3.3.4 Monitoring and Evaluation

The fieldwork stage allowed the evaluator to observe the day to day dynamics of project-level monitoring. The project coordinator also serves as the coordinator of the monitoring

and evaluation function, specifically supported for such activity by a technician at the central management level and by technicians from the regional offices.

Although since May 2016, the Management Unit has used monitoring and evaluation tools, a results framework, and a team of seven people, the existence of a detailed monitoring and evaluation plan (including information on routine data collection, levels of reporting and information flows, information management, mechanisms to ensure data quality, capacity building on monitoring and evaluation) could not be verified.

The evaluator observed that the monitoring and evaluation function carried out by the Management Unit team was not implemented systematically (e.g. each PCL should be monitored at least once every two or three months depending on the type of PCL and a technical file of the visit should be prepared as a means of verification to feed the monitoring and evaluation system).

As part of the monitoring function, the project has submitted ten quarterly reports to UNDP, recording the results obtained in each quarter and the status of the main products. In addition, the reports presented percentages of financial execution. Despite the frequency and content of these reports, the evaluator considers that they were prepared in a format that did not allow a comprehensive analysis of the progress of the project, since the results were listed in the form of quantities, but they were not supported by an analysis of (i) the manner in which each product contributed to a given result and (ii) the consistency between financial and programmatic execution. The monitoring of the PCLs represented, in itself, an additional challenge for the PPRCC, since detailed information should be provided on numerous activities that contributed to three specific sub-components of the general operational plan.

The following table shows the variation of planning dates of the mid-term evaluation of the project. This evaluation, having been postponed to the final year of the project due to delays in administrative processes, did not provide the necessary opportunity to make an exhaustive analysis halfway through the life cycle of the intervention, which would have allowed the Management Unit to identify some gaps and propose solutions that would have strengthened the execution of activities, mainly those of the PCLs.

Document	Planned date of the mid-term Evaluation
Operational Plan for 2017	April - June 2017
Operational Plan for 2018	February - May 2018

3.3.5 Stakeholder Involvement

The MARN has had a determining role in the advancement of the PPRCC through the Project Board, the Vice-Ministry of Natural Resources and Climate Change, the Projects Unit and the link of these with the Office of the Minister. This institution has also had an active participation in the Inter-institutional Support Committees and in coordination –via collaboration agreements- with other entities such as MAGA, INSIVUMEH and INAB.

UNDP has provided technical support and monitoring of financial management, especially for key processes such as PCLs.

Community authorities, on the other hand, have played a more preponderant role than their municipal counterparts in terms of organizing the work of the PCLs and monitoring the implementation of measures to adapt to climate change, as well as in the functioning of resilience committees.

INSIVUMEH has played a key role in the identification of required additions to the network of meteorological stations. At the same time, the institution has been strengthened through (i) the purchase of a server; (ii) the start-up of a new database based on the World Meteorological Organization (WMO) standards; (iii) entry of physical information and data migration to the new database; (iv) addition of 2 million data units from 26 meteorological stations of local organizations (Institute for Climate Change and National Coffee Association) and the "packaging" of information on climate scenarios and key climate variables for dissemination to the public.

3.3.6 Reporting

The project submitted quarterly reports and progress reports to the Adaptation Fund and UNDP. These reports had the approval of the MARN's Projects Unit and included technical and financial information.

In the context of the PCLs, each Local Organization submitted financial reports to UNDP and the Management Unit with the periodicity stipulated in the grant agreements signed between them, as well as audited annual statements and closure reports (to be submitted within 30 days of the end of activities). During the evaluator's visit to the regional offices of the Management Unit, however, only the existence of financial records could be verified, which was not the case of technical progress reports that support / validate the respective payments made. Although the grant agreement delves into the details of the financial reports to be presented, the same does not apply to the technical reports required. The

electronic information received for the evaluation was useful to verify the existence of some technical reports.

When analyzing the information flows between the different stakeholders of the project, the evaluator verified that in many cases the OCs did not obtain detailed information on the cost of the assets they received or the closure reports of the PCLs in which they participated. UNDP has planned a transfer of assets after the closure of the PCLs. When this occurs, the OCs will receive detailed cost information.

3.3.7 Communications

Frequency and effectiveness of communications

According to the interviewees, monthly meetings are held with the coordinators of the PCLs to assess the progress of the project and share information on the actions carried out by the Management Unit. In addition, field visits are carried out to monitor the performance of PCLs. These visits are also useful to share information with local authorities. There are also monthly or bi-monthly meetings of UNDP communicators to share the communication actions they are carrying out in the Project. The Management Unit has a permanent coordination with the Public Relations Unit of MARN and the Communications Unit of UNDP Guatemala for the news coverage of important activities of the PPRCC. As part of these activities, videos are published on the PPRCC's website and social networks depicting project actions and achievements. This aspect contributed significantly to obtaining the results of component 4, in terms of dissemination of information and lessons learned through abundant audiovisual content.

Contribution of PPRC's communications to project awareness among key stakeholders

The coordination with the Public Relations Unit of MARN and the UNDP Communications Unit, as well as the press releases and audiovisual material published on the website and social networks of the Project support the generation of knowledge about the PPRCC's activities.

External Communications

The radio, print and digital media and social networks were chosen as the means to reach external audiences based on an established communication strategy. Based on this strategy, an information, awareness and participation radio campaign was carried out. In addition, articles and radio interviews were produced to publicize the progress of the Project. On the other hand, news coverage has been provided by national media to important events and actions of the PPRCC. Similarly, videos, photographic essays and

written pieces of success stories of beneficiaries of the Project that have been published and disseminated internationally have been created. Another essential element of external communication corresponds to the production of a documentary video with the presentation of the Project and ten videos of the actions of the Local Community Projects.

The website (<http://www.marn.gob.gt/s/pprcc/>) serves as a platform to publicize the Project, its publications, studies and the important actions that are carried out, which are communicated through press releases that are shared at the same time with the responsible entities and the general public. In the same way, the public can find elements of the radio campaign and audiovisual pieces on the project's website. Each time a press release is published of an important activity, it is also published on the Project's social networks where many of the beneficiaries and key stakeholders of the Project follow the activities.

An important challenge found in the area of communication and dissemination of information corresponds to the level of technical complexity of information on climate scenarios that, although disseminated through institutions such as INSIVUMEH and MARN, is not suitable for all target audiences. During fieldwork, representatives of local organizations were consulted about the type of strategic climate information that beneficiaries need. The main answers included:

- Early warnings about "heladas".
- Basic information on precipitation forecasts, wind speed and temperature monitoring.

3.3.8 Strengths, opportunities, weaknesses and threats

A SWOT analysis was carried out with the members of the Inter-Institutional Support Committee of Sololá¹⁰. The following are the main results of this exercise. The opinions of different sources are contrasted in the different areas of the analysis.

Table 4 SWOT Analysis

Strengths	Weaknesses
<ul style="list-style-type: none"> • Community investment • Training on adaptation measures for Climate Change. • Capacity building and creation of infrastructure at the community level. • Reforestation and protection of water resources with positive externalities for nearby areas. 	<ul style="list-style-type: none"> • Insufficient of information sharing with all project stakeholders • The PPRCC requires a stronger link with public institutions for sustainability. • The opinion on the selection process of local organizations was heterogeneous. On the one hand, interviewed stakeholders stated that, in some cases, the involvement

¹⁰ These are opinions expressed by the consulted stakeholders, which the evaluator wanted to respect in order to consider the different perspectives.

<ul style="list-style-type: none"> • Country ownership. • Coordination of the process with the Inter-institutional Support Committee and the Commission for Integral Rural Development. 	<p>of non-governmental organizations that were specific to the area was not taken into account. The Management Unit, however, commented on the realization of an initial diagnosis that facilitated the identification of 31 local organizations, some of which did not meet the legal and formal eligibility requirements to request a PCL. For this reason, the PPRCC initially worked with 10 organizations.</p> <ul style="list-style-type: none"> • The area addressed is very large, which could create the dissolution of impacts.
<p>Opportunities</p> <ul style="list-style-type: none"> • New organizations intervening in the department. • Lessons learned can serve as a baseline for other interventions. • The follow-up activities conducted by the Inter-institutional Support Committee with respect to organized community groups can increase ownership. • Take advantage of the direct link with the institutions (SESAN, MAGA). • Consolidate producer organizations in a value chain to be competitive. • As a positive externality, decrease the prevalence of chronic malnutrition, increase the coverage of school gardens. 	<p>Threats</p> <ul style="list-style-type: none"> • The risk of an organizational disintegration after the end of the project. • Changes in the personnel of the institutions, changes in the community leaders. • Lack of interest of the authorities / local governments.

3.4

3.5 Sustainability

<p>Sustainability</p>	<p>Moderately probable (MP) (3)</p>	<p>There are moderate risks for the sustainability of the interventions, but with expectations that at least some of the results will be maintained. Two key aspects for sustainability correspond to the capacity of the PCLs to plan their activities in the near future and the commitment of the relevant institutions to continue supporting the different activities on adaptation measures at the central and community level.</p>
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The evaluator assigns a "Moderately probable" classification to the sustainability criterion. The interviews conducted during the field visit indicated that there is no defined exit strategy for the project that includes clear milestones and responsibilities once the intervention ends. In addition, it was not possible to identify the strategic role of the Project Board in terms of the sustainability of the interventions.

3.5.1 Financial challenges for sustainability

In paragraph 244, the PRODOC included considerations on the financial sustainability of the project, stating that, at that moment in the PPRCC's life cycle, the financing mechanisms were insufficient to meet the projected needs. In light of this situation, the document raised the need to identify possible sources of national financing and sources driven by the market, a task that MARN should lead to ensure that an intervention as successful as the PPRCC could be replicated in other vulnerable regions of the country.

In the context of PCLs, interventions for which the need for self-sustainability should be considered, the PPRCC identified micro-financial mechanisms to support processes of adaptation to climate change. The persistent challenge, however, is to achieve the link between the identified mechanisms and the PCLs and, in light of the project's achievements, to identify other financing options that would allow not only to continue the project's activities in the Nahualate River basin, but also in other vulnerable areas of the country.

3.5.2 Socio-economic challenges for sustainability

In its initial stage, the project identified the active participation of rural and indigenous communities in the implementation of adaptation measures as the essential element of the social sustainability of the PPRCC (paragraph 246). Undoubtedly, this is a clear example of the importance of ownership of the acquired knowledge and the benefits of the project.

However, one of the socio-economic challenges identified corresponds to internal and international migration driven by the conditions of the area of intervention of the project and the burden that this phenomenon would generate on households (in terms of dependence, use of time, incentive to implement adaptation measures), as indicated by the PRODOC (paragraph 23).

3.5.3 Institutional framework and governance challenges for sustainability

The PPRCC signed letters of understanding with FAUSAC, ICTA, INAB, INSIVUMEH and MAGA, which establish inter-institutional cooperation parameters in order to contribute to technical assistance and training of community groups, the identification of problems and needs, among other aspects. Given that these instruments have a specific period of validity, they constitute a window of opportunity in the period after the end of the project. Although their validity of these instruments cannot be extended, these institutions could, at least, carry out some inter-institutional coordination on technical support, ongoing training and implementation of adaptation measures in the different areas. For this, the involvement of the Inter-institutional Support Committees is key.

Another important aspect for the sustainability of the project's actions from the institutional point of view is the existence of Institutional Strategic Plans and Municipal Development Plans, which constitute sub-component 1.2 products. The challenge is to ensure that these plans are used to continue with institutional strengthening actions, implementation of adaptation measures and dissemination of information in the short and medium term.

The PRODOC states that the extent to which the active participation of the communities in the implementation of adaptation measures can be used as an advantage will depend on the interaction and future coordination between the members of the communities and the local and regional authorities. During the midterm evaluation, it was possible to identify the preponderant role of the community authorities in the implementation of activities and the establishment of resilience committees, as well as in the interaction with the Inter-institutional Support Committees. The identifiable challenges from the point of view of governance include the lack of an active role of the municipal authorities in the follow-up of the plans described above, which in turn depends on the absence of coordination disruptions due to changes in government, and the need to strengthen the involvement of Inter-institutional Support Committees to aid community members in the follow-up of interventions once the PPRCC comes to an end. According to the interviewees, these committees receive frequent information on the progress of the project, which is an essential input to strengthen their role.

3.5.4 Sustainability of PCLs

A key aspect of the sustainability of project actions is linked to the extent to which strengthened local organizations can continue their activities. In fact, the technical proposals of the PCLs included a section that requested the description of actions to guarantee the sustainability of the enterprise. After reviewing the final reports of the phase 1 PCLs, however, it was not possible to verify the way in which the proposed sustainability actions were being implemented or the existence of a concrete exit strategy for each completed PCL. For example, the proposals did not have specific indications on how the community management of the adaptation measures will be done, the coordination of the organizational work and the interaction with the regional delegations of MAGA, INAB, MARN and SESAN.

Upon being consulted, all the OCs of PCLs of both phases, expressed their willingness to have been able to provide counterpart resources if it had been required (in kind or in financial resources), which would have strengthened the level of ownership and commitment to sustainability of the activities after the end of the grants. However, it is understandable that, given the type of project, this inclusion was not an obligation on the part of the implementers. The evaluator considers that the lack of counterpart inclusion in the budget constitutes a lost opportunity on the part of the PPRCC and a lesson learned on optimizing resources and strengthening the commitment of the COs.

The PCLs with productive components presented another important gap in terms of sustainability, namely the absence of a business plan that would include specific analyses to understand the market environment, the level of demand and supply of their products and the probability of profitability in the medium term. A general diagnostic does not guarantee success during implementation.

4. Conclusions and recommendations

4.1 Conclusions

4.1.1 Relevance

- The PPRCC based its strategies on national and international priorities, instruments, laws, policies and commitments on climate change adaptation. At the same time, it managed to align its components and results with the strategic lines of action of UNDP, the Adaptation Fund and the ministries and institutions with interventions in environmental and climate matters.
- There is a good level of national ownership of the project's activities at all levels, as well a general perception of the project as an intervention of national interest, two conditions that are necessary to contribute to the sustainability of the project. From the point of view of the beneficiaries, the fact that the PPRCC was executed by the MARN (in the context of the NIM implementation modality) gave it a national profile and not that of a solely-international cooperation effort.

4.1.2 Design

- The project design correctly identified the socio-economic vulnerabilities (poverty, educational levels, labor insertion migration) and environmental and climatic vulnerabilities of the Nahualate River basin (extreme events, alteration of temperature patterns). However, some particular aspects of the intervention area presented a challenge during the execution of the project, namely, the installed capacity (networks of existing stations), local land tenure dynamics and land administration and the roles of community authorities as compared to those of their municipal counterparts.
- From its initial stage, the project correctly identified the way in which the risks associated with climate change could influence an increase in gender inequalities and affect the Human Right linked to the protection of life. Together with the cultural relevance of the interventions, these were cross-cutting issues identified in the activities of each component, from training, generation of manuals and regulations, establishment of committees and networks to the formulation and execution of local community projects.
- The execution of the project required a prioritization of activities based on their feasibility. Originally, the design of the project included 14 concrete actions that would contribute to the achievement of its 4 results. In this way, during the first year of execution, 12 and not 14 results were considered to give priority to those that

needed to be addressed immediately (for example, consultancies and necessary studies).

- The design of the PCLs did not include the consideration of a counterpart contribution included within their budget. This was an important design gap, since such inclusion would have increased the level of ownership of the activities and would have contributed to the sustainability of the intervention.

4.1.3 Monitoring and Evaluation

- The midterm evaluation was delayed due to administrative situations. The findings of the evaluation have created a window of opportunity for the project to develop an exit strategy, a comprehensive training plan and the strengthening of results orientation in phase 2 PCL.
- Although the project developed certain tools for the monitoring and evaluation function, the absence of an M&E plan has not given them functionality. Although the existence of monitoring arrangements was verified during the field visit, these were not formally included in a plan that included the following aspects:
 - a clear definition of human resources for the monitoring function
 - indicator tables regularly fed with information on their technical justification, calculation, sources of information, goals and entities in charge of their collection and / or variations and decision making based on evidence.
 - a plan of analysis and dissemination of information collected at different levels.
 - a work plan with costs to carry it out the monitoring function.
- Although the available PPR reports present detailed comments on the mitigation of implementation risks and information on the status of each indicator, the quarterly reports submitted to UNDP do not include an analysis that clearly indicates the contribution of each product to the results indicators nor the variation with respect to the agreed targets. On the other hand, the reports submitted by technical assistants of the Management Unit during monitoring (internal reports) should have had an additional degree of analysis and feedback from the Management Unit.
- The Management Unit stated that each quarterly report included five annexes related to the physical progress and planning of the PCL, each of which was prepared by the coordinator of each PCL and authorized by the project coordinator, after receiving the endorsement of field monitoring staff. However, the evaluator concludes that these reports did not include an adequate degree of progress analysis, namely, an explanation of variations of what has been achieved with respect to targets, strategies to close gaps in activities, comprehensiveness of activities, etc. Mostly, these reports were limited to stating that a task was carried

out, but they do not explain how the quality of adaptation measures was verified nor the way in which the progress contributes to the results included in the PCL agreement. In summary, the current reports focus primarily on the quantitative and administrative aspects and do not provide adequate monitoring information to help the Management Unit make an exhaustive follow-up of the operational plans and take timely corrective measures. In an exhaustive review of each of the final PCL reports, the technical feedback on the performance of each PCL in its entirety was not evident, which leads the evaluator to recommend the detailed review of completed and ongoing PCLs, as well as of their respective sustainability plans.

4.1.4 Management Arrangements

- *Organization*
 - The continuity of the Management Unit team has ensured the cohesion of the PPRCC's budget planning, the focus of the interventions and the monitoring of the activities at the central and regional levels. Nonetheless, the lack of an organizational manual has been identified as a gap in the monitoring processes (prioritization of results), reprogramming of activities and verification of physical-financial progress, as well as in the formalization of some processes in a uniform and sustained manner, especially those related to PCL.
- *Financial Management*
 - The project's financial management has been adequate. The PPRCC has achieved a commendable degree of completeness and timeliness in the presentation of financial documentation. However, the challenge that remains is to link the effectiveness of financial management with the way in which resources support the implementation of activities and how the quality of these, at the same time, contributes to the products and results.
- *Interaction with other entities*
 - If strengthened with additional technical information and better communication to receive the materials generated by the project, the Inter-institutional Support Committees will improve their involvement as technical allies with great potential for contribution in the final stage of the project and after its closure. The results of the field work indicated that the members of the Inter-institutional Support Committees of Sololá showed an initial commitment to the activities but not an active participation as the project progressed, with the exception of occasional support (follow-up of SESAN to PCLs with implications for food safety, the planning processes with the help of SEGEPLAN, the involvement of MAGA with the contribution of its extension agents and the desire for involvement of MINEDUC through the

school orchards initiative). According to the information obtained, the committee was unaware of the majority of manuals (bioengineering, PCL and adaptation measures) developed by the PPRCC. On the other hand, the Management Unit stated that bimonthly project progress is reported to the full committee and that its members participate in monthly PCL follow-up meetings, engage in field trips and approve products.

- *Evolution of risk management*
 - In the initial stage of the project, some risks were identified. The following is a summary of the evolution of said risk management according to the project progress report (PPR) submitted to the Adaptation Fund.
 - National elections and changes in government: As of December 31, 2017, the government changes had not had an adverse effect on the project. To mitigate the risk of future changes, the PPRCC maintained a constant dialog with the authorities at all levels, especially through the Departmental Development Councils (CODEDE) and the Municipal Development Councils (COMUDE).
 - Partners and stakeholders do not cooperate and information is not shared among them: The dissemination of information is done primarily through the Inter-Institutional Support Committees, an aspect that contributes to mitigate the identified risk. Although the functioning of these committees is reported as an identified risk management action, during the fieldwork, the members of said committee in Sololá, expressed the need to receive more information about the progress and the products of the project. In addition, they expressed their willingness to continue supporting the actions of PCL from the capacity of the sectors they represent.

4.1.5 Local Community Projects

- From the point of view of the evaluator, the Local Community Projects (whose core aspects were based on the experience of the GEF Small Grants Program) constitute the main intervention of the PPRCC because they have generated strengthening of local organizations that, otherwise, could not have access to training opportunities and implementation of measures to adapt to climate change. An essential aspect of the achievements of the PCLs is that they were executed by community organizations with the support of local organizations that had the necessary management requirements and capacities. The PCLs have generated many positive externalities that range from the protection of water sources that benefit producers, the creation of an eco-tourism potential and the start-up of processes to improve

service coverage (as in the case from the community of Chiquix, a town that solved its water supply problem and is now organized to manage and maintain it).

- A missing aspect regarding the PCLs was the lack of a request to each OL of an adequate training plan and not of isolated training activities. In addition, the Management Unit should have presented a mechanism to verify the quality of training activities.
- Although the Management Unit commented that the municipalities were connected through three offices, namely the Environment Office, the Forestry Office and the Women's Office, the actors interviewed raised the need for greater involvement of municipalities to support the activities of the PCLs to strengthen the alignment of the objectives with the established priorities of the PEI and Municipal Development Plans.
- The PCLs of phase 2, being of a productive nature, merited a cost-benefit analysis of their interventions.
- The fact of having a budget allocation for organizational strengthening is a necessary but not sufficient condition. The incorporation of salaries for coordinators and technical assistants in the structure of the PCLs constituted a budgetary contribution / support process, but cannot necessarily be considered as an institutional strengthening activity, since many of the Coordinators and Technical Assistants were already part of the organization at the time PCLs were approved. Beyond budget support, it was not possible to identify a specific measurable strengthening plan during and / or as part of the closure of each PCL.
- The accountability process could not be evidenced in all the links of the results chain. Although most of the interviewees at the community organization level stated that they had received project information, it was not possible to verify the existence of copies of monitoring and closure reports of PCLs in the localities where they were implemented. The direct involvement and shared responsibilities in implementation, generate greater ownership and commitment of the COs.
- A window of opportunity exists for: (i) measuring the income levels of the PCL beneficiaries (which constitutes a baseline for future impact measurements), (ii) develop cost-benefit analyses of PCL interventions and (iii) prepare business plans that offer a better future outlook on supply, demand, prices and competition for those PCLs with a productive and / or value chain creation component.

4.1.6 Progress toward results

In general, the PPRCC has shown an adequate progress towards obtaining results (mainly in those related to the development of standards, manuals, strategic plans, formation of inter-institutional teams, financial mechanisms and application of adaptation measures), some of which do not depend on the capabilities of the project, but on the commitment and appropriation of supporting institutions like CONAP, INAB and INSIVUMEH. Such is the case

of the indicator on the number of hectares of natural forests subject to conservation through the figure of protected area or forest incentive.

The project has been successful in incorporating the cross-cutting issues of gender, cultural relevance and Human Rights. In some of the sites visited, the stakeholders considered that cultural relevance should not be discussed, since the work conducted with communities was done in their languages, respecting their traditions and practices. The technicians are from local organizations, which brings them closer to the target population.

Component 1

The development of institutional strategic plans and municipal development plans are two important successes of the project. On the one hand, these instruments show inter-institutional coordination, and on the other, they serve as a basis for the twelve municipalities involved to take the key steps to translate the strategies into concrete resources executed.

The generation of information and climate scenarios has been a notable achievement of the project, from data collection, training for technicians (MAGA extension agents) and the "packaging" of this information for dissemination to the public.

Components 2 and 3

The implementation of adaptation measures and the possibility of generating income through the creation of value chains and marketing of specific products, was an added value of components 2 and 3 of the project. In itself, this achievement shows that protecting the environment and adapting to climate change do not represent an expense, but rather a long-term investment that, if well managed, gives families the possibility of complementing household income.

Component 4

Component 4 has shown clear achievements in terms of the production of information and communication material in radio, television and digital media, as part of a communication strategy that takes into account the cultural characteristics of the audience, the importance of sending a clear message about adaptation measures and the need to give a voice to beneficiaries to show how the benefits of the project have boosted their well-being and that of their communities.

4.1.7 Sustainability

The PPRCC does not currently have an exit strategy. In addition, the evaluator did not identify any MARN-led resource-mobilization strategy to follow up on the sustainability

analysis included in the PRODOC. This should not be seen only as an unfathomable gap but as a window of opportunity for the Management Unit and the Project Board in the last year of implementation. The sustainability of the PPRCC can be seen from two perspectives: that of the project as a whole and that of the PCLs. In the case of the first perspective, the coordination established with CONAP, INAB, SEGEPLAN, INSIVUMEH and MAGA -both at the central level and at the local level through the Inter-Institutional Support Committees- should serve as a catalyst of (i)) the consolidation of the production, adaptation and dissemination of meteorological and environmental information for all possible audiences, (ii) the transformation of the action lines included in the institutional strategic plans and in the municipal development plans into the specific allocation of resources within the local budgets, (iii) the consolidation of the climate information system to support the decision-making process (both at the central level and at the community level, as the members of the communities have specific information needs).

Although it is recognized that institutions have limited budgets, the potential support they can provide in the post-project stage is invaluable. MAGA's extension agent platform, for example, is a valuable resource for following up on many activities, from the verification of the continuity of the application of adaptation measures to the monitoring of productive linkages. On the other hand, the actions of the SESAN Food Safety System and its link with the PPRCC at local levels can generate additional positive externalities.

From the point of view of the PCLs, the sustainability of the actions of phase 1 and phase 2 interventions has two particular paths. The phase 1 PCLs, for example, have the challenge of demonstrating the way in which the sustainability actions included in their grant agreements have been implemented. The implementation of these actions cannot be limited to stating that a work team has been formed or that it is probable that benefits will be obtained from agroforestry systems or that follow-up will be carried out on soil conservation activities, but that they will be verified and documented by the Management Unit. Phase 2 PCLs, on the other hand, must have a clear outlook for commercialization and profitability in the last stage of execution, using a business plan as a formal strategy for such purposes. As part of its implementation, the PPRCC identified micro-financial mechanisms to support processes of adaptation to climate change. The persistent risk, however, is that the link between the identified mechanisms and the PCLs does not occur.

4.2 Recommendations

4.2.1 Corrective actions for project design, implementation and monitoring

1. PPRCC

- a. The Monitoring and Evaluation Function must be strengthened taking the following points into account:
 - i. Planning of monitoring activities of the four project results from this point until the end of the intervention using a critical path, that is, the sequence of activities to be implemented to strengthen monitoring. This includes the analysis of the variation of the scope of the indicators vis à vis the planned values (especially with under-performing indicators), the delegation of specific responsibilities for monitoring and verification of data quality.
 - ii. Improvement of the descriptive and analytical content of the progress reports presented. Although the reports have specific format requirements, it is recommended to attach as an annex (i) a scoreboard of indicators by result with a system of colors to identify gaps and comments on how the products of the activities contribute to results, (ii) a table of financial analysis by component with the corresponding explanations on identified execution gaps; and (iii) a qualitative analysis on the consistency between the percentage of financial execution by component and the percentage of achievement of the targets.
- b. In future similar interventions, a counterpart should be included within the budgets of community projects in order to strengthen the ownership of activities. The counterpart contribution could be in the form of work, inputs or financial resources of local organizations.

2. Local Community Projects

- a. The content of the progress reports presented must coincide with each of the activities included in the grant agreements. For example, if a result is "Implement N adaptation practices in X hectares", it would be expected that the progress reports, in addition to containing qualitative information on the activities of the result, contained information on the absolute increase in the number of adaptation practices implemented in a certain area. If there were variations in the scope of the expected targets, the PCL members and the

technician in charge should include their insights and ways in which the gaps would be closed.

- b.** The field visit reports to the PCLs by the Management Unit staff should include additional specificity in terms of the problems identified, the recommendations provided and the follow up process.
- c.** In the final reports of the PCLs, the term impact must be substituted, given that what is reported, for the most part, are products / results. The effects must clearly demonstrate how they are aligned with a sustainability strategy following the logic of the results chain.
- d.** In future interventions, disbursements for overhead should be linked to performance (5% at the contract signature and 5% at midterm) with clear milestones of what institutional strengthening means.
- e.** For those completed PCLs, it is recommended that they have a physical file that consolidates the financial and programmatic information. In addition, they should review and propose a realistic and measurable sustainability strategy that is coordinated with OLs.
- f.** The Management Unit should make an exhaustive analysis of the way in which the phase 1 PCLs will implement the sustainability measures included in their proposals. Similarly, the Management Unit must evaluate the effectiveness and efficiency of each PCL in achieving results.
- g.** For each PCL with a productive component, the OL must prepare a business plan that allows proper assessment of the planned growth and profitability scenarios for at least two years after the end of the PCL. The business plan to be developed should consider, at least, the following sections: description of the need and of the product or service that satisfies it, approach of strategies and competitive advantages, determination of the business development model / value chain, marketing (profile of the client and the potential market, analysis of the competition, description of the product , prices, advertising, distribution channels, sales projections, production and sales process, accounting and finance (including indicators such as liquidity, investment recovery period, profitability and balance points)¹¹.
- h.** Plan and conduct workshops to exchange experiences between OL and OC with similar interventions (e.g. PCL of honey producers) that contribute to the elaboration of a business plan.
- i.** Identify people in the communities who can replicate the training and deliver the material for that purpose.

¹¹ According to the technical recommendations of the Instituto Tecnológico de Monterrey. Available at http://www.sal.itesm.mx/incubadora/doc/Formato_plan_de_negocios.pdf , visited on February 2018.

4.2.2 Actions to enhance the initial benefits of the projects

1. The inter-institutional strategic plans and the municipal development plans must be used as sustainability instruments. For this, the role of the municipal and community authorities is key to making the strategies of these plans visible in the municipal budgets, thus adopting the strategies as their own. This could be measured by observing which of the twelve municipalities actually carry out the key aspects of these strategies.
2. The Project should consider that it has an opportunity to share with different partners a compendium of lessons learned, good practices and knowledge management on specific topics such as the results of the basin approach in the context of adaptation and in light of international commitments on climate change and the results of the implementation of adaptation measures by community organizations that lead social processes in their localities. Sharing this information, either in the form of compendiums of lessons learned or additional audiovisual material is a way towards the replication of good practices of the PPRCC.
3. To strengthen their role, the Inter-Institutional Support Committees should plan their meetings from this moment until the end of the project, analyze the manuals generated by the PPRCC and take advantage of information on project progress that has been shared with them throughout the intervention.
4. Given that the PPRCC is considered a successful project, the MARN should consider the possibility of raising financial resources for its replication in other vulnerable areas of the country where the projections of loss of aptitude for certain crops or the decrease of adaptive capacity, for example, are expected to be more extreme. In the study "Guatemala's agriculture and climate change: Where are the priorities for adaptation?" Bouroncie et al, 2015) it is suggested that "the areas suitable for the cultivation of maize will decrease in the lower areas of Petén, Huehuetenango, Quiché Alta Verapaz and Izabal" and that the municipalities of these departments have the lowest degree of satisfaction of their needs, which decreases their adaptive capacity.

4.2.3 Proposals for future actions

5. The Management Unit must evaluate the compliance of the collaboration letters signed with the ministries and other institutions and present the results of this assessment during the closing workshop and in the final report to the Project Board.
6. The Project Board has the challenge of strengthening its key and strategic role in the final stretch of the project. In addition to its performance as guarantor of oversight (macro aspects) of the project, the Board should focus its intervention on the comprehensive analysis of (i) macro financial management (relationship between

disbursements, budgets and overall project execution) beyond the reports presented by the PPRCC, (ii) progress towards the achievement of results (analyzing the variations between targets and achievements and (iii) requesting the MARN Project Unit to prepare the exit strategy. This strategy should take into account the following guidelines:

- a. Select the national stakeholders that will intervene in the joint monitoring of the activities and results proposed by the project, institutions that participate in the multi-sectoral approach to climate change adaptation, development NGOs that work in municipalities, representatives of municipal authorities and municipal delegations of state institutions.
- b. The Project Board, supported by the Management Unit, should act as coordinator of the exit strategy of the project and, after its closure, transfer responsibility for continuity to the group of selected stakeholders.
- c. Systematization of answers to the question: Which PPRCC activities should be sustained?
- d. Joint preparation of a schedule to close the PPRCC and detail the nature, term and cost of activities to which continuity should be given.
- e. Inclusion of indicators that allow rapid monitoring of the activities that make up the exit strategy. These indicators correspond to the percentage of planned activities that were executed and the percentage of commitments that had to be maintained and that were fulfilled by the different institutions.
- f. The exit strategy should incorporate the following information:

Strategy / Output activity	Who will be responsible?	Date on which the strategy will be executed	How will it be monitored?	What is the cost of this activity

5. Lessons Learned

- The existence of a costed monitoring and evaluation plan facilitates the delegation of monitoring functions, regulates the type of instruments, measurements and analyses carried out, favors the analysis of the quality of the data and establishes processes for the dissemination of information to the different audiences.
- Having a training plan is a mechanism to formalize the capacity building of beneficiaries of an intervention.
- The involvement of successful entrepreneurs as reviewers of the proposals to access small donations adds an additional filter of quality in the selection of projects to be financed.
- The hiring of local technical teams and the incorporation of local organizations as partners have facilitated the implementation of small grant projects.
- The frequent analysis of operational plans vis a vis financial execution and the achievement of targets provides a comprehensive panorama that facilitates the identification of inconsistencies between what is invested, what is obtained as a result and what is reported.
- The involvement of one or more municipalities has a positive effect on the interventions since these entities carry out planning activities and make decisions on common issues for the constituents they represent.
- Similar projects in vulnerable intervention areas could incorporate a panel study in their design to determine the evolution of households well being before and after the intervention.
- The analysis of the dynamics of gender relations (i.e. autonomy, empowerment, roles within the home, distribution of time) in the localities of intervention strengthen the design of the project.
- The timeliness of disbursements for PCLs does not constitute, in itself, a guarantee of the quality of the results proposed by the PCL if it is not consistent with adequate monitoring of targets.
- The support of municipal authorities and the regional delegations of the institutions is key to: (i) provide additional technical assistance to community organizations, (ii) align the activities of community organizations with municipal strategic and operational plans, and (iii) commit municipal resources to follow up on adaptation measures.
- The exchange of experiences between PCL strengthens learning about (i) common technical and administrative problems (preparation of reports, quality of programmatic and financial monitoring processes, etc ...) and problems corresponding to the PCL typology (quality of implementation of adaptation measures, marketing opportunities).

- The involvement of community authorities is key to (i) monitoring assets, (ii) safeguarding ancestral practices, (iii) managing and disseminating knowledge about adaptation measures, and (iv) planning and distribution of tasks once the PCL ends.
- The overlap between the end date of Phase 1 PCLs and the start of Phase 2 PCLs generates excessive workloads for the work teams.
- The PPRCC has served as a reference for another project that will be implemented in the Quiché area, which has replicated the structure of components 2 and 3 in its design. There is already an experience of replication of the project with funds from Kreditanstalt für Wiederaufbau (KfW).
- In similar projects to be implemented in the future, it is essential to identify a community counterpart, which can be done in kind or with financial resources, since it promotes ownership, strengthens accountability and helps beneficiaries think about sustainability from the beginning of the intervention.

6. Annexes

6.1 Terms of Reference of the Mid-term Evaluation

Adaptation Fund Midterm Evaluation Terms of Reference

1. INTRODUCTION

This is the Terms of Reference (ToR) for the Mid-Term Evaluation (MTE) for the UNDP-supported Adaptation Fund financed project titled "*Climate change resilient production landscapes and socio-economic networks advanced in Guatemala*" (PIMS 4386) implemented through the *Ministry of Environment and Natural Resources (MARN)*, which is to be undertaken in 2017. The project started on the July 2 of 2015 and is in its second year of implementation.). This ToR sets out the expectations for this MTE.

2. PROJECT BACKGROUND INFORMATION

The objective of the Project "*Climate change resilient production landscapes and socio-economic networks advanced in Guatemala*" is to increase the resilience to the climate of productive landscapes and socioeconomic systems in twelve municipalities of the departments of Sololá (Santa Catarina Ixtahuacán, Nahualá, Santa Lucia Uvatlán, San Clara La Laguna, Santa Maria Visitation, San Juan La Laguna, Santiago La Laguna) and Suchitepéquez (Santo Tomás La Unión, San Pablo Jocopilas, San Antonio Suchitepéquez, Chicacao, Santa Bárbara) with jurisdiction within the basin of the Nahualate River, threatened by the impacts of climate change and climate variability, in particular the hydrometeorological phenomena that have increased in frequency and intensity. The direct beneficiaries of the specific actions to be implemented will be community organizations located within the 19 selected sub-basins based on their vulnerability. The sub-basins are: Alto Nahualate, Uguaxucube, Tzozomá, Paximbal, Igualcox, Masá, Ixtacapa, Yatzá, Panán, Mixpiyá, Nicá, Mocá, Paquiacamiyá, Tarro, Bravo, San Francisco, Chunjá, Siguacán and Coralito. The total population prioritized for these sub-basins is 139,545 people, of which 85,341 (61%) are rural and 69,918 (50%) are women. At least 50 community organizations and not less than 7,500 inhabitants will benefit directly from the Project.

This objective is intended to be achieved through compliance with the following key results:

Project objective: to increase climate resilience in production landscapes and socio-economic systems in target municipalities, threatened by climate change and climatic variability impacts, in particular hydrometeorological events that are increasing in frequency and intensity.

Outcome 1: *Local and national capacities and tools enable decision makers and communities to reduce vulnerabilities and strengthen adaptive responses.* The Project strengthens the capacities of local and national authorities and decision makers through climate information useful for the planning and public investment processes specific to the intervention area, with the objective of improving the analysis capacity to record the

Information at local and national level, while strengthening communication mechanisms for adaptation to climate change.

Outcome 2: *Production landscape resilience increased through application of traditional and ancestral practices and other production activities, as well as targeted investments.* The Project identifies, consensuses and is put into practice, the local strategies of adaptation (catalog previously elaborated) to increase the resilience and ecological capacity of the productive landscapes of the

area of intervention. These strategies are identified, prioritized and implemented in a participatory manner with organizations, community leaders and local governments, seeking an adaptation approach based on the needs of each community.

Outcome 3: *Socio-economic adaptive capacity of communities improved.* The project promotes basic infrastructure and value chains as strategies to increase the resilience and ecological capacity of productive landscapes in the intervention area. These strategies are identified, prioritized and implemented in a participatory manner with organizations, community leaders and local governments, seeking an adaptation approach based on the needs of each community.

Output 4: *Effective knowledge management results in informed decision-making at all levels through an integrated information system.* This activity is designed so that the results and lessons learned from the implementation of adaptation strategies feedback the process of capacity building at local and national level, while contributing to the creation of standards and technical manuals and to the establishment of a program Information system on adaptation to climate change.

In order to improve the adaptability to climate change of the communities in the Project area, gender, multiculturalism and food security issues are comprehensively addressed.

During the implementation of the Project, MARN and UNDP coordinate actions with other government entities, accompanying the implementation process, among which are mentioned: Secretary of Planning and Programming of the Presidency (SEGEPLAN), Ministry of Agriculture (MAGA), National Council of Protected Areas (CONAP), National Institute of Seismology, Volcanology, Meteorology and Hydrology (INSIVUMEH), National Forestry Institute (INAB), Secretariat of Food and Nutrition Security (SESAN), Institute of Agricultural Sciences and Technology (ICTA), Faculty of Agronomy of the University of San Carlos de Guatemala (USAC), municipalities, community organizations, non-governmental organizations (NGOs), among other actors.

The Project was designed to be executed in 4 years, with a financial allocation of the AF for USD 5,000,000.00, with no co-financing provided.

3. OBJECTIVES OF THE MTE

The MTE will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal

of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTE will also review the project's strategy, its risks to sustainability.

Mid-term evaluation should assess at a minimum: • Initial outputs and results of the project;

- Quality of implementation, including financial management;
- Assumptions made during the preparation stage, particularly objectives and agreed upon indicators, against current conditions;
- Factors affecting the achievement of objectives; Context. The current context is especially crucial, as a change in socio-economic conditions can make the initial diagnosis that was the starting point for the implemented intervention, and M&E systems and their implementation.

The results of this evaluation may contribute to certain modifications in the implementation of an intervention and to updating the adopted assumptions.

4. MTE APPROACH & METHODOLOGY

The MTE must provide evidence based information that is credible, reliable and useful. The MTE consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e. AF Concept, AF Proposal, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Project Performance Reports/PPRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the consultant considers useful for this evidence-based review).

The MTE consultant is expected to follow a collaborative and participatory approach¹ ensuring close engagement with the Project Team, government counterparts, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders such as civil society organizations.

Engagement of stakeholders is vital to a successful MTE.² Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to *Director of the Project, Vice-Minister of Natural Resources and Climate Change of MARN, Chief of Adaptation to Climate Change of MARN, Project Coordinator, Energy and Environment Officer of the UNDP Country Office, UNDP Regional Technical Adaptation Advisor*; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. The MTE consultant is expected to conduct field missions to some or all the municipalities and project sites.

The field mission sites to visit will be part of the consultant methodology proposal. Project sites: *seven municipalities of the departments of Sololá: Santa Catarina Ixtahuacán, Nahualá, Santa Lucia Utatlán, San Clara La Laguna, Santa Maria Visitation, San Juan La Laguna, Santiago La Laguna and five municipalities of Suchitepéquez: Santo Tomás La Unión, San Pablo Jocopilas, San Antonio Suchitepéquez, Chicacao, Santa Bárbara*; including the following: agricultural plots of local producers, including home gardens; areas of reforestation or forest conservation; construction of structures for rainwater harvesting, municipal offices; offices of local organizations, among others.

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

5. DETAILED SCOPE OF THE MTE

The MTE consultant will assess the following four categories of project progress.

i. Project Strategy

Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. • If there are major areas of concern, recommend areas for improvement.

Results Framework/Logframe:

- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; colour code progress in a "traffic light system" based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as "Not on target to be achieved" (red).

Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategic Objective:	Indicator ₃	Baseline Level ₄	Level in 1 st PIR (self-)	Midterm Target	End-of-proje	Midterm Level & Assessme	Achievem ent Rating ₇	Justificati on for Rating
Outcome 1:	Indicator 1:							

Project Strategic Objective:	Indicator ₃	Baseline Level ₄	Level in 1 st PIR (self-)	Midterm Target	End-of-proje	Midterm Level & Assessme	Achievem ent Rating ₇	Justificati on for Rating
Outcome 2:	Indicator 2:							
	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be	Red= Not on target to be
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In addition to the progress towards outcomes analysis:

- Compare and analyze the AF Results Tracker within the Project Performance Report (PPR) at the Baseline with the one completed right before the Midterm Evaluation.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

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

Work Planning:

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

Finance and co-finance:

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

Project-level Monitoring and Evaluation Systems:

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

Stakeholder Engagement:

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

Reporting:

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

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there

a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)

- For reporting purposes, write one half-page paragraph that summarizes the project’s progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, PPRs, and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

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

Socio-economic risks to sustainability:

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

Institutional Framework and Governance risks to sustainability:

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

Environmental risks to sustainability:

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

Conclusions & Recommendations

The MTE consultant will include a section of the report setting out the MTE’s evidence-based conclusions, in light of the findings.⁸

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary.

Rec #	Recommendation	Entity Responsible
A	(State Outcome 1) (Outcome 1)	

A.1	Key recommendation:	
A.2		
A.3		
B	<i>(State Outcome 2) (Outcome 2)</i>	
B.1	Key recommendation:	

Alternatively, MTE conclusions may be integrated into the body of the report.

Rec #	Recommendation	Entity Responsible
B.2		
B.3		
C	<i>(State Outcome 3) (Outcome 3), etc.</i>	
C.1	Key recommendation:	
C.2		
C.3		
D	Project Implementation & Adaptive Management	
D.1	Key recommendation:	
D.2		
D.3		
E	Sustainability	
E.1	Key recommendation:	
E.2		
E.		

The MTE consultant should make no more than 15 recommendations total.

Ratings

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

Table. MTE Ratings & Achievement Summary Table for "Climate change resilient production landscapes and socio-economic networks advanced in Guatemala" (PIMS 4386)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	

Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

6. TIMEFRAME

The total duration of the MTE will be approximately *90 days of work, in a period of 5 month*, and shall not exceed five months from when the consultant is hired. The tentative MTR time frame is as follows:

TIMEFRAME	ACTIVITY
<i>2 days after signing of the contract</i>	Prep the MTE consultant (handover of Project Documents)
<i>4 days after first meeting (skype or similar)</i>	Document review and preparing MTE Inception Report
<i>5 days after the report submission</i>	Finalization and Validation of MTE Inception Report- latest start of MTE mission
20 days	MTE mission: stakeholder meetings, interviews, field visits
Last day of mission	Mission wrap-up meeting & presentation of initial findings- earliest end of MTE mission
3 weeks after wrap-up meeting	Preparing draft report
7 days after comments submission	Incorporating audit trail from feedback on draft report/Finalization of MTE report
7 days after comments submission	Preparation & Issue of Management Response
	Expected date of full MTE completion

Options for site visits should be provided in the Inception Report.

7. MIDTERM EVALUATION DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	MTE Inception Report. Document is expected in Spanish.	MTE consultant clarifies objectives and methods of Midterm Evaluation	15 days after signing of the contract	MTE consultant submits to the Commissioning Unit and project management
2	Draft Final Report Draft report is expected in Spanish.	Full report (using guidelines on content outlined in Annex B) with annexes	21 days after signing of the contract	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFF

3	Final Report* Draft report t is expected in Spanish and English.	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTE report	Final report, Spanish version is expected to be submitted 10 days after receiving UNDP comments on draft.	Sent to the Commissioning Unit
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#	Deliverable	Description	Timing	Responsibilities
			Final report, English version is expected to be submitted 14 days after receiving UNDP approval of Spanish version.	

*The final MTE report must be in English and Spanish.

8. MTE ARRANGEMENTS

The principal responsibility for managing this MTE resides with the Commissioning Unit.

The Commissioning Unit for this project's MTE is *the UNDP Country Office*. The commissioning unit will contract the consultant.

The payment for the consultancy is a lump sum, including airfare tickets, local travel costs for the mission in Guatemala, accommodations and daily subsistence allowances. The consultant will be responsible to make the necessary travel arrangements for the MTE. The consultant will cover the travel cost and per diem.

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

9. PROFILE OF THE CONSULTANT

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

The consultant is expected to have the following qualifications:

a) Academic background:

- ✓ Master's degree in Climate change, sustainable agriculture, biological or environmental sciences, or other closely related field.
- ✓ University degree in biology, agricultural engineer or related discipline.

b) General Experience:

- ✓ 7 years of experience on project evaluation/review.
- ✓ 7 years of experience in the design and/or implementation of projects related to climate change, resilience/adaptation and/or sustainable development projects.

- ✓ 5 years of experience working in Latin America.
- c) Specific experiences:
- ✓ Two specific experiences that demonstrate the application of result-based management evaluation methodologies that include the application of SMART indicators and reconstructing or validating baseline scenarios.
 - ✓ Two specific experiences that demonstrate to have the knowledge of project cycle of vertical funds such as the Adaptation Fund, Global Environmental Facility, Green Climate Fund, other.
- d) Competencies and corporate values:
- ✓ Demonstrated understanding of issues related to gender; experience in gender sensitive evaluation and analysis.
 - ✓ Leadership and team work.
 - ✓ Excellent communication skills.
 - ✓ Demonstrable analytical skills.
 - ✓ Ability to develop and motivate his/her peers/colleagues/team members ✓ Respect for a diverse working environment
 - ✓ Ability to produce written outputs/reports clearly and concisely
 - ✓ Excellent written and verbal communication skills in Spanish and in English.

10. PAYMENT MODALITIES AND SPECIFICATIONS

10% of payment upon approval of the final MTE
 Inception Report 40% upon submission of the draft MTE report
 50% upon finalization of the MTE report

11. APPLICATION

PROCESS⁹ Presentation

of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template10](#) provided by UNDP. b) **CV** and a **Personal History Form** ([P11 form11](#)) duly signed.
- c) **Description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how he/she will approach and complete the assignment, **written in Spanish and in English;**
- d) **Work schedule** that specified the activities, dates and time frame.
- e) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel ~~related costs (such as flight~~ ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template.
- f) **Terms of reference**, duly signed. g) Copy of **personal identification.**

- h) Copy of **academic credential**, such as University Degrees diplomas.
- i) Minimum of three letters of professional references, contracts, settlements or receipt in full documents.

⁹ Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP:

<https://info.undp.org/global/popp/Pages/default.aspx>

¹⁰

<https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

¹¹ http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc

All application should be submitted in a sealed envelope indicating the following reference: “Consultant for *“Climate change resilient production landscapes and socio-economic networks advanced*

in Guatemala” (PIMS 4386), Midterm Evaluation”.

All application materials should be submitted to the following address: 5ª Avenida 5-55 Zona 14, Torre IV, Nivel 10 Edificio Euro Plaza World Business Center Ciudad de Guatemala, Guatemala 01014

or by email at the following address

procurement.gt@undp.org) by (29

November 2017

Incomplete applications will be excluded from further consideration.

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

Criteria		Scores	
		Ranks	Max score
Academic background	Master’s degree in Climate change, sustainable agriculture, biological or environmental sciences, or other closely related field.	10	15
	University degree in biology, agricultural engineer or related discipline.	5	
	7 years of experience on project evaluation/review.	10	

General Experience	7 years of experience in the design and/or implementation of projects related to climate change, resilience/adaptation and/or sustainable development projects.	10	40
	5 years of experience working in Latin America	10	
	Two specific experiences that demonstrate the application of result-based management evaluation methodologies that include the application of SMART indicators and reconstructing or validating baseline scenarios.	5	
	Two specific experiences that demonstrate to have the knowledge of project cycle of vertical funds such as the Adaptation Fund, Global Environmental Facility, Green Climate Fund, other	5	

1
2

Technical Methodological Proposal	Fully harmonized with Terms of Reference and with solid technical level. It presents methodological proposal that demonstrates solid knowledge and correct application of the technique in the reach of results.	35	35
	Harmonic with Terms of Reference and technically acceptable. It presents a methodological proposal that demonstrates knowledge and application of the technique in a manner acceptable for the achievement of results.	30	
	Harmonic with Terms of Reference, but technically weak. Weak methodological proposal that demonstrates weak application of the technique in the reach of results.	20	
	Not harmonic with Terms of Reference. Methodological proposal and application of weak technique and out of context with respect to ToR.	0	
Work Plan and Schedule	It includes a Schedule and a descriptive work plan adjusted to the reality of the Project, considering the activities to be carried out in an integrated and coherent manner	10	10
	Includes Schedule and work plan with weak description of the activities, does not present the activities in an integrated and coherent way.	7	
	Includes only Schedule	1	
Sub – Total	Sub – Total for Curricular evaluation and technical proposal	100	70%

Financial proposal	(Lowest proposal/evaluated proposal) * 30%	30%	
Total results of the proposal			

6.2 Evaluation Matrix

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Project Strategy			
<i>Project design</i>			
Review the problem addressed by the project and the underlying assumptions.	Does the addressed problem consist with the priorities of the intervention area?	PRODOC, theory of change, representatives of MARN, UNDP and AF	Document review and interviews
Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.	Analysis of the socio-economic context and the existing policies in prioritized municipalities.	Technical reports, PRODOC, representatives of institutions	Document review, interviews, field visit
Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results.	Consistency between the project strategy and the expected results	Project Strategy, PRODOC, Log Frame, Theory of Change	Document review
Were lessons from other relevant projects properly incorporated into the project design?	Lessons learned about the design of similar projects	Project Strategy, PRODOC, Log Frame, Theory of Change, information of similar projects	Document review
Review how the project addresses country priorities.	Environmental and climate change adaptation priorities	National strategies, representatives of MARN, UNDP, AF	Document review, interviews, field visit
<i>Country Ownership</i>			

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?	Local development priorities	National strategies, representatives of MARN, UNDP, AF	Document review and interviews
Review decision making processes			
Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?	Stakeholder opinions on possible effects as a result of project decisions	Start up workshop report, interviewed stakeholders	Document review and interviews
Review the extent to which relevant gender issues were raised in the project design.	Project gender strategy	PRODOC, gender specialists	Document review, interviews, field visit
Results Framework			
Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?	Clarity and relevance of results and components	Theory of change, PRODOC and interviewed stakeholders	Document review and interviews
Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.	Public policies	M&E Reports, public policy agendas	Document review and interviews
Ensure broader development and gender aspects of the project are being monitored effectively.	Inclusion of national/local gender strategies Inclusion of gender objectives of the AF	National/local gender strategies	Document review and interviews

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Project Implementation and Adaptive Management			
Management Arrangements			
Review overall effectiveness of project management as outlined in the Project Document.	Lessons learned on obstacles/catalysts of project management Consistency with operational guidelines of the AF	PRODOC, organizational manuals Guidelines of the AF	Document review and interviews
Have changes been made and are they effective?	Changes that improved project management	PRODOC, organizational manuals	Document review and interviews
Are responsibilities and reporting lines clear?	Clarity of organizational management	PRODOC, organizational manuals	Document review and interviews
	Clarity of organizational management	PRODOC, organizational manuals	Document review and interviews
Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.	Effectiveness and efficiency of project execution	PRODOC, organizational manuals, progress reports	Document review and interviews
Review the quality of support provided by the AF Partner Agency (UNDP) and recommend areas for improvement.	Effectiveness of the support provided	PRODOC, progress reports	Document review and interviews
Work planning			
Review the approach to strategic planning	Effectiveness and efficiency of project execution	PRODOC, organizational manuals, progress reports/	Document review and interviews

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.	Effectiveness and efficiency of project execution	PRODOC, organizational manuals, progress reports/	Document review and interviews
Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?	Consistency between operational plans and the results framework	Operational plans, results framework	Document review and interviews
Examine the use of the project's results framework/logframe as a management tool and review any changes made to it since project start.	Consistency between operational plans and the results framework	Operational plans, results framework	Document review and interviews
Financial Management			
Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.	Efficiency of budget execution	Operational plans, results framework, financial reports	Document review and interviews
Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.	Efficiency of budget execution	Operational plans, results framework, financial reports	Document review and interviews
Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?	What are the internal control mechanisms? Have external audits been conducted?	Audit reports	Document review and interviews
Monitoring and Evaluation Systems			
Review the monitoring tools currently being used:			
Do they provide the necessary information?	Monitoring and Evaluation processes, good practices Do indicators measure what they really intend to measure? Are there any unnecessary indicators?	M&E reports PPR M&E stakeholders	Document review and interviews

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Do they involve key partners?	Monitoring and Evaluation processes, good practices Existence of an M&E Coordinator	M&E Plan PPR	Document review and interviews
Are they aligned or mainstreamed with national systems?	Monitoring and Evaluation processes, good practices	Documents evidencing the integration of PPRCC M&E systems and national systems	Document review and interviews
Do they use existing information? Are they efficient? Are they cost- efficient? Are additional tools needed? How could they be made more participatory and inclusive?	Monitoring and Evaluation processes, good practices	M&E reports PPR	Document review and interviews
Do M&E Reports respond to project needs?	Monitoring and Evaluation processes, good practices What are the information needs of the project? What are the information needs of external stakeholders?	M&E reports, project coordinator	Document review and interviews
Is the decision making process backed by M&E reports?	Monitoring and Evaluation processes, good practices	M&E reports, project coordinator	Document review and interviews
Are sufficient resources allocated to M&E? Are these resources allocated effectively?	Percentage of funds allocated to M&E	M&E Budget	Document review and interviews

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
What are the main three weaknesses of M&E processes?	Aspects that generate bottlenecks	Monitoring and Evaluation Reports	Document review and interviews
What are the main three strengths of M&E processes?	Aspects that facilitate the implementation of the M&E Function	Monitoring and Evaluation Reports	Document review and interviews
Is ATLAS used to follow up on project activities?	Effectiveness and frequency of use of ATLAS	ATLAS reports	Document review and interviews
Stakeholder involvement			
Project Management Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?	Benefits of alliances	Stakeholders	Document review and interviews
Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?	Level of engagement of government stakeholders	Local stakeholders	Document review, interviews, field visit
Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?	Level of engagement of non-governmental stakeholders	Non-governmental stakeholders	Document review, interviews, field visit
Reporting			

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Assess how adaptive management changes have been reported by the project management and shared with the Project Board.	Changes in adaptive management	Project Board, project implementers	Document review, interviews, field visit
Assess how well the Project Team and partners undertake and fulfill AF reporting requirements (i.e. How have they addressed poorly-rated PPRs, if applicable?)	Timeliness and completeness of reports	AF representatives, project team	Document review and interviews
Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.	Lessons on adaptive management	Key Stakeholders	Document review and interviews
Communications:			
Review internal project communication with stakeholders: Is communication regular and effective? -	Frequency of internal communications	Project team	Document review and interviews
Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?	Effectiveness of communication and feedback	Project team	Document review and interviews
Review the project's external communication Are proper means of communication established or being established to express the project progress and intended impact to the public? Is there a website? Or did the project implement appropriate outreach and public awareness campaigns?	Effectiveness of external communications	Project Team	Document review and interviews
Describe project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.	Contribution to the SDO	Project Team	Document review and interviews
Institutional effectiveness			

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
What are the main three strengths of the project's procurement processes?	Aspects that generate bottlenecks	Procurement officers	Document review and interviews
What are the main three weaknesses of procurement processes?	Aspects that facilitate the implementation of the procurement Function	Procurement officers	Document review and interviews
Is the project team stable?	Lack of continuity of the project team	Project Team	Document review and interviews
Is there any administrative obstacle creating problems for project progress?	Administrative bottlenecks	Project Team	Document review and interviews
Sustainability			
Validate whether the risks identified in the Project Document, PPRs, and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date.	Main risks	PRODOC, PPR, ATLAS Risk Module	Document review and interviews
Financial challenges for sustainability:			
What is the likelihood of financial and economic resources not being available once the AF assistance ends? (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?	Main financial risks	Project Team, UNDP, AF, PRODOC	Document review and interviews
Socio-economic challenges for sustainability:			
Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?	Changes in government, modification of public policy agendas	Project Team, UNDP, AF, PRODOC	Document review and interviews

Criteria/Evaluation Question	What to look for? Possible indicators	Information source	Data Collection Method
Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?	Opinions on the convenience of continuity of project benefits	Project Team, UNDP, AF, PRODOC	Document review and interviews
Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?	Lessons learned	Project Team	Document review and interviews
<i>Institutional framework and governance challenges for sustainability:</i>			
Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.	Existence of the necessary mechanisms for accountability	Legal frameworks, public policies	Document review, interviews, field visit
<i>Environmental risks for sustainability</i>			
Are there any environmental risks that may jeopardize sustenance of project outcomes?	Environment risks for sustainability	Project Team, MARN Stakeholders, UNDP	Document review, interviews, field visit

6.3 Example of the interview guide use during the field work stage

Mid-term Evaluation - Interview Guide

Date | Time [*Date / time*] | Venue[*Location*]

Interviewer	Name	Interviewee
	Objective	Interviewee

Start up question

Could you describe your role in the project?

Project Strategy

Project design

- Does the project address national priorities?
-
- Are laws and strategies aligned with the project beyond what is included in the PRODOC?
- Were lessons from other relevant projects properly incorporated into the project design?
- Is it necessary to change some aspects of what was proposed in the PRODOC?
- Review how the project addresses country priorities.
- Is there appropriate country ownership?
- Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design.

Progress toward results

Analysis of progress toward results

- What are the main results obtained so far?
- Persisting barriers in the achievement of results

- Ways in which the project can build on its successes.

Project Implementation and Adaptive Management

Management Arrangements

- What is your opinion on project management? Would you do something different?
 - Are reporting lines clear?
 - Is the decision making process clear and timely?
- Are there administrative bottlenecks?
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the AF Partner Agency (UNDP) and recommend areas for improvement.
- Do you participate in the project board? If so, what do you think about its performance?

Work planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved. What was the cause of these delays?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Financial Management

- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Are there other financing activities in the same line of intervention? If so, is there overlapping?
- Has the project planned and managed funds efficiently?

Monitoring and Evaluation Systems

Existing M&E Tools

- What do you think about the project's M&E function?
- Are they aligned or mainstreamed with national systems?
- Are additional tools needed?
- Use of data for decision making
- What are the main three strengths of M&E processes?
- What are the main three weaknesses of M&E processes?

Stakeholder involvement

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

- What are the main technical contributions of UNDP?

Communications:

- Review internal project communication with stakeholders:
 - Is communication regular and effective?
 - Are there key stakeholders left out of communication? Are there feedback mechanisms?
- Review the project's external communication Are proper means of communication established or being established to express the project progress and intended impact to the public? Is there a website? Did the project implement awareness campaigns?
- Has the effectiveness of communications been measured?

Sustainability

Financial challenges for sustainability:

- What is the likelihood of financial and economic resources not being available once the AF assistance ends?

Financial challenges for sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained?
- Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?

Institutional framework and governance challenges for sustainability:

- Do legal frameworks and government structures represent a risk for the sustainability of benefits?

Financial challenges for sustainability:

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

Lessons learned and best practices

- What are the main lessons learned so far?
- What are the best practices observed so far?

Mid-term Evaluation - Interview Guide - Simplified version

Date | Time [Date / time] | Venue [Location]

Interviewer	Nombre	Interviewee
	Objective	Interviewee

Introduction

Thank you for participating. My name is --- and I am conducting this interview on behalf of --- as part of the mid-term Evaluation of the ----. The purpose of this interview is to help us understand the effectiveness, efficiency and sustainability of the project. The duration of the interview will be 1 hour, approximately.

Start up question

What is your role within the project?

Project Strategy

Project design

- Is the project aligned with national strategies and laws?
- Describe how the project addresses national priorities
- Is the project aligned with the SDOs? If so, which specific SDOs?
- Is there appropriate country ownership?
- Review the extent to which relevant gender issues were raised in the project design

Progress toward results

- What are the main results obtained so far?
-
- Do you think the interventions have improved gender equality and the protection of Human Rights?

Stakeholder involvement

- Project Management Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project?
- To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Communications:

- Are proper means of communication established or being established to express the project progress and intended impact to the public?
- Has the website been useful?

Sustainability

- Is there an exit strategy? Could you please describe it?
- What would be the role of municipalities in the sustainability of interventions?

Financial challenges for sustainability:

- What is the likelihood of financial and economic resources not being available once the AF assistance ends?

Financial challenges for sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes?
- Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?

Financial challenges for sustainability:

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

Lessons learned and best practices

- What are the main lessons learned so far?
- What are the best practices observed so far?

6.4 Itinerary of the field work stage

Fieldwork time line

Date	Time	Task	Place
First phase			
28-ene-18		Trip to Guatemala / Javier Jahnsen	Guatemala City
29-ene-18	8:30 -17:30	Desk review	Guatemala City
30-ene-18	14:30-16:00	Meeting with commissioning unit	UNDP Guatemala
31-ene-18	8:00:10:00	Interview with project coordinator	MARN
	10:00-16:00	Work with the Management Unit	MARN
01-feb-18	09:00 - 11:00	Work with the Management Unit Collection of documents	MARN
	11:00 - 12:00	Interview with project director Otto Fernández	MARN
	12:00-13:00	Interview with climate change director Silvia Zuñiga	MARN
	14:30-15:30	Interview with the Vice-minister Fernando Coronado	MARN
	15:30-17:00	Work with the Management Unit: Collection of documents	MARN
02-feb-18	9:00 -11:00	Interview with INSIVUMEH: Rosario Gómez and Walter Bardales	INSIVUMEH
	10:30 - 11:00	Project Board	INSIVUMEH
	14:00-15:00	USAC Oscar Medinilla	MARN
03-feb-18	8:30 -17:30	Desk review	Guatemala City
Second phase			
05-feb-18	8:00-13:00	Meeting with legal representatives and technicians	
	14:00-17:00	Visit to intervention zones, interview with municipal authorities	Santa Lucía Utatlán, Nahualá
06-feb-18	8:00-17:00	Visit to intervention zones, interview with municipal authorities	San Juan La Laguna, Santiago Atitlán, Santa María Visitación, Santa Clara La Laguna
07-feb-18	8:00-11:00	Group interview (MAGA, CONRED, SEGEPLAN, INAB, CONAP, INSIVUMEH, MARN, SESAN)	Panajachel
	11:00: 17:00	Visit to intervention zones, interview with municipal authorities	Santa Catarina Ixtahuacán, Nahualá

08-feb-18	8:00-13:00	Group interview (MAGA, CONRED, SEGEPLAN, INAB, CONAP, INSIVUMEH, MARN, SESAN)	Suchitepéquez
	14:00-17:00	Visit to intervention zones, interview with municipal authorities	San Antonio Suchitepéquez
09-feb-18	8:00-17:00	Visit to intervention zones, interview with municipal authorities	Santa Bárbara, San Pablo Jocopilas, Santo Tomás la Unión
10-feb-18	8:00	Return to Guatemala	
Third phase Interviews and presentation of findings			
12-feb-18	8:00-11:00	Interview with experts and consultants	PNUD / MARN
	11:00-13:00	Interview with regional advisor Gabor Vereczi	Skype
	14:30-15:30	Interview with Energy and Environment Officer Flor Bolaños	PNUD / MARN
13-feb-18	8:00-17:00	Interview with experts and consultants	PNUD / MARN
14-feb-18		Preparation of initial findings	
15-feb-18	9:00 - 12:00	Presentation of initial findings	UNDP
16-feb-18	8:30-17:30	Desk review	Guatemala City

6.5 List of interviewed stakeholders

Name	Organization	Municipality
Flor de María Bolaños	UNDP	Guatemala City
Nely Herrera	UNDP	Guatemala City
Johnny Toledo	Management Unit	Guatemala City
Otto Fernández	Project Unit	Guatemala City
Fernando Coronado	Vice-Minister of Natural Resources and Climate Change	Guatemala City
Luz Cuque	Management Unit	Guatemala City
Susana Marín	Management Unit	Guatemala City
Juan Luis Sacayón	Management Unit	Guatemala City
Sergio Osorio	INAB	Guatemala City
Walter Bardales	INSIVUMEH	Guatemala City
Silvia Anaité López	INAB	Guatemala City
Mar E. Álvarez Mejía	Municipality of San Antonio	San Antonio, Suchitepéquez
Mynor Tacaxoy Barrera	UGAM - Chicacao	Chicacao, Suchitepéquez
Sheila Estrada	PCL member	Chicacao
Rosa Ramírez	PCL member	Chicacao
Carlos Gómez	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Manuel Guardiaj	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Francisco Guardiaj	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Martin Chox	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Diego Chox	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Pascuala Ixinatá	Cooperativa Nahualá	Pasac, Nahualá, Sololá
Esvin Estrada	ARAPIS	San Antonio Suchitepéquez
Juan Canil Tzoy	Cooperativa Bella Linda	San Antonio Suchitepéquez
Mario A. Soc.	ARAPIS	San Antonio Suchitepéquez
Manuel Salquill Pol	Cooperativa Bella Linda	San Antonio Suchitepéquez
Arnulfo Chiyal	Cooperativa Bella Linda	San Antonio Suchitepéquez
Hania Bravo	Cooperativa Bella Linda	San Antonio Suchitepéquez
Arnoldo Chox	Municipalidad	Santa Lucía Utatlán
Vicente Chavarría	Municipality	Santa Lucía Utatlán
Otoniel Cux	Municipality	Santa Lucía Utatlán
Pedro Charar	Municipality	Santa Lucía Utatlán
Miguel Rodríguez	ALANEL	Santa Catarina
Isabel Catinac	ALANEL	Santa Catarina
Ana García	ALANEL	Santa Catarina
Diega de la Cruz	ALANEL	Santa Catarina
Andreína de la Cruz	ALANEL	Santa Catarina
Juana María Tómbri	ALANEL	Santa Catarina
Carlos Flores	Vivamos Mejor	Chiquix
Manuel Atzalam Tambriz	COCODE	Chiquix

Name	Organization	Municipality
César Cortéz	PPRCC	Panajachel
Martha Acabal	DIDEDUC	Panajachel
Milton Gutiérrez	SEGEPLAN	Panajachel
Henry Pérez	MARN	Panajachel
Samuel Can	MAGA	Panajachel
Marta Caldem	SESAN	Panajachel
Keny Juárez	PPRCC	Panajachel
Salomón Can	INAB	Panajachel
Feliciano Puac	Apícola Atitlán	Santa Clara
Martín Otoniel	Apícola Atitlán	Santa Clara
Sebastián Vásquez	Asociación Cedro	
Wendy Hernández	PCC Altiplano	Santa Clara
Thelma Gutiérrez	Asociación Cedro	
Catarina Támbriz	Resilience Committee	Chiquix
Ana Guarchaj	AGEMA	Chiquix
Elena Támbriz	Resilience Committee	Chiquix
Juan Atzalam	Resilience Committee	Chiquix
Erik Chavajax	Board	Micro-basin Río Yatzá
Lucas Chiroy	Board	Micro-basin Río Yatzá
Encarnación Dionisio	Board	Micro-basin Río Yatzá
Juan Soc	Board	Micro-basin Río Yatzá
Angélica Ixcamparic	Board	Micro-basin Río Yatzá
Norma Toc	Board	Micro-basin Río Yatzá
Juan Quiché	ADIC	Santa Lucía Utatlán
Mariano Tzajchavon	ADIC	Santa Lucía Utatlán
Johny Patal	Fe y Amor	Panajachel
Faustino Barrera	Management Unit	Panajachel
Diego Guarchaj	Fe y Amor	Panajachel
Selvyn Pérez	La Guadalupeana	Panajachel
Heraldo Escobar	AGEMA	Panajachel
Érika Gómez	ADIAP	Panajachel
Santos Gordiec	Flor de América	Panajachel
Jorge Guarchaj	Flor de América	Panajachel
Pedro García	ALANEL	Panajachel
Manuela Pesara	ALANEL	Panajachel
Marvin Vásquez	Asociación Cedro	Panajachel
Luis Hernández	Tikonel	Panajachel
Deysi Amarillis Yoc	Tikonel	Panajachel
Diego Tzoc	El Buen Sembrador	Panajachel
Juan Guarchaj	El Buen Sembrador	Panajachel

Name	Organization	Municipality
Francisco Sánchez	Vivamos Mejor	Panajachel
Feliciano Guachiac	Flor de América	Santa Catarina
Santos Guachiac	Flor de América	Santa Catarina
Salvador Fernando G.	Flor de América	Santa Catarina
María Tzep	Flor de América	Santa Catarina
Juan Tziquín	Flor de América	Santa Catarina
José Ricardo Tzep	Flor de América	Santa Catarina

6.6 List of reviewed documents

- PRODOC
- Concept Note of the AF
- AF Proposal
- UNDP Initiation Plan
- UNDP Environmental & Social Safeguard Policy
- Project Reports
- PCL Progress and Closure Reports
- Phase 1 and 2 PCL proposals
- PCL Grant Agreements
- National legal and strategic documents
 - The National Development Plan K'atun: Our Guatemala 2032
 - National System of Protected Areas Policy
 - National Forestry Policy
 - National Gender Equality Policy
 - National Policy on Environmental Education
 - National Policy on Climate Change Adaptation
 - National Environment Conservation Policy
 - Decree 6886 on the Protection of the Environment
 - Framework Law on the Reduction of Vulnerability and Compulsory Adaptation to the Effects of Climate Change.
- Project Products
- Atlas Reports.