



*Al servicio
de las personas
y las naciones*

Project

Sustainable Forest Management and Multiple Global Environmental Benefits

Project supported by UNDP and financed by the GEF

Executing Agency: Ministry of the Environment and Natural Resources
(MARN)

Final Evaluation

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RECOGNITION

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Acronyms and abbreviations

ACODIHUE	Association for the Cooperation of Integrated Development in Huehuetenango
ACOFOP	Association of Forest Communities of the Petén (acronym in Spanish)
ANAM	National Association of Municipalities (acronym in Spanish)
AP	Protected Area (acronym in Spanish)
AR	Afforestation and Reforestation (both)
ASILVOCHANCOL	Association of Foresters of Chancol (acronym in Spanish)
ASOCUCH	Association of Organizations of the Cuchumatanes (acronym in Spanish)
AUD	Avoided Unplanned Deforestation (acronym in English)
BD	Biodiversity(both)
BID	Inter-American Development Bank (acronym in Spanish)
CATIE	Tropical Agricultural Research and Training Center (acronym in Spanish)
CBD	Convention on Biological Diversity (acronym in English)
CC	Climate Change (acronym in Spanish)
CCAD	Central American Council for Environment and Development (acronym in Spanish)
CCB	Climate, Community and Biodiversity (acronym in English)
CCM	Climate Change Mitigation (acronym in English)
CD	Executive Committee (acronym in Spanish)
CDC	Conservation Data Center (acronym in Spanish)
CEMEC	Center for Monitoring and Evaluation (acronym in Spanish)
CIPREDA	International Cooperation Center for Agricultural Pre-investment (acronym in Spanish)
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora (acronym in English)
CLPI	Free, Prior and Informed Consent (acronym in Spanish)
CMNUCC	United Nations Framework Convention on Climate Change (acronym in Spanish)
CNULD	United Nations Convention to Combat Desertification (acronym in Spanish)
COCODE	Community Development Council (acronym in Spanish)
CODEDE	Council of Departmental Development (acronym in Spanish)
COMUDE	Municipal Development Council (acronym in Spanish)
CONRED	National Council for Disaster Reduction (acronym in Spanish)
CPAP	Country Program Action Plan (acronym in English)
CSL	Local Tracking Committee (acronym in Spanish)
CTI	Inter-institutional Technical Committee (acronym in Spanish)
CTP	Tripartite Commission (acronym in Spanish)
DIM	Direct Implementation Modality (acronym in English)
FMAM	Global Environment Fund (acronym in Spanish)
FAO	United Nations Organization for Agriculture and Food (acronym in Spanish)
FAS	Sustainable Amazon Foundation (acronym in Spanish)
FCA	Fund for the Conservation of Tropical Forests (acronym in Spanish)
FCPF	Forest Carbon Partnership Facility (acronym in English)
FDN	Norwegian Development Fund (acronym in Spanish)
FMAM	Global Environment Fund (acronym in Spanish)
FUNDAECO	Foundation for Ecodevelopment and Conservation (acronym in Spanish)
GCI	Inter-institutional Coordination Group (acronym in Spanish)
GEI	Greenhouse Gases (acronym in Spanish)
GIZ	German Society for International Cooperation (acronym in German)
GOFC	<i>Global Observation of Forest</i>

GPS	Global Positioning System (acronym in English)
GTI	Interinstitutional Technical Group (acronym in Spanish)
IAP	Annual Project Report (acronym in Spanish)
IARNA	Institute of Agriculture, Natural Resources and Environment (acronym in Spanish)
ICTA	Institute of Agricultural Science and Technology (acronym in Spanish)
ICUZONDEHUE	Community Integral Development Association of the Northern Region of Huehuetenango. (acronym in Spanish)
IDH	Human Development Index (acronym in Spanish)
IFN	National Forest Inventory (acronym in Spanish)
INAB	National Forest Institute (acronym in Spanish)
INSIVUMEH	National Institute of Seismology, Vulcanology, Meteorology and Hydrology (acronym in Spanish)
IPCC	Intergovernmental Panel on Climate Change (acronym in English)
JNR	Jurisdictional and Nested REDD+ (acronym in English)
LD	Land Degradation (acronym in English)
MARN	Ministry of Environment and Natural Resources (acronym in Spanish)
MAGA	Ministry of Agriculture, Cattle, Ranching and Nutrition (acronym in Spanish)
MDL	Clean Development Mechanism (acronym in Spanish)
MEM	Ministry of Energy and Mines (acronym in Spanish)
MPM	Best Management Practices (acronym in Spanish)
MRV	Monitoring Reporting and Verification (acronym in English)
MSNM	Meters above sea level (acronym in Spanish)
M&E	Monitoring and Evaluation
OCRET	National Territorial Reserve Control Office (acronym in Spanish)
OFM	Municipal Forestry Office (acronym in Spanish)
ONG	Non-Governmental Organization (acronym in Spanish)
OSC	Civil Society Organizations (acronym in Spanish)
PAFG	Forestry Action Plan for Guatemala (Acronym in Spanish)
PDD	Project Design Document (acronym in English)
PIF	Project Identification Form (acronym in English)
PIMS	System of Institutional Memory of Projects (acronym in English)
PINFOR	Forest Incentive Program (acronym in Spanish)
PINPEP	Incentive program for small holders of lands with a forest or agroforestry vocation (acronym in Spanish)
PIR	Project Implementation Report (acronym in English)
PNUD	United Nations Development Program (acronym in Spanish)
PNUMA	United Nations Environment Program (acronym in Spanish)
PROANDYS	National Program to Combat Desertification and Drought of Guatemala (acronym in Spanish)
RBM	Maya Biosphere Reserve (acronym in Spanish)
REDD+	Reducing Emissions from Deforestation and Degradation, of Forest
R-PP	Readiness Preparation Proposal for REDD+ (Acronym in English)
SBAA	Standard Basic Assessment Assistance (Acronym in English)
SEGEPLAN	Secretariat of Planning and Programming of the Presidency (acronym in Spanish)
SFM	Sustainable Forest Management (Acronym in English)
SIA	Environmental Information System (Acronym in Spanish)
SIAM	Municipal Environmental Information System (acronym in Spanish)
SIG/GIS	Geographical Information System
SLM	Sustainable Land Management (acronym in English)
STAP	Scientific and Technical Advisory Panel (acronym in English)

TI	Home Workshop
TNC	The Nature Conservancy
UCR	Unit of Regional Coordination (acronym in Spanish)
UGAM	Unit of Environmental Management (acronym in Spanish)
UGP	Unit of Project Management (acronym in Spanish)
UICN	International Union for the Conservation of Nature (acronym in Spanish)
UTCUTS	Use of the Earth, Change of Use of the Land and Silviculture (acronym in Spanish)
URL	University Rafael Landivar (acronym in Spanish)
UVG	University of the Valley of Guatemala (acronym in Spanish)
VCS	Verified Carbon Standard (acronym in English)
VCU	Verified Carbon Unit (acronym in English)

Executive Summary

Summary Table of the Project

Project's Name	Sustainable Forest Management and Multiple Global Environmental Benefits		
ID of the UNDP for the project (PIMS#)	4637	Approval date PIF:	March 9, 2011
ID of the GEF for the project (PIMS#)	4479	Authorization date CEO:	October 3, 2013
Business unit of ATLAS, File No -ID of the project (Award # pro.ID)	73935 86515	Date of signature of document Project (ProDoc) (Project start date):	October 30, 2013
Country / Countries	Guatemala	Contract date of project director:	February 2, 2014
Region:	---	Initiation workshop date	February 17, 2014
Area of Action	South East, West	Conclusion date of mid-term review:	May 30, 2017
Strategic Objective of the GEF Area of Action.	Multifocal	Expected completion date:	October 2018
Trust Fund (Indicate GEEF TF, LDCF, SCCF, NPIF)	GEF TF	In case of revision new proposed completion date:	December 2018
Executing agency / Partner in the execution:	Ministry of Environment and Natural Resources (MARN), Ministry of Agriculture, Livestock and Food (MAGA), National Institute of Forests (INAB), National Council of Protected Areas (CONAP), Foundation for Ecodevelopment and Conservation (FUNDAECO).		
Other partners in the execution:	Secretariat of Planning and Programming of the Presidency (SEGEPLAN), National Institute of Statistics (INE)		
Project financing	<u>To the date of authorization of the CEO (US\$)</u>	<u>To the date of the Final Evaluation (US\$)</u>	
[1] GEF financing:	4,400,000.00	4,124,634.00 ¹	
[2] UNDP contribution:	557,381.00	557,381.00	
[3] Government - Municipalities:	614,404.00	614,404.00	
[4] Other partners:	12,545,616.00	665,616 ²	
[5] Total co-financed (2+3+4)	13,717,401.00	1,837,401.00	
TOTAL COST PROJECT (1+5)	18,117,401.00	6,202,194.00 ³	

¹ According to the UGP's balance sheet report, as of 09/30/2018 there is a balance to be disbursed from US dollars 240,159

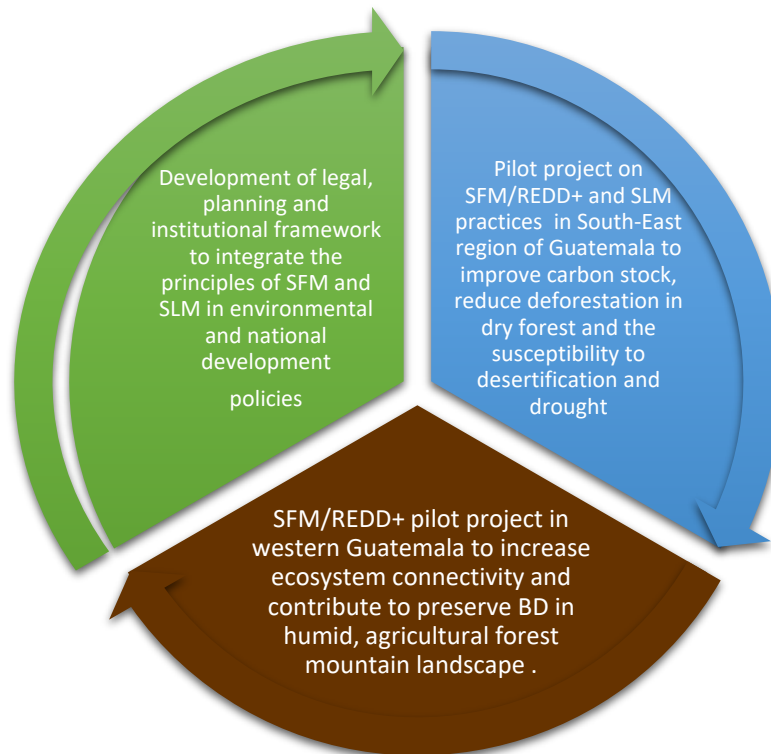
² Do not count the KfW Project with a budget of 11,880,000 that was initially budgeted in the PRODOC

³ Includes the balance to be disbursed

Project Description

The project consists of the implementation of a multifocal strategy to achieve multiple global environmental benefits in the dry forest of southeastern Guatemala and the mountain landscape of the western part of Guatemala. The project intends to achieve this goal by strengthening Sustainable Forest Management (SFM), Sustainable Land Management (SLM), Biodiversity Conservation (BD) and Climate Change Mitigation (CCM), implementing for this purpose, three activity areas namely:

Figure 1: Axes of Project Work



The project was designed and executed under the guidelines of policies and more recent laws in the field of environment, including the conservation, protection and strengthening management, as well as in the area of implementation of cultural, commercial and production practices that are hand in hand with the conservation of natural resources. Below, is a diagram that summarizes their links with various policies and related laws:



Guatemalan Policy for the Conservation, Protection and Improvement of the Environment and Natural Resources (2007) for the development of standards for the conservation and sustainable use of forests and the inclusion of forests and priority areas for reforestation as a key elements of land use plans in the country.



Forest Law of Guatemala (1996) and the National Forestry Policy, since it creates a normative and institutional environment that promotes the sustainable use and conservation of forests (Component 1) and the development of reforestation and agroforestry activities to improve forests management and conservation (Component 2).



National Forest Policy also establishes that municipalities must collaborate with the state forestry administration (ie, the National Institute of Forestry - INAB) to enforce the law, and that the State must formulate, approve and implement development plans for the local use of forest resources.



Municipal Code of Guatemala (1999), support the decentralization of forest management and the definition of the role of municipalities, including the development of forest policies and management plans at the local level; licensing, control and inspection activities; and establish monitoring mechanisms, including the establishment of Municipal Forestry Offices. Collaborative partnerships between INAB and municipalities for forest management; and supports municipalities through the incorporation of SFM / REDD + and the SLM principles into the Municipal Development Plans. The project will serve to strengthen the Municipal Forestry Offices through equipment and personnel training to improve planning, management and control activities.



National Forestry Agenda (ANF), for the conservation of forests, including forests associated with the protected areas that constitute the SIGAP and promotion of mechanisms of economic compensation for CO2 sequestration.



National Strategy for Sustainable Production and Efficient Use of Firewood 2013-2024, to establish and manage forest plantations and agroforestry systems for the sustainable development of firewood with the support of forestry incentive programs; and facilitate the adoption of appropriate technology for the efficient use of firewood, through technical and financial assistance to establish and monitor the use of efficient wood stoves.



National Strategy for the Conservation and Sustainable Use of Biological Diversity (1999) through the promotion of forest land reclamation and the conservation and sustainable use of BD in natural forests, including measures to strengthen the buffer zone of the Todos Santos Cuchumatanes Municipal Regional Park and the establishment of a biological corridor to promote connectivity among forest remnants in a productive agricultural/livestock landscape in the western region of Guatemala.



The Conservation Plan for the dry regions of Guatemala (2009) includes among its strategic objectives the maintenance of the ecological integrity and the current coverage of the dry forests, as well as the implementation of conservation mechanisms. n in the southeastern region. The project will contribute to the achievement of these objectives through the implementation of a pilot project that reduces the deforestation of the dry forest in a mountain landscape in this region.



National Policy on Climate Change (2009 through the implementation of a protocol for the control of C flux, the application of a VCS methodology for REDD+ pilot projects in dry and humid forests, and the monitoring of emissions.



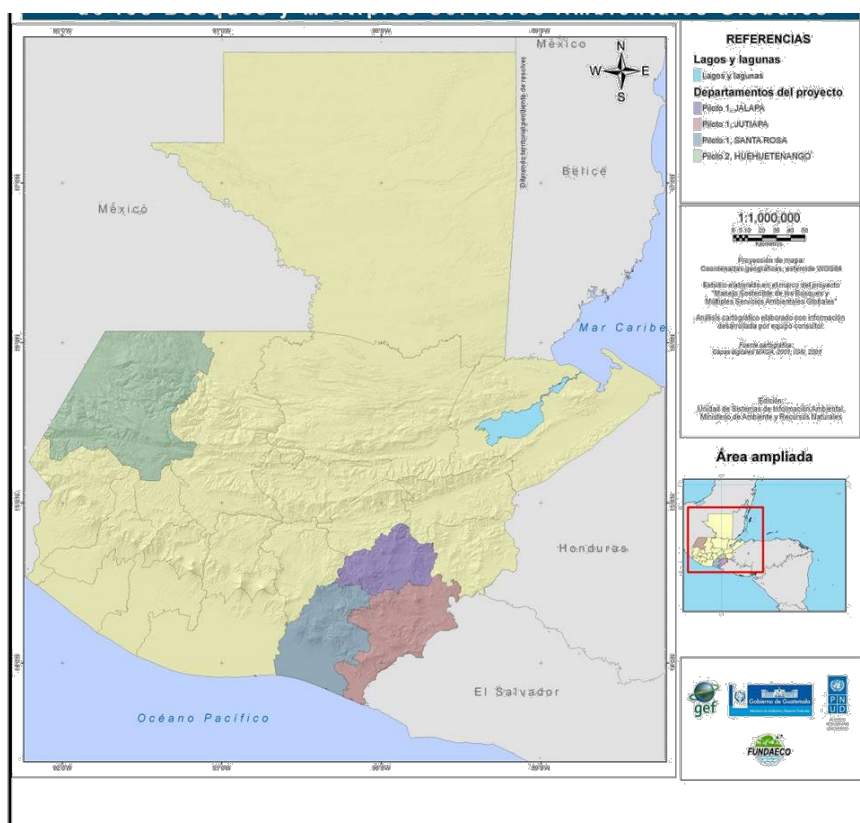
The project will help Guatemala to carry out activities to conserve forest resources, activities related to forestry production and technical assistance at PROANDYS, which identifies the southeast region as one of the most vulnerable regions to desertification and drought, so that improvement in the management of remaining dry forests will contribute to the provision of sustained water flows.

The project responds to the FMAM/GEF 5 strategy for SFM/REDD+, specifically linked to the SFM/REDD-1 objective, which seeks to reduce the pressure on forest resources and generate sustainable flows of forest ecosystem services. This is complemented by actions that are part of Objective 2 of biodiversity, which aims to integrate conservation with the sustainable use of productive landscapes by adapting practices such as agriculture and livestock to maintain ecological patterns and processes in the region and reduce the loss of forest cover in a critical corridor covering 13,843 hectares.

In addition, the project also included the CCM-3 objective to promote investment in renewable energy technologies, which is why a program of high efficiency energy stoves was put into operation that has benefited to the local communities that live in the dry landscapes of southeastern Guatemala and that use the wood as their main source of energy.

The project also addresses the CCM-5 objective, to promote the conservation and increase of carbon stocks through the sustainable management of land use, land use change and forestry. Based on that, the project

Figure 2: Participating Departments of the Project



Source: PRODOC

worked in the reforestation area of 3,500 ha of dry forest with native species from the southern region, resulting in the sequestration of 116,849 tCO₂-e for a period of 5 years (that is, the length of the project). Additionally, the implementation of good agroforestry practices in a dry forest landscape of 17,456 ha will reduce C emissions by an estimated 413,114 tCO₂-e over a period of 5 years. Similarly, the implementation of good practices including REDD+, in a production/conservation landscape of 34,357ha in Guatemala, will result in an estimated emission reduction of 468,360 tCO₂-e during the same period.

Finally, the project has been designed to contribute to the generation of sustainable flows of forest ecosystem services in drylands, including the sustainability of the livelihoods of people who depend on forests, and at the same time, reduce pressures on natural resources due to the conflicting uses of lands in the wider landscape. To this end, the project updated the National Action Plan to Combat Desertification and Drought (PROANDYS), has facilitated SFM and forest cover in the departments of Jalapa, Jutiapa and Santa Rosa, including an integrated management plan for two watersheds.

For the project, UNDP was identified as the appropriate Implementing Agency by MARN based on its proven work experience in multiple GEF BD projects in Guatemala, for which its officers have provided technical, financial, administrative and management support.

Coordination efforts with other related initiatives have been multiple and multidirectional, so that the activities of this project complemented the activities of other projects, as is the case of the CCAD-PNUD-UNEP / GEF-GIZ project of a Program for the Consolidation of the Mesoamerican Biological Corridor (PCMBC), which is an effort of the seven Central American countries, such as Guatemala and Mexico, to provide technical assistance to governments and communities in the application of the ecosystem approach to the conservation and sustainable use of natural resources by the CBD. And, in the other direction, this project has integrated lessons learned from other projects such as the PCMBC and the GEF-UNDP project Consolidation of Municipal Regional Parks System (PLM) in the western plateau of Guatemala. In addition, it coordinated actions simultaneously with the GEF-UNDP project Promotion of ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System (SIGAP), with the project of Adaptation Fund of the UNFCCC Resilient Landscapes to climate change and strengthening of socio-economic networks in Guatemala, with the - KfW Bosque Seco project. The project also worked on the measures that are being adopted in the Department of Huehuetenango, in relation to the Partnership Fund for Critical Ecosystems for the Conservation of threatened species BD.

The Evaluation Rating Table

The rating of the Project is as follows:

<i>Stage/Concept</i>	<i>Development</i>	<i>Implementation</i>
Concept/Design	Satisfactory (S)	Satisfactory (S)
Participation of Actors	Moderately satisfactory (MS)	Satisfactory (S)
Implementation Approach	Moderately satisfactory (MS)	Moderately satisfactory (MS)
Monitoring & Evaluation	Moderately unsatisfactory (MI)	Moderately unsatisfactory (MI)
Outcome Achievement	Satisfactory (S)	Satisfactory (S)

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA& EA Execution	rating
M&E design at entry	MS	Quality of UNDP Implementation	S
M&E Plan Implementation	MS	Quality of Execution - Executing Agency	S
Overall quality of M&E	MS	Overall quality of Implementation / Execution	S
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance	R	Financial resources:	MU
Effectiveness	MS	Socio-political:	MU
Efficiency	MS	Institutional framework and governance:	MU
Overall Project Outcome Rating	S	Environmental:	MU
		Overall likelihood of sustainability:	ML

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

Summary of conclusions, recommendations and lessons learned.

Conclusions

With respect to *Relevance*, the project is fully aligned with policies and national legislation, the strategic priorities of donors and the specific needs of the area of intervention. Of particular interest is the non-duplication and complementarity of project activities with other related interventions made by MARN (e.g. the PPRCC and its activities on adaptation to climate change). However, it is not sufficient regarding the sustainability of interventions, as the government may not have sufficient financial resources to ensure its continuity.

The *participation of the different actors* was decisive in the intervention from their design, where UNDP has had a key role to lead the processes of changes and adjustments as part of the adaptive management procedures, i.e. changes of Administration/Government, strengthening structures of governance as the Interinstitutional Coordination Group of (GCI). The role of the Technical Advisory Committee was recognized in the information field, but not in the coordination and the Project

Board carried out an acceptable work to coordinate, but the results were not known by all stakeholders in the project.

The mid-term evaluation had a decisive effect on the project. In terms of design, this assessment proposed the revision of the theory of change of the project and the strengthening of its gender dimension. On the other hand, the most important modification in the framework of the project results corresponded to changes in proposed indicators which were approved in February 2018 as part of the project's adaptive management procedures. This allowed, for example, that the protected hectares under the modality of forest protection and its associated benefits to be considered in the Western Region, due to the little progress in the implementation of national REDD+ strategy, allowing to quantify progress considering the action of forest incentive programs. In addition, the change of focus from CCB standards to national forest incentive schemes and to certified agroforestry systems by international seals, allowed to have a realistic vision of the progress in the result 2.

In general, the project was coherent in its design and implementation because it considered the issue of forest from an ecosystem point of view. For example, aspects related to the hydrological cycle were considered, as well as the monitoring and evaluation of the application of adaptation measures and the consideration of alternatives to reduce the energy matrix or environmental stress that is generated to the forest. However, in its design stage, the project was too ambitious in the setting of some goals, which led the project to modify them, in order to the recommendations of the mid-term review to adjust them to the local reality.

Although the project initially managed to improve the municipal and institutional capacities, from the replenishment 6 of the GEF, there is a *strategy for the integration of people as individual actors and a strategy for the incorporation of gender in the implementation of the projects*. However, given that these aspects had not been considered since the beginning of the intervention, it was a challenge for the Project and for the UNDP to try to integrate them in the execution of activities.

With respect to the *management of the project*, despite the efforts of the PMU, the RMT recommendations, the availability of tools, and the quarterly update of information in the Atlas, the monitoring system was not implemented in an optimal way. The M&E reports are basically QPRs and are not focus on aspects such as the quality of the data. On the other hand, an M&E system was not in place at the beginning of the project, there was no document systematization, there was a lack of generation and dissemination of information (e.g. consulting products).

Evaluating the *Effectiveness* of the project, a satisfactory progress is identified in achieving results related to the updating of policies, plans, guides and information systems (e.g. Formulation of the National Policy on Land Degradation, Desertification and Drought, the updating of the National Action Program to Combat Land Degradation, Desertification and Drought (PROANDYS) and the reform of the Climate Change Agricultural Policy of Guatemala). Likewise, the same applies on the protection of humid forests under sustainable management tools through incentives and international certification, emissions avoided with the deforestation by forest type, as well as the rehabilitation of hectares through the reforestation of native species, the natural regeneration

handling and the establishment of agroforestry and silvopastoral systems in the forests dry and humid forests ecosystems

The project achieved satisfactory results in terms of *strengthening institutional capacities, the equipment and the development of key technical documents* (e.g. strengthening the municipal offices of MARN/Ministry of the Environment and Natural Resources, INAB support for training, promotion and certification of forest incentive programs, equipment for forest firefighters to improve the control of fires, among others).

The project improved its efficacy and self-criticism to improve its mass communication strategy through, at least 16 activities related to dissemination of communicative material and press releases. Even though during the initial stage, the communication was sporadic, a project strategy was developed, and a responsible person was hired. During the last quarter of 2018, the project will produce 2 documents to share knowledge that will include best practices and lessons learned.

This evaluation concludes that, in general, the project carried out efficient management of financial resources. Between 2014 and 2016, for example, the average financial performance exceeded 80%. However, in 2017, there was an important gap between the initial programming and the budget of that year, demonstrating a significant planning failure. Finally, the project was implemented successfully due to the adoption of a strategy to implement micro-financing agreements. This enforcement mechanism increased the financial implementation of the project, allowing it to conclude in the projected period.

On the other hand, an exit strategy for the project that would determine the route to be followed once the interventions were completed was not identified, risking the sustainability of the interventions. From the point of view of institutional and governmental sustainability, there is a concern about the extent to which the inter-institutional space developed during the project is sustainable and profitable given that there is a fear that it will become a coordination structure with respect to the governmental priorities, beyond the specific project. It was noticed that there are some indications of a political commitment through the implementation of the REDD+ strategy, which continues to be a priority not only for MARN but also for the issue of forests, mainly because of the commitment that Guatemala has on reforesting 1.3 million ha by 2032.

Recommendations

1. As a project launch workshop is carried out, a closing workshop should be planned as well, perhaps applying a SWOT methodology, the result of which will serve as a planning tool for the participating entities.
2. It is recommended, as a good practice, the revision and evaluation of interinstitutional agreements halfway through its implementation period.
3. The project coordinator should send officially, all training materials to the authorities of municipalities with which the project worked, so they are preserved as instruments of labor and induction for new staff.

4. Project management should be result-oriented and supported by good strategic planning (critical path, CTA, M&E).
5. Towards the end of the management, the PMU should make an assessment of the execution of each agreement signed and its implications for the project. This valuation should include the analysis of the benefits obtained or the existence of bottlenecks.
6. During the conceptualization of the project the inclusion of the private sector was not considered as an important actor, but during the execution of the project if the involvement of other key actors was achieved that were not necessarily mentioned in the PRODOC. In the case of this project, other actors were included through the micro capital agreements, as was the case of CATIE, Fundación Solar, AGEXPORT, UVG, ADA2 and FCG; as well as local organizations, at the community level, contributing benefits to the project. However, it should be noted that the participation of the private sector in the project's activities could have been exploited even more intensely.
7. The UGP must prepare itself to socialize the results of the project through project closure activities, and mainly, it must prepare and plan the content and information that will be disseminated. These activities may include closure events / workshops for authorities presenting project achievements, obstacles and challenges ahead (with responsible political / technical bodies).
8. The preparation of the Project Operations Manual from the beginning is always recommended so that the relevant processes of project management can be defined, described and applied, and can also be used as a reference for future projects.
9. From the initial approach of risk management, it must include what will be the actions of resolution before the electoral processes that constitute a political risk for the sustainability of the interventions.
10. Among the actions that could affect the sustainability of the efforts made with the project, is to provide continuity to the incentive program and the implementation of management plans.
11. It is considered advisable to promote and reinforce organizational processes in the institutions, which allow for the continuity of the results and to maintain the management of projects within the same line of work or thematic axis.
12. Better water catchment should be planned as an adaptation measure to improve resilience and reduce environmental risks for the sustainability of interventions.
13. The extension activities of MAGA can be a key element for the sustainability of the interventions, at least from the point of view of the supervision of the continuity of the activities in the action municipalities.
14. In conjunction with the Project Unit of MARN, the PMU should prepare the project exit strategy.

Lessons Learned

- Commitment and political will are key to the success of an intervention, especially considering international agreements on forest reforestation and management.
- The technical advisers committees can become important instances of coordination and technical support if the role assigned to them goes beyond the informative aspect and focuses on the proposal of technical solutions to identified bottlenecks. It is also foreseen that this role may generate a greater incidence for the increase of the will and active institutional involvement, including the designation of suitable and permanent personnel to the projects.
- Through the planning instruments available to the project, municipal actors can have a considerable effect on sustainability by allocating local resources to strategic forest and soil management activities.
- The socialization of consultancy products linked to manuals and guides and the diffusion of the project's results framework, allows, respectively, the knowledge of the technical tools available to the beneficiaries and the project expectations at all levels.
- The active involvement of partners in the academic sector, such as technical advisors, allows for technical and scientific recommendations on aspects of implementation and rigorous measurement of indicators, respectively.
- In the ToR of the MTR, it should be included that an exit strategy should be identified. Otherwise, the steps to elaborate and implement one shall be recommended (depending on the specificity of the project).
- Similar projects should consider in their design the duration of the different parallel approval processes of institutional documents, policies and manuals. (REDD+ strategy).
- Every project start has a learning curve, which can be better exploited if the management is being oriented on results.
- As was done in the inception workshop of the project, the PRODOC needs to be disseminated to all the actors of the project from the start. Otherwise, an intervention is atomized and does not allow for a general perspective of a project from top to bottom and vice versa. In addition, it is advisable to develop or look for a system that allows the continuous and permanent availability of the basic information of the project, taking into account that there is rotation of the personnel related to the project.
- The mid-term review should be done in a timely manner, although there is no progress to be shown, as this allows identifying potential bottlenecks and having enough time to make adjustments in critical areas to improve performance.
- All training activities should be part of a plan and should have quantitative and qualitative indicators that help evaluate the effects of all this set of activities.
- Every agreement should have a formal value to measure its benefit at midterm and before its completion.
- The definition of a clear exit strategy promotes the appropriation and sustainability of activities.

- The counterpart of each beneficiary institution is key to strengthening the commitment and ownership of each project.
- The awareness and promotion materials should be tailored to the audience (students of different levels, languages, etc.).
- Temporary bodies such as the CTA must be more proactive and strategic in order to add value to the activities / processes of the project. As a technical body, it could have played the role of M&E in a more strategic manner.
- Creating thematic networks among heads of technical entities can improve the sustainability of interventions and can facilitate their replication/scaling (e.g. Network of Environmental Offices in each region)
- It cannot be assumed that the agreements work by themselves and will generate the planned/agreed change, unless adequate monitoring is done, and timely corrective measures are taken.

1. Introduction

This document constitutes the Final Evaluation Report of the project “Sustainable Management of Forests and Multiple Global Environmental Benefits”, executed by the Ministry of Environment and Natural Resources (MARN) and which counts with the UNDP support as the implementing agency that accompanies the actions through the Direct Implementation Project (DIM) modality. This accompaniment includes institutional, technical and administrative support, as well as theoretical support, knowledge and good practices.

The objective of the project is to strengthen the processes of soil management, forests and the conservation of biodiversity to ensure eco-systemic services, that is, resources such as water and processes such as waste decomposition.

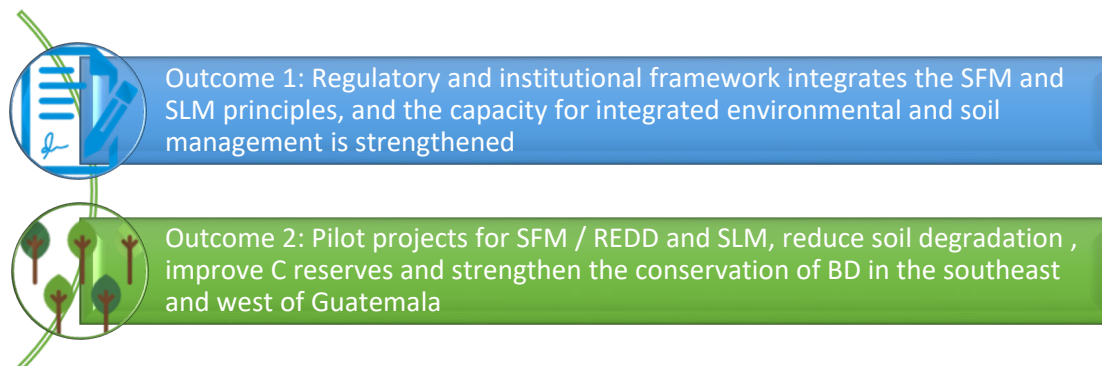
The project has a duration of five years (from January 2014 to the end of 2018) and contemplates two pilot areas, one in the landscape of the dry forest in the Southeast and another in the humid forest landscape in the Western Highlands of Guatemala

The project covers the basin of the Laguna de Ayarza (3,112.5 ha), the upper and middle part of the Río Ostúa basin (30,729 ha and 52,239 ha respectively) covering the departments of Santa Rosa (Casillas and San Rafael Las Flores), Jalapa (Jalapa, Monjas, Mataquescuintla, San Pedro Pinula, San Carlos Alzatate, San Luis Jilotepeque and San Manuel Chaparrón) and Jutiapa (El Progreso, Quesada, Santa Catarina Mita, Asunción Mita and Agua Blanca). In the Western Altiplano region, the project is concentrated in the Department of Huehuetenango in the municipalities of San Juan Ixcoy, Todos Santos Cuchumatán, San Pedro Soloma, Santa Eulalia and Chiantla⁴.

According to the UNDP, the project is linked to human well-being and resilience to climate change. The expected benefits of the project are multiple, namely the achievement of the objectives of the National Strategy for the Conservation and Sustainable Use of Biological Diversity (1999) and the National Landscape Restoration Strategy. Forestry through the promotion of land reclamation for forestry purposes and the conservation and sustainable use of biodiversity in natural forests. In addition, the project had proposed to implement protocols for the control of carbon flux to reduce greenhouse gas emissions as established in the National Policy on Climatic Change (2009) and contribute to the National Program to Combat Desertification and Drought (PROANDYS), which identifies the region of the Guatemalan Southeast as one of the most vulnerable in the country. The project was financed by the Global Environmental Facility- (GEF for its acronym in English), entity that has contributed US\$ 4.4 million. The following figure shows the expected results of the project:

⁴ Adapted from <http://www.gt.undp.org/content/guatemala/es/home/projects/manejo-sostenible-de-los-bosques-y-multiples-beneficios-ambienta.html>. Consulted in August 2018.

Figure 3: Results of the Project



After the introduction, the document presents the purpose of the evaluation and the methodological approach used, which includes the evaluation matrix detailing the criteria and questions used, as well as the sources and methods of data collection. The document continues with the presentation of findings of the evaluation, the main conclusions, recommendations and lessons learned.

1.1 Purpose of the Evaluation

The purpose of the evaluation is to identify and analyze the achievement outcome of the project, the benefits that it provided to Guatemala, as well as the lessons learned that contribute to the sustainability of the same. At the same time, the evaluation has focused on a review of the project strategy and the main risks for the sustainability of the interventions. The specific objectives include the analysis of:

- Project Outcomes;
- Quality of implementation, including financial management;
- Assumptions made during the preparation stage, particularly agreed objectives and indicators, against current conditions;
- Facts that affected the achievement of the objectives;
- Current project context to assess changes generated by socioeconomic conditions
- Monitoring and evaluation systems.

The criteria applied by the GEF during its project assessment refer to relevance, effectiveness, efficiency, outcomes and sustainability of the interventions carried out in a territory, group, political and social context.

Relevance: verify if the activity is in accordance with the priorities of the local and national development policies, including the changes over time;

Effectiveness: the extent to which the objective has been achieved or the probability that it could be achieved;

Efficiency: the extent to which the results have been achieved with the lowest possible resource costs

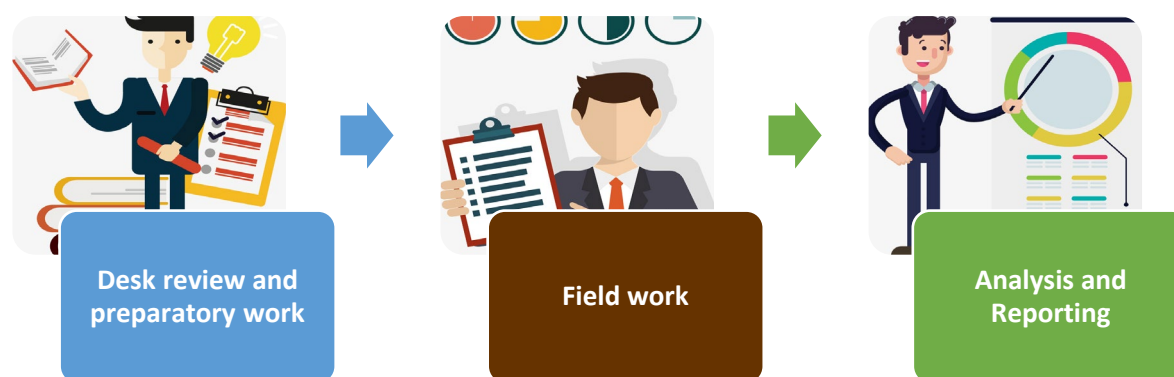
Outputs: positive and negative (projected and not projected), the changes towards or effects produced by the intervention. In the terms of the GEF, the outcomes include the products, short- and medium-term outputs and long-term impacts, including environmental benefits, replication and other local effects;

Sustainability: the probability of the intervention to deliver benefits for an extended period of time, after the intervention has been completed. The projects need to be sustainable from the environmental perspective, as well as from the financial and social point of view.

Likewise, it is scored according to the standard GEF qualification, which are classified into: i) Highly Satisfactory (AS); ii) Satisfactory (S), iii) Moderately Satisfactory (MS); iv) Moderately Unsatisfactory (MI); v) Unsatisfactory (I) and vi) Highly Unsatisfactory (AI). The evaluation analyzed project interventions from their inception to their completion in the prioritized areas, namely, the southeast and the western highlands of Guatemala.

The following figure presents the evaluation methodology proposed and applied, which is based on a set of mixed methods. To carry out the evaluation, the consultant based himself on the framework provided by the questions and criteria included as annexes in the evaluation matrix. Each of the methodological elements is explained in detail in the following subsections.

Figure 4: Summary of the proposed methodology



Source: Own elaboration based on the information of the Terms of Reference.

1.2 Documentary review and preparatory work

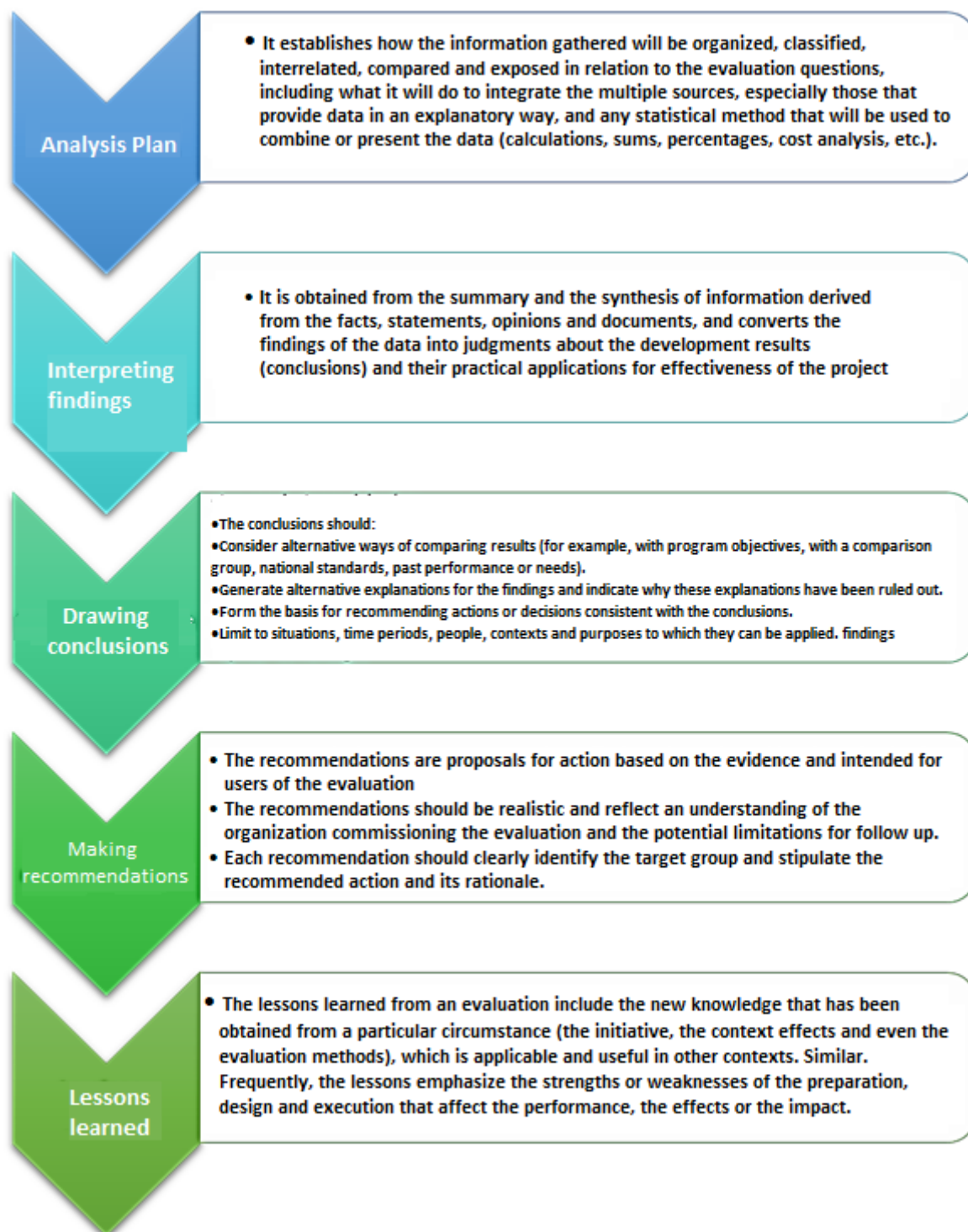
The main methodological aspect on which the present evaluation is based is the review of the documentation provided by the project, the key informants and the information gathered by the consultant to carry out the contextual analysis and of results, removal of barriers, etc. The evaluator reviewed the following documents:

- Project Identification Form (PIF)
- UNDP Initiation Plan
- Policy and UNDP Environmental and Social Protection Assessment Outcome Report
- Project document of the UNDP (PRODOC)
- Report of the Project Startup Workshop
- Results Oriented Annual Reports (ROAR)
- Project Implementation Reports (PIRs)
- Quarterly Reports (QPRs)
- Revision Medium Term Plan (RMT)
- Project Logical Framework (Annex C of the ToR) and Management Response
- Annual Operating Plans and Budget (AOPs), manuals and systems
- Work plans for various task execution teams
- Audit reports
- Financial and management guidelines used by the Project Team
- Project Implementation Reports (PIRs)
- Project outputs
- National Legislation relevant to the project.
- ATLAS Reports
- Project Results and Mission Supervision Document
- Quarterly Reports of Progress and Lessons Learned
- Follow-up tool of the project used for the baseline and progress (scorecard, institutional capacity and METT cards)
- Minutes of the Project Board meetings and other meetings (such as those of the Preliminary Project Evaluation Committee when applicable)
- Maps of the sites where the project operates
- Other technical reports provided by UNDP

During the initial stage, at least three types of data collection tools were used to carry out the evaluation, combining quantitative and qualitative methodologies corresponding to a mixed multilevel evaluation approach. The first tool corresponded to an interview format addressed to the key actors of the project that has been adapted to the different key actors both in the central offices in Guatemala City.

The second corresponded to an adequate format for the field visit. For those actors who could not be interviewed in person, a questionnaire sent by e-mail was used. Although to a different extent, each of these instruments was developed from the matrix of thematic questions of the Terms of Reference, taking into account the institutional context, expertise and the geographical area. These questions are also relevant references for the structuring of the conclusions.

In accordance with the Manual for Planning, Monitoring and Evaluation of Development Results (UNDP, 2009), the stage of the analysis and synthesis of data was guided by the following phases:



2. Project Description and Development Context

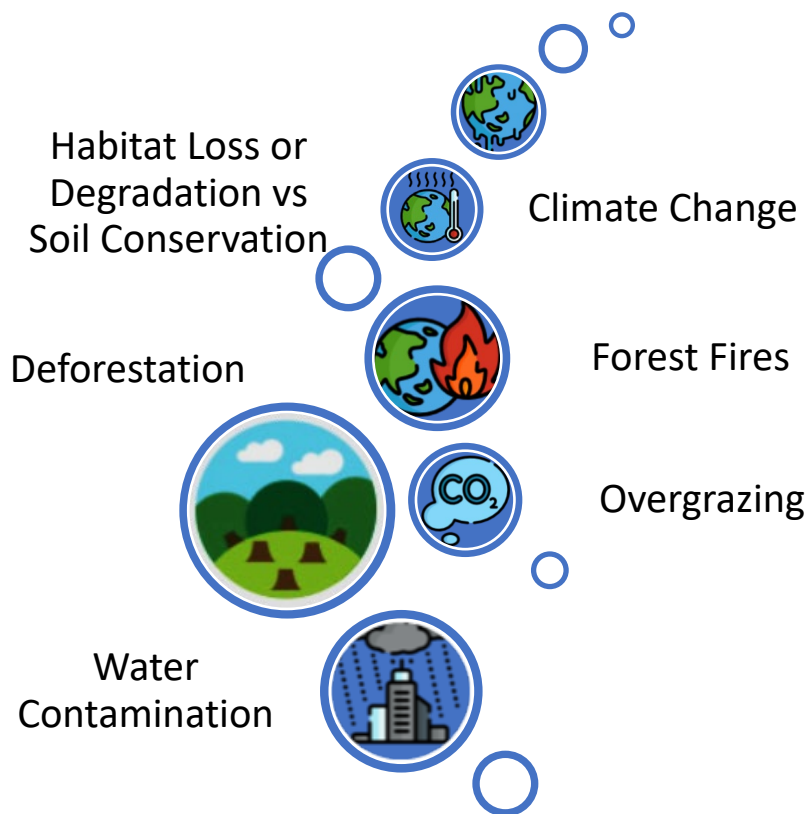
2.1 Start and duration of the Project

The project began on October 22, 2013 and had an end date scheduled for October 2018. The latter was extended to December 31, 2018 for the final closing.

2.2 Problems that the project sought to approach

The project sought to address weaknesses in land management processes, forest and threats to biodiversity conservation to ensure the flow and generation of multiple eco-systemic services in the context of climate change. Below, the problems that were identified at the time of the project design are presented:

Figure 5: Environmental Problems in Guatemala



In the case of *deforestation*, it has been identified that the direct causes are related to the continuous expansion of agricultural areas and overgrazing. In Guatemala, the cultivation of corn has forced the inhabitants to deforest large tracts of land; driven by high rates of unemployment in rural areas, it pushes the population to substitute forests with unsustainable agricultural systems, without taking into account practices and structures for soil conservation. It is also due to the consumption of wood, since it is estimated that 64% of households in Guatemala depend on the wood for cooking and heating, especially in poor rural areas⁵, consuming about 23 million cubic meters of wood per year. *Illegal logging* is another contributor to the problem of deforestation,

national estimates indicate that illegal logging accounts for around 30% to 50% of the volume of commercial timber each year and, in addition, pests and diseases They have deeply affected the pine forests. Linked to deforestation, are *forest fires*, where at least 30% of forest fires are related to agricultural activities. During the period 2000-2013, in the southeast region, forest fires have affected 19,439.23 hectares⁶ and in the western region, Department of Huehuetenango, forest fires have affected 5,408.72 ha.

Other indirect factors that influence deforestation are the *institutional weakness* in monitoring and control management of the use of forests, being characterized by little inter-institutional coordination, duplication of functions and the allocation of non-financial resources which are not always sufficient or efficient, as well as a lack of qualified technical personnel and equipment. In addition, knowledge is limited in terms of the development of agroforestry production practices that reduce GHG emissions, the lack of promotion in terms of carbon sequestration and increase connectivity for conservation of BD. There is a dispersion of responsibilities among the different government entities that are related to the subject.

In general, policy instruments such as soft loans, access to land, agricultural incentives, and the transfer of technology to foster industrial development have not included the goods and production of environmental services, except for funds destined to PINFOR and PINPEP that, in general terms, are insufficient.

Finally, there is little experience at the local level on the sustainable management of ecosystems, for example, in the department of Huehuetenango there is little local capacity for environmental management (territorial planning, management, sustainable forest management, conservation of BD and sustainable agriculture), since the region remained isolated until recently.

Table 1: Solutions promoted by the project

Threats	Solutions proposed by the Project
Deforestation	Promote the reform of the Guatemalan Agricultural Policy that shall contribute to the reduction of the loss of forest cover, habitat fragmentation, and soil degradation Implementation of two SFM/REDD+ pilot projects, for the prevention of the deforestation of 1,906 hectares of dry forest and 1,012 hectares of forest
Loss and degradation of habitat	Establishment of four agreements for the conservation of BD and forests between municipalities and associations of farmers / ranchers in Huehuetenango that will avoid fragmentation and degradation of the habitat. Establishment of a 420-hectare biological corridor between remaining forests, which will include reforestation, rehabilitation of degraded areas through natural regeneration, and sustainable agroforestry with native species.

Threats	Solutions proposed by the Project
Contamination of bodies of water	Implementation of best management practices (MPM) that will allow local actors to dispose of waste in an environmentally friendly manner to reduce pollution of water bodies. The project will actively cooperate with the PINPEP and PINFOR programs.
Overgrazing	Promote the development of semi-enclosures for livestock that are a threat to natural regeneration, endemic species, and reforestation efforts.
Forest fires	Equipment delivery and training of staff of four environmental/forestry municipal offices in the southeastern region for the control of forest fires SFM/SLM plans for the high and middle sections of the forest. the basin of the Ostúa River and the Ayarza Lagoon in the region to reduce the risk of forest fires.
Climate change	Provision of a stable source for carbon capture, promotion of connectivity between forest blocks and conservation areas in the department of Huehuetenango, improving the mobility of the species and providing shelter against temperature changes.

Source: PRODOC

2.3 Project's immediate and development objectives

The project focused on the development of a legal framework for planning, regulating and institutional for the integration of SFM/REDD+ and SLM principles (for example, the integrated approach to the management of forest ecosystems, the protection and sustainable use of BD, the adaptation and prevention of land degradation, and the integration of the objectives of population life within the management of forest ecosystems), in national environmental and development policies. At the same time, through pilot projects, the project sought to reduce land degradation, improve carbon stocks and conserve the improved BD in the southeast and Western Guatemala.

2.4 Established reference indicators

Objective/Outcome	Indicators	Target (5 years)
"Objective: To strengthen land/forest management processes and biodiversity conservation in order to secure the flow of multiple ecosystems services while ensuring ecosystem resilience to climate change.	Number of hectares (ha) of humid forest under the CCB Standards in the western region (BD-2) Baseline: 0	13,843 ha
	Area (ha) (per type of forest) under best management practices in LULUCF* including monitoring of C stocks (CCM-5) *Conserve and enhance carbon stocks in selected forested areas. Baseline: -dry forest: 620,1 ha - Humid forest: 970,85 ha	Dry forest: 1.500 ha Humid forest: 13.343 ha

Objective/Outcome	Indicators	Target (5 years)
	Area (ha) rehabilitated* (by forest type) (CCM-5) * Reforestation with native species, natural regeneration and sustainable agroforestry and silvopastoral systems Baseline: -dry forest: 79.15 ha -Humid forest: 1,513.15	Dry forest: 547 ha Humid forest: 3,000 ha
	Change in coverage (has) and quality (rapid assessment method) of forests in the dry areas (LD-2) Baseline: 6,838.47	6.838,47 ha (forest coverage is maintained stable)
	Avoided emissions (tCO2-e) from deforestation by forest type during a 5-year period (SFM / REDD-1). Baseline: -dry forest: 0 -Humid forest: 0	Dry forest: 413,114 tCO2-e Humid forest: 468,360 tCO2-e
Outcome 1: Regulatory and institutional framework integrates principles of sustainable forest management (SFM) and sustainable land management (SLM), and strengthens integrated environmental land management capacity.	National policies incorporate considerations of SLM and SFM Baseline: -forest incentives program for small landowners -Law for the Protection and improvement of the Environment -Forestry policy	National Action Program to Combat Desertification and Drought (PROANDYS) updated Agricultural Policy of Guatemala reformed
	Number of national agencies working with inter-agency agreements that integrate principles of SFM and SLM Baseline: -	Five (5): MARN, MAGA, INAB, CONAP y ANAM
	Change in capacity of national technical staff measured by capacity development indicators Baseline: INAB: 66.67% -CONAP: 57.14% -MAGA: 76.92% -MARN: 61.54%	INAB: from 66.67% to 76.67% CONAP: from 57.14% to 67.14% MAGA: from 76.92% to 86.92% MARN: from 61.54% to 71.54%
Outcome 2: Pilot projects for SFM/REDD+ and SLM reduce land degradation, increase C stocks, and strengthen BD conservation in southeastern and western Guatemala.	Pilot 1: SFM/REDD+ and SLM improve C stocks and reduce dry forest deforestation in a dry mountain in southeastern Guatemala.	
	tCO2-e sequestered through dry forest rehabilitation Baseline: 14,299.7 tCO2-e (302.5 ha)	116,848 tCO2-e

Objective/Outcome	Indicators	Target (5 years)
	Number of ha protected through REDD+ practices during a 5-year period Baseline: -	1,906 ha
	Revenue/gross contributions (USD) through reduction of emissions under REDD+ during a 5-year period. Baseline: -	\$619,672 US dollars (247,869 VCUs)
	Change in the capacity of municipal staff as measured by capacity development indicators Baseline: Municipalities (11 out of 15): -San Manuel Chaparrón: 15.38% -Jalapa: 33.33% -San Luis Jilotepeque: 51.28% - Mataquescuintla: 30.77% -Quesada: 35.71% -El Progreso: 25.64% - Santa Catarina Mita: 38.10% -Asunción Mita: 7.14% -Agua Blanca: 35.71% -San Rafael Las Flores: 30.77% -Casillas: 56.41%	Municipalities: San Manuel Chaparrón: 15.38% to 25.38% Jalapa: 33.33% to 43.33% San Luis Jilotepeque: 51.28% to 61.28% Mataquescuintla: 30.77% to 40.77% Quesada: 35.71% to 45.71% El Progreso: 25.64% to 35.64% Santa Catarina Mita: 38.10% to 48.10% Asunción Mita: 7.14% to 17.14% Agua Blanca: 35.71% to 45.71% San Rafael Las Flores: 30.77% to 40.77% Casillas: 56.41% to 66.41%
	Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to the conservation of BD in a humid mountain landscape in western Guatemala	
	tCO2-e sequestered through humid montane forest rehabilitation Baseline; 30,130.8 tCO2-e	25,679 tCO2-e
	Number of ha protected through REDD+ practices during a 5-year period. Nevertheless, the project together with INAB is working in the region to increase the rehabilitation of forests, with the idea that those rehab forest will be subject of SFM and therefore have a better capacity for CO2-e sequestration. Baseline: -	1,012 ha
	Revenue/gross contributions (USD) through reduction of emissions under	\$702,540 American dollars (281,016 VCUs)

Objective/Outcome	Indicators	Target (5 years)
	REDD+ during a 5-year period Baseline: -	
	Number of key species by biological groups (amphibians and plants) present in the project area Baseline: - Amphibians: 8 (<i>Plectrohyla tecunumani</i>, <i>Bolitoglossa nussbaumi</i>, <i>Pseudoeurycea rex</i>, <i>Plectrohyla hartwegi</i>, <i>Dendrotriton cuchumatanus</i>, <i>Plectrohyla hartwegi</i>, <i>Plectrohyla ixil</i>, <i>Craugastor lineatus</i>) - Plants: 11 (<i>Pinus hartwegii</i>, <i>Pinus pseudostrobus</i>, <i>Pinus ayacahuite</i>, <i>Alnus jorulensis</i>, <i>Alnus firmifolia</i>, <i>Arbutus xalapensis</i>, <i>Cupressus lusitanica</i>, <i>Juniperus standleyi</i>, <i>Abies guatemalensis</i>, <i>Quercus sp.</i>, <i>Budleya nítida</i>)	Amphibians: 8 (<i>Plectrohyla tecunumani</i>, <i>Bolitoglossa nussbaumi</i>, <i>Pseudoeurycea rex</i>, <i>Plectrohyla hartwegi</i>, <i>Dendrotriton cuchumatanus</i>, <i>Plectrohyla hartwegi</i>, <i>Plectrohyla ixil</i>, <i>Craugastor lineatus</i>) Plants: 11 (<i>Pinus hartwegii</i>, <i>Pinus pseudostrobus</i>, <i>Pinus ayacahuite</i>, <i>Alnus jorulensis</i>, <i>Alnus firmifolia</i>, <i>Arbutus xalapensis</i>, <i>Cupressus lusitanica</i>, <i>Juniperus standleyi</i>, <i>Abies guatemalensis</i>, <i>Quercus sp.</i>, <i>Budleya nítida</i>)
	Change in the capacity of municipal staff and community members as measured by capacity development indicators Baseline: Municipalities: Santa Eulalia: 33.33% Chiantla: 50.00% San Pedro Soloma: 33.33% San Juan Ixcay: 38.10% Todos Santos Cuchumatán: 73.81% OSC: ASOCUCH: 64.10% ICUZONDEHUE: 66.67% ASILVOCHANCOL: 64.10% ACODIHUE: 80.00%	Municipalities: Santa Eulalia: 33.33% to 43.33% Chiantla: de 50.00% to 60.00% San Pedro Soloma: 33.33% to 43.33% San Juan Ixcay: 38.10% to 48.10% Todos Santos Cuchumatán: 73.81% to 83.81% OSC: ASOCUCH: 64.10% to 74.10% ICUZONDEHUE: 66.67% to 76.67% ASILVOCHANCOL: 64.10% to 74.10% ACODIHUE: 80.00% to 90.00%

2.5 Main stakeholders

Execution and financing

The project is executed by the Ministry of Environment and Natural Resources (MARN) as a focal point of the Global Environment Facility (GEF). The United Nations Development Program (UNDP) directly implements the project through financing granted by the GEF. The GEF (FMAM for its acronym in Spanish) is an independent financial mechanism that provides grants to countries that meet the requirements for projects that generate benefits for the global environment.

Partners

The project interacts with different actors at all levels of management. Project partners include the National Forestry Institute (INAB), the National Council of Protected Areas (CONAP), the Ministry of Agriculture, Livestock and Food (MAGA), the National Institute of Statistics (INE), the Secretariat for Planning and Programming of the Presidency (SEGEPLAN) and the Foundation for Eco-development and Conservation (FUNDAECO), which has a long history of promoting and managing protected areas.

The MARN is responsible for the formulation and execution of environmental policies in Guatemala. Within its structure, there is the Climate Change Unit (CCU), responsible for technical representation before the United Nations Framework Convention on Climate Change, representing the Government of Guatemala. In addition, it provides technical and management guidelines with cooperation on climate change, as well as monitoring and technical guidance to activities related to SFM / REDD + and Climate Change.

The MARN is the GEF Operational Focal Point. It will be responsible for the formulation and execution of environmental policies in Guatemala. It will guide the actions for the SLM, the BD conservation and the mitigation/adaptation to the CC.

On the other hand, CONAP is the focal point of the CBD. It plays a central role in the formulation of policies and strategies for SFM/REDD+, SLM, and the conservation of forests and BD. INAB is the entity in charge of the execution and promotion of forestry policies in Guatemala.

MAGA is the institution responsible for formulating and executing the policy of agricultural development, and the sustainable use of renewable natural resources and their services. SEGEPLAN is the entity responsible for contributing to the development of the general planning policy of the Government of Guatemala.

FUNDAECO is an NGO with 22 years of experience in the promotion and management of protected areas, land conservation and BD, empowerment, participation and integrated community development.

Municipalities, municipal development councils (COMUDES), community councils for development (COCODES) are key actors of the project also. The municipalities are organized under the National Association of Municipalities (ANAM). Municipal Councils, COMUDES and COCODES, representing

the local communities (indigenous and non-indigenous), they participate in the decisions related to the SFM/SLM processes and conservation of the BD.

The private sector is represented by the Forestry Union of Guatemala, through the Association of Foresters of Jalapa, and Civil Society Organizations that include in the West Icuzonehue, Asilvochancol and Asocuch, groups that participate in the negotiation of conservation agreements of BD and forests. The Foundation for the Integral Development of Man and his Environment (CALMECAC), is an NGO that works in the conservation and sustainable management of natural resources in the south-western region of Guatemala and contributes to the implementation of PINFOR and PINPEP incentives; it is also a co-financier of the project.

The IDB is supporting the Government of Guatemala in the development of the platform for Reducing Emissions from Deforestation and Forest Degradation (REDD+), through the implementation of the Proposal for Preparation for REDD+ (R-PP). The German Development Bank (KfW) is one of the co-financiers of the project and in close collaboration with the MARN, complements the effort for the programming of activities in the southeastern dry region.

UNDP is the implementing agency of the project and provides accompaniment through the Direct Implementation Modality (DIM) by the Ministry of Environment and Natural Resources. This accompaniment includes institutional, technical and administrative support, as well as theoretical, knowledge and good practice support.

2.6 Context of development

According to the PRODOC, Guatemala is a country with high levels of poverty and inequality. More than half of its population is poor, with indigenous women being the population group with the greatest deficiencies. The majority of indigenous populations live in rural areas with the lowest levels of the Human Development Index. These conditions bring with it the loss of biodiversity as a consequence, since natural resources are over-exploited, and forests are transformed into crops and pastures for cattle ranching, hunting and the extraction of non-timber products of the forest for the subsistence of these groups.

These socio-economic inequalities are also reflected in the structure of land tenure, so that 0.15% of producers own 70% of the land, 4% own 10% and the remaining 20% of the land is divided among 96% of the owners. More than 90% of landowners practice subsistence agriculture in small plots that tend to be located in marginal areas for agriculture, usually to produce basic grains (corn and beans). More than 80% of the land dedicated to the production of subsistence grains is found in the hillside areas of forest aptitude, which causes the accelerated degradation of natural resources, including the BD.

The project seeks the reduction of emissions derived from deforestation and forest degradation, and for this it has relied on the MARN through the Technical Unit of Climatic Change (UTCC) has formed a working group (forests, BD and CC), which has defined the general guidelines that should be considered for the development of a National REDD+ Strategy. During the design of the Project, the National REDD+ Strategy of Guatemala was under the preparation phase (R-PP) and during the

implementation of the project the review and approval was given, a process that took several years. The IDB is the strategic partner chosen by the Government of Guatemala and will be responsible for coordinating the implementation of the R-PP.

Although Guatemala was still in the process of defining a National REDD+ Strategy, several civil and community organizations began to work on the implementation of pilot REDD+ projects associated with the voluntary carbon market, including three REDD pilot projects that were coordinated by CONAP as they are in protected areas.

IDB staff participating in the implementation of the R-PP and being interviewed during the PPG phase noted that while REDD+ pilot projects are important for generating lessons learned in the field, the methodological aspects and the creation of capacity in this type of projects should focus on the principles, methodologies and priorities outlined in the R-PP and the National REDD+ Strategy of Guatemala.

One of the main programs promoted by the Government of Guatemala to reduce deforestation and promote SFM is PINFOR, which is aimed at owners of at least 2 hectares of land with forest potential. Landowners who are willing to invest in activities of reforestation, forest regeneration, and production and conservation as a means to reduce deforestation are rewarded with a payment per hectare, which varies according to the year and depends on its compliance. Between 1998 and 2013, approximately \$167 million of American dollars were invested mainly in reforestation and forest management projects that benefited 733,365 people. During 2012 to 2016, PINFOR investments can reach more than \$64 million US dollars nationwide.

A second forestry incentive program of the Government of Guatemala is the PINPEP, which targets beneficiaries and landholders who lack legal titles of ownership in prioritized municipalities based on their level of poverty. This program covers agroforestry, forestry plantations and forest management in order to reverse deforestation processes, reduce vulnerability to extreme climatic events, mitigate/adapt to the effects of climate change, and reduce poverty and extreme poverty in the country. Projects usually receive payments for 6 to 10 years, more time in the case of protection and management. The total funding of PINPEP is equivalent to 1% of the national budget, or approximately \$40 million dollars per year. Between 2007 and 2011, approximately US\$73 million were invested through PINPEP, covering 10,344.57 hectares and directly benefiting 8,880 men and 3,205 women.

The PINFOR and PINPEP investments have also enabled the establishment of nine Municipal Forestry Offices (OFMs), supported four community organizations in the southeast region, and provided training in the management and control of forest fires for municipal staff and local communities in the department of Huehuetenango in the western region.

Regarding Biodiversity, it is identified that the department of Huehuetenango hosts a great diversity of species, many of which are endemic. The investments foreseen in the region will be focused on the protection of mountainous rainforests and the prevention of habitat loss for the DB due mainly to the expansion of the agriculture and livestock.

Despite its richness in species of fauna and flora, in the department of Huehuetenango there is only one AP registered in the SIGAP, the Municipal Regional Park (PRM) Todos Santos Cuchumatán with an area of 7,255.4 ha (0,06% of the national territory). This protected area, like most of Guatemala's protected areas, is insufficiently financed. There are also conservation areas prioritized for their importance to the BD including Cerro Cruz Maltín (7,186.27 ha), currently proposed to be included in the SIGAP, and Pepajau-Magdalena (9,200 ha). The French Fund for the Global Environment (FFEM), in agreement with FUNDAECO, supported the execution of the project *"Strengthening Community Co-management and Conservation Mechanisms of SIGAP"*, which aims to contribute to the consolidation and extension of SIGAP, reinforcing the role of local and indigenous communities in the management of BD areas of importance , including PRM Todos Santos Cuchumatán, Cruz Maltín, Valle de Quisil , Stones of Kab'tzin, Finca San José and San Francisco Las Flores.

Another of the problems addressed in the country's contextual analysis for this project is the loss of dry forest cover and degradation of the land and dry forests due to the expansion of agriculture and wood extraction in the southeastern region of Guatemala. The MAGA through the Department of Watersheds and the delegation of basins Río los Esclavos (Department of Santa Rosa: municipalities of Casillas and San Rafael las Flores, Department of Jalapa: municipalities of Jalapa, Mataquescuintla and San Carlos Alzatate and Department of Jutiapa, municipalities of Quesada and Jutiapa) has been developing technical extension and assistance, training and development of natural resources projects with the Municipal Forestry Offices (OFM) and in coordination with the COCODES for the elaboration of soil conservation structures, with emphasis on degraded areas, creation of forest nurseries with municipalities and communities, reforestation and harvesting of rainwater.

In this sense, the MAGA is implementing the Family Farming Program for the Strengthening of the Peasant Economy (PAFFEC) 2012 -2016, which included activities related to soil conservation, production of organic fertilizer. Unique, installation of micro irrigation system, confinement of animals, saving of firewood and improved stoves, improvement in water quality, training promoters in the management of the environment and sustainable agriculture, among other activities.

2.7 Expected results

Outcome 1.1– Enabling political and institutional environment to integrate the principles of SFM and SLM in territorial planning through national level policies to ensure the flow of multiple ecosystem services for SFM/REDD+, LD and CCM



- ☐ Output 1.1.1 - Inter-institutional agreements for cooperation between MARN, CONAP, INAB, MAGA and ANAM allow the inclusion of SFM/SLM principles in forestry and agricultural policies, and ensure the permanence of benefits of the project
- ☐ Output 1.1.2 - National Program to Combat Desertification and Drought updated

Outcome 1.2 – Increase in 10 percent in the capacity of national technical personnel according to capacity development indicators (CONAP, INAB, and MAGA): 40 national technicians trained in SLM, SFM, REDD+ and C monitoring



- ☐ Output 1.2.1 - Strengthened capacity of government officials and government field staff (forest and agricultural extension officers) in UTCUTS management practices, SFM/REDD+ and MRV methodologies.
- ☐ Output 1.2.2 - GIS mapping tools for SFM/SLM at the municipal level benefits development and guides the implementation of municipal development plans at the national level
- ☐ Output 1.2.3 - National Protocol for the monitoring of the flow of C developed and articulated with the forest production/management plans (INAB), planning of land use (municipalities) and conservation plans (CONAP)

Outcome 2.1 – Pilot 1: SFM / REDD and SLM improve C reserves and reduce deforestation in a mountaineous forest landscape in southeastern Guatemala. Improvement in SFM/REDD+ and SFM restore C reserves of the dry forest for a period of 5 years (the duration of the project): 116,848 tCO₂ eq captured (3,500 ha, biomass above ground)



☐ Output 2.1.1 - REDD+ pilot project in 17,456 ha; 3,500 ha which will be restored and reforested through the planting of native species and through natural regeneration.

- ☐ •Sub product. Development of a base line of deforestation emissions for the Central-East Region and a SFM/REDD+ work plan with and for the municipalities
- Sub product. Municipal action plans integrate attention to needs to improve forest management and forest policies, in prioritized municipalities with the greatest potential for generating emission reductions

Outcome 2.2 – Emissions avoided by dry forest deforestation: 413,114 tCO₂ eq over a period of 5 years (baseline area = 17,456 ha, biomass above ground)



☐ Output 2.2.1 - Methodology for a REDD+ pilot project for dry forest is applied

Outcome 2.3– Improvement in the management of the dry forest results in sustained water flows in two basins



☐ Output 2.3.1 - SFM / SLM plan for the upper and middle sections of the Ostua river basin associated with the dry forest and the Ayarza Lagoon; it includes the planning for the use of the wood, the establishment of shoreline buffer strips, and the use of hedges to protect against wind and living fences

- ☐ •Sub product 2.3.1.1. Characterization of watersheds (social characterization, environmental and production / economic and institutional)
- Sub product 3.3.1.2. SFM/SLM plan for the Ayarza Lagoon Basin (3,112.45 ha) and for the upper and middle basin of the Ostua River.

☐ Output 2.3.2 - Energy-efficient stove program reduces wood consumption and GEI/GHE emissions.

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



☐ Output 2.4.1 - Strengthened capacity of the staff of the municipalities and members of the communities in the southeastern region for the inclusion of SFM, SLM and REDD+ tools in local development plans in order to contribute to institutional sustainability of the project outcomes.

☐ Output 2.4.2 - Development plans of up to fifteen (15) municipalities incorporate principles of SFM/REDD+ and SLM and their implementation measures

☐ Output 2.4.3 - Four (4) municipal environmental/forestry offices (Santa Rosa, Jutiapa and Jalapa) fully equipped and staff trained in the control of forest fires, and improvements in the conservation of BD and C. fixation.

Outcome 2.5– Emissions avoided by deforestation of mountainous rainforest: 468,360 tCO₂ eq during a period of 5 years (basal area = 34,357 ha, biomass above ground). Pilot 2: SFM/REDD+ increases ecosystem connectivity and contributes to BD conservation in mountainous forest landscape in western Guatemala



☐ Output 2.5.1 - REDD+ pilot project on 34,357 ha in a production/conservation landscape that includes the AP/PA Todos Santos Cuchumatán

☐ Output 2.5.2 - Methodology for a REDD+ pilot project for mountainous forest is applied

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



☐ Output 2.6.1 - Biological corridor (420 ha) between remaining forests established

☐ Output 2.6.2 - Four (4) BD and forest conservation agreements between municipalities and farmers / ranchers associations facilitate the application of two incentives (PINPEP and PINFOR) to maintain forest cover (13,843 ha) in a landscape of agricultural and livestock production, and ensures the permanence of the benefits of the project

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



☐ Output 2.7.1 - Strengthened capacity of the personnel of the municipalities and members of the communities in the western region to include SFM, REDD+, CC mitigation and BD conservation in local development plans in order to contribute to the institutional sustainability of the project results

☐ Output 2.7.2 - Criteria for the conservation of the BD (ecosystem connectivity and PA buffer zones) and sustainable agriculture and livestock practices incorporated in the development plans of five (5) municipalities

☐ Output 2.7.3 - Five (5) monitoring systems at the municipal level to evaluate the benefits of SFM/REDD+ and BD

Monitoring and Evaluation System in implementation to verify the correct execution of the project within the pilot areas and its political framework



☐ Strategy Subproduct to incorporate the gender aspects in the policies, regulations and actions promoted by the project

3. Findings

3.1 Design/Formulation of the Project

According to the interviewees and, based on the documentary review, it is clear that the project is aligned with the relevant strategies, as well as with the legal framework and sectoral policies. Specifically, the project is consistent with:

- The Sustainable Development Goals 5 (Gender) through the strengthening and inclusion of women in forest and soil management processes, 3 (Climate Action) through the implementation of measures to adapt and strengthen resilience and 15 (Life of Earth Ecosystems) through the restoration of soils and the production of manuals and management tools. From the replacement 6 of the project execution, a strategy for the incorporation of the gender approach is implemented. However, since this strategy was not included in the design of this project, it was a challenge for UNDP to try to integrate these areas during the implementation. It was particularly difficult for this project in comparison with others where there has been a specific strategy for the integration of these aspects from the design stage, so that it was not possible to sustain systemically a link with this area. Training has been carried out, it has been difficult to understand how to include it in forest conservation projects, which has been a challenge. In this new reposition (7) they have already requested a specific strategy, ensuring the inclusion of these issues through changes in the office processes, carrying out training processes from the director to all project officers. An example is given with the stove delivery activities, where the directors indicate that the stoves have already been delivered, but then there was a question about how this delivery is linked to the role of gender and participation of the women in the project. On the other hand, in general terms of the UNDP, the project portfolio was subjected to a gender analysis, carried out by external specialists from Panamá, which included this project for the evaluation of half term, where it is identified that there are elements in this area, but that it was necessary to deepen the look in these aspects. For this reason, at least three good practices were incorporated into the project that consisted of: 1) for all individual contracts and for companies, the gender equity approach was included. 2) specific changes in the activities that were indicated with the new replenishment of the project. 3) Work was carried out with the gender unit of the Ministry of Environment, which accompanied the project and the Portfolio review that made.
- The K'atun National Development Plan: our Guatemala 2032, specifically with its priorities entitled Urban and Rural Guatemala (integral rural development, resilient and sustainable territorial development, and local territorial development) and Natural Resources Today and for the Future (environmental sustainability as a pillar of development).
- The following national policies in force:
 - GEF's priorities in terms of mitigating the effects of climate change and reducing pressure on forest resources.
 - The institutional framework of CONAP, MARN, INAB, MAGA, Municipalities and NGOs.

- National policies and priorities in environmental matters
 - The project follows the guidelines of: The Policy of Conservation, Protection and Improvement of the Environment and the Resources (2007), the Law and Forest Policy of Guatemala and the Municipal Code (1999), among other instruments.

3.2 Progress towards the achievement of results

3.2.1 Analysis of the Logical Framework (AML) and the Outcomes Framework (logic and strategy of the Project: indicators)

In general terms, the PRODOC original design is maintained, and according to the ML methodology, the project presents a vertical and cascade logic, so that a chain of results has been identified to achieve the expected results and these in turn, will contribute to the achievement of the objectives in their different levels. Some of the baseline indicators of the project referring to the quantitative forest issue refer to the primary source from which they were obtained, in such a way that they can serve as a reference for the management team (PMU) and especially for a Monitoring Officer, but having not had a designated person since the beginning of the project, the need to have information and update it for decision making, falls indirectly in the Coordination, in the subsequent monitoring and evaluation of the project.

The good practices for the correct use of the M&E function based on ML, show us that the elaboration of the M&E plan of a project contributes not to leave the project adrift and that it must also be updated on a regular basis, based on strategic planning (POA), where each activity must have i) a scope (e.g.: reflected in ToR, or technical specifications, others); ii) budget; iii) an estimated period of execution; iv) a goal when appropriate. Each of these activities must be monitored and analyzed periodically to assess it in terms of efficiency, quality and effectiveness with respect to the result to which it contributes. The PMU has not implemented this approach and therefore the analysis of what has been planned versus what has been achieved, as well as some corrective measures or timely decision making cannot be clearly identified. Likewise, the UGP has not had an M&E plan or a responsible person permanently, just towards the end of the project management, a professional has been hired to collect and add past data, which will serve to have the corresponding values for the results indicators, but in itself, the function of M&E has not been used to improve the management by results.

3.2.2 Progress towards outcomes

The following table highlights the classification of progress in achieving results.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
	Indicator 1. Number of hectares (ha) of rainforest under management under a standard or mechanism of sustainable forest management (forest incentives); and areas under some international certification that guarantees the application of good practices: bird friendly and fair trade.	0	13,843 ha	15,922.20 ha	115%		The target has been exceeded. The data corresponds to official INAB records in the municipalities within the area of influence of the project and FUNDAECO records. The information includes areas under forest incentives such as: management of natural forests designated for protection and production, and agroforestry systems of PINPEP and PROBOSQUE. As a product of the review of half term, the current indicator varied with respect to that presented in the project's results framework. The Project Technical Committee and the Project Board approved this change on October 24, 2017.
	Indicator 2. Area (ha) (by forest type) according to the best management practices in LULUCF *, including control of C stocks (CCM-5)	- Dry forest: 620.1 ha	Dry forest 1,500 ha	13,796.85 ha Dry forest	919%		The target was overcome. This is the result of the continuous support that the project provides to INAB and the Municipal Forestry Offices. Part of this support is the promotion and support of actions for sustainable forest management, as part of the National Strategy for Forest Landscape Restoration and the promotion of national forest incentive programs in the region Pilot 1.
		- Humid forest: 970.85 ha	- Humid forest: 13,343 ha	24,012.95 ha Humid forest	180%		This objective for the two forest types was fulfilled thanks to the work of INAB, the National Council of Protected Areas (CONAP), FUNDAECO, municipal forestry offices (OFM) and the municipal environmental management unit (UGAM), local officials, landowners and project support.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
							The information presented in this document is based on the areas included in the different modalities for the forest incentive programs PINPEP and PROBOSQUE.
	Indicator 3. Area (ha) rehabilitated * (by forest type) (CCM-5) * Reforestation with native species, natural regeneration and sustainable agroforestry and silvopastoral systems.	- Dry forest: 79.15 ha	Dry forest: 547 ha	1,937.72 ha de Dry forest.	350%		The target was clearly overcome. Rehabilitation was carried out through reforestation, natural regeneration and sustainable agroforestry and silvopastoral systems, within the national forest incentive programs. This work was possible with the leadership of the National Forestry Institute, municipalities and local communities.
		- Humid forest: 1,513.15 ha	- Humid forest 3,000	6,574.4 ha de Humid forest	219%		During the reporting period 2017-2018, the project achieved 579.5 ha, which to date allowed the accumulation of 6,574.4 ha of wet forest according to INAB records in municipalities within the area of influence of the project. This objective in the two types of forests was achieved thanks to the collaboration between the INAB, CONAP, FUNDAECO, municipal forestry offices, UGAM, local officials and landowners. During the process was identified that the landowners and had gained greater confidence in the forest incentive programs promoted by the Government through the INAB.
	Indicator 4. Change in coverage (ha) and quality (rapid assessment method) of forests in dry areas (LD-2)	6.838,47 ha	Target: 6,838.47 ha				MTR: Project interventions have facilitated the maintenance of forest cover at 6,838.47 ha. PIR 2018: Based on Report No. 4 that was produced after the consultancy entitled 'Development of activities to strengthen the technical capacities and general aspects of REDD+, of officials and

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
							technical personnel of the central government , as well as local governments and communities, which are necessary for the implementation of the National REDD+ Strategy and the development of REDD+ projects at the local level, which was presented in March of 2017, a map of forest cover was obtained for 2016 that was developed by the project. This map showed that forest cover in the 15 intervention areas had increased by 5,416 ha from 2010 to 2016, indicating that the target had been exceeded.
	Indicator 5 Emissions avoided (tCO2-e) of deforestation by forest type over a period of 5 years (MFS / REDD-1) through national forest incentive programs under the modality of forest protection.	0	Dry forest: 413,114 tCO2-e	551,171.81 tCO2-e of avoided emissions	133%		This result came from the maintenance of 2,047.97 ha in the framework of the national forestry incentive programs and the incorporation of 4,029.84 ha into the national forest incentive programs, such as PINFOR, PINPEP and PROBOSQUE. The results of avoided emissions are based on the number of forest conservation practices implemented in the Pilot 1 region. The estimate is based on the forest carbon forecast presented by UNDP-GEF, (September 28, 2012) • The project managed to overcome the target by protecting 10,856 cumulative hectares of dry forest using the Protection through Natural Forest Management modality in the region of the Pilot 1. The accumulated amount is much less than the amount reported the previous year, since there was still no emission factor for the dry forest, and because the reference quantity was used of 216.73tCO2-e / ha.
		0	Humid forest: 468,360 tCO2-e	Humid forest	421.5%		This result came from maintaining 3,280.77 ha under national forest incentive programs and adding 472.75 new hectares to national forest incentive programs, such as PINFOR, PINPEP and PROBOSQUE. The results of avoided

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
				1,974,089 tCO ₂ -e of avoided emissions			emissions are based on the number of forest conservation practices implemented in the Pilot 1 region. The estimate is based on the forest carbon forecast presented by UNDP-GEF (Prepared on September 28, 2012) The emission factor used for these data is dry forest: 216.73 tCO ₂ -e per ha and for wet forests: 462.67 tCO ₂ -e per hectare.
	Indicator 6: National policies incorporate considerations of sustainable management of soils and sustainable forest management	- Program of forest incentives for owners of small extensions of land - Law of Protection and Improvement of the Environment - Forest Policy	Target: National Program of Action to Combat Desertification and Drought (PROANDYS) updated and Guatemala Agricultural Policy reformed	The policy on Land degradation, desertification and drought are under review by the government institution related to the issues covered by the Policy.	NA		The project has achieved the following advances related to this indicator: 1. The update of the Institutional Climate Change Strategy of MAGA has been completed and is pending publication for distribution 2. The update of the Institutional Strategic Plan 2017-2030 of the INAB and the Five-Year Plan 2017-2021 3 has been completed. Development of four regulations on compensation for the reduction and absorption of emissions, program of incentives to encourage voluntary activities to reduce or absorb emissions, regulatory proposal for a registry of projects to eliminate or reduce emissions and regulatory proposal for environmental services to reduce or eliminate GHG emissions.
	Indicator 7. Number of national agencies working with inter-institutional agreements that integrate the principles of SFM and MST	0	5: MARN, MAGA, INAB, CONAP & ANAM	1st self-reported PIR: 4 national agencies (MARN, CONAP, MAGA, INAB) and SEGEPLAN work together on the SFM and SLM base.			An inter-agency work agreement was signed between MARN units. However, during the process it was evident that the institutions CONAP, INAB, MAGA, MARN already integrated the principles of MFS and MST in their lines of work. "The signing of an Agreement Inter-agency is not viable, because two of the concepts (Climate Change and Sustainable Forest Management) that were considered to be included in that Agreement, are already

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
							contained and considered in other legal instruments or Technicians, within which there is already a compulsory nature on its observance and application."
	Indicator 8. Change in the capacity of national technical staff as measured by capacity development indicators.	-INAB: 66.67% -CONAP: 57.14% -MAGA: 76.92% -MARN: 61.54%	INAB: 76.67% CONAP: 67.14% MAGA: 86.92% MARN: 71.54%	INAB 69.0% CONAP: 64.3% MARN: 66.7 % MAGA: 69.2 % (2016-2017)			On the way to being reached. The project carried out more than 20 capacity development activities, with a series of workshops designed to improve national capacities, covering the topics of sustainable forest management, forest policies, climate change and biodiversity and concluded the REDD+ Academic Certification awarded by the Tropical Agronomic Research and Training Center and the University of the Valley of Guatemala.
	Indicator 9: tCO2-e captured through the rehabilitation of the dry forest.	14,299.7 tCO2-e (302.5 ha)	116,848 tCO2-e	151,856.31 tCO2-e for 2016-2017	129%		The target has been reached and exceeded. This information is pending confirmation until the allometric equation for dry forest is accepted.
	Indicator 10: Number of has been protected through the national programs of forest incentives, under the modality of forest management for protection (considered as REDD practice) for a period of 5 years for the south-east of Guatemala		Southeast Region: 1,906 ha. West Region: 1,012	10,580.55 6,441.	555.12% 636.46%		Although this objective will be fully measured at the end of the fifth year, there are initiatives that are being implemented in the region that would help achieve the result. Among these initiatives are the implementation of forest plantations, as well as the reforestation and agroforestry parcels.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
	Income / Gross contributions (US dollars) for the payment of forestry incentives under the modality of forest management for protection, and that contribute to the reduction of emissions during a period of 5 years, for the southeast of Guatemala		Southeast Region: \$619,672 USD (247,869 VCUs) 6,838.47 ha West Region: \$702,540 USD	3,376,303.74 2,157,575.13	544.85% 307,11%		Based on Report No. 4 that was presented in March 2017, a map of forest cover for 2016 was obtained that was developed by the project. This map showed that forest cover in the 15 intervention areas had increased by 5,416 hectares between 2010 and 2016, indicating that the target had been exceeded. However, there is no monetary information on gross contributions, so the target is considered on track to be achieved.
	Indicator 12: Change in the capacity of municipal staff as measured by the capacity development indicators.	Municipalities (11 de 15): -San Manuel Chaparrón: 15.38% -Jalapa: 33.33% -San Luis Jilotepeque: 51.28% -Mataquescuintla: 30.77% -Quesada: 35.71% -El Progreso: 25.64% -Santa Catarina Mita: 38.10% -Asunción Mita: 7.14% -Agua Blanca: 35.71% -San Rafael Las	Target municipalities: San Manuel Chaparrón: 25.38% Jalapa: 43.33% San Luis Jilotepeque: 61.28% Mataquescuintla: 40.77% Quezada: 45.71% El Progreso: 35.64% Santa Catarina Mita: 48.10% Asunción Mita: 17.14% Agua Blanca: 45.71%	1,040 municipal technical staff, leaders and members of local communities were included in the activities, covering 814 males and 226 females. San Manuel Chaparrón: 38.46% Jalapa: 64.29% San Luis Jilotepeque: 23.08% Mataquescuintla: 33.33% Quezada: 45.24%	>=100% in the municipalities of San Manuel Chaparrón, Jalapa, Asunción Mita and San Rafael Las Flores		On the way to being reached. During the 2016-2017 period, the project, together with local partners such as the National Forestry Institute, carried out more than 30 capacity-building activities. 10% was obtained increase in the knowledge of those evaluated in the 2016 period and there was a decrease in the capacities in the last evaluation of 2018.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
		Flores: 30.77% -Casillas: 56.41%	San Rafael Las Flores: 40.77% Casillas: 66.41%	El Progreso 20.51% Santa Catarina Mita: 35.71% Asunción Mita: 19.05% Agua Blanca: 45.24% San Rafael Las Flores: 58.97% Casillas: 51.28%			
	Indicator 13. tCO2-e captured through the rehabilitation of the mountainous rainforest.	30,130.8 tCO2-e	-25,679 tCO2	The project has thus achieved a total of 38,021.2 tCO2-e of avoided emissions	148%		The target has been achieved. During the 2017-2018 reporting period, 6,642.6 tCO2-e were avoided as a result of the protection of 555.40 ha of wet forest. The project has achieved a total of 38,021.2 tCO2-e of avoided emissions from a total of 3,179.03 ha of wet forest protected using the Natural Forest Protection in Pilot Region 2 under the forest incentive programs PROBOSQUE and PINPEP.
	Indicator 14. Number of protected areas through national forest incentive programs, under the modality of forest management for protection (considered as REDD+ practice) for a period of 5 years for the region pilot 2	0	Target: - 1,012 ha	5,761.547 ha of humid forest	569%		

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
	Indicator 15. Income / Gross contributions (US dollars) for the payment of forestry incentives under the modality of forest management for protection, and that contribute to the reduction of emissions during a period of 5 years, for the pilot region 2 (Huehuetenango)	0	\$702,540 USD (281,016 VCUs)	\$1,281,762.40 USD	182%		The current indicator 15 differs from the indicator presented in the project's results framework. This change was approved by the Technical Committee and the Project Board on October 24, 2017.
	Indicator 16. Number of key species by biological groups (amphibians and plants) present in the project area.	- Amphibians: 8 <i>(Plectrohyla tecunumani, Bolitoglossa nussbaumi, Pseudoeurycea rex, Plectrohyla hartwegi, Dendrotriton cuchumatanus, Bolitoglossa hartwegi, Plectrohyla ixil, Craugastor lineatus)</i> - Plants: 11 <i>(Pinus hartwegii,</i>	Amphibians: 8 Plants: 11	The populations of 11 plant species and the 8 species of amphibians that are being monitored within the framework of the project, they remain stable	100%		Target achieved. MARN and CONAP, with the support of the project through the Universidad del Valle, designed a community biological monitoring system for the wet forest in the Pilot 2 region, particularly in the areas where Conservation agreements have been established, which include the forest areas of the project in the micro basin and lagoon in Magdalena, Chiantla; San Jos and San Francisco, Las Flores, Chiantla; Municipal Regional Park of Todos Santos Cuchumatán ; La Floresta, San Pedro Soloma (Cerro Cruz Malt n), which is being developed jointly with CONAP and with the active participation of the communities that are part of the conservation agreements.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
		<i>Pinus pseudostrobus,</i> <i>Pinus ayacahuite,</i> <i>Alnus jorulensis,</i> <i>Alnus firmifolia,</i> <i>Arbutus xalapensis,</i> <i>Cupressus lusitanica,</i> <i>Juniperus standleyi,</i> <i>Abies guatemalensis,</i> <i>Quercus sp.,</i> <i>Budleya nitida)</i>					
	Indicator 17. Change in the capacity of municipal staff and members of the community, as measured by capacity development indicators.	Municipalities: -Santa Eulalia: 33.33% -Chiantla: 50.00% - San Pedro Soloma: 33.33% -San Juan Ixcay: 38.10% -Todos Santos Cuchumatán: 73.81% OSC: -ASOCUCH: 64.10% - ICUZONDEHUE: 66.67% - ASILVOCHANCOL: 64.10%	Municipalities: Santa Eulalia: 43.33% Chiantla: 60.00% San Pedro Soloma: 43.33% San Juan Ixcay: 48.10% Todos Santos Cuchumatán: 83.81% OSC: ASOCUCH: 74.10% ICUZONDEHUE: 76.67% ASILVOCHANCOL: 74.10%	Municipalities: Santa Eulalia: 33.33% Chiantla: 61.90% San Pedro Soloma: 30.95% San Juan Ixcay: 52.38% Todos Santos Cuchumatán: 59.52%			On the way to being achieved. This information is derived from the preliminary results of the Capacity Scorecard evaluation tool, July 2018.

Outcome	Indicator	Baseline value	Target	Value reached	Percentage of execution	Classification of achievement	Justification for classification
		-ACODIHUE: 80.00%					

3.2.3 Assumptions and Risks

Risks	Level*	Mitigation Actions
1. Uncertainty on the support of the Government to the project in the Future	M*	The project, with the support of the UNDP Country Office, will maintain the interest of government officials in keeping them informed about the development of the project progress and its results through the use of different resources (for example, Steering Committee meetings, learning & knowledge exchange processes, and field visits). The strategy of Component 1 of the project includes the strengthening of coordination mechanisms among the key government agencies (MARN, CONAP, INAB, MAGA, and ANAM) for environmental management that will help maintain their support for the project. The project will also take advantage of the great interest in the project and long history of FUNDAECO in the western region of Guatemala to promote SFM the conservation of BD among officials and communities' premises in the department of Huehuetenango. Most of the Municipalities that have benefited from the project interventions have addressed the issue in a more conscious way.
2. Limited preparation of the Government for SFM/REDD+	M	The project has partially mitigated this risk through the strengthening of forest governance at the level of municipalities that have benefited from project interventions that have included development of regulatory frameworks and management and control capabilities. Likewise, the project has trained in SFM and SLM methodologies for their adoption for better conservation and sustainable use of the BD. In addition, the project has coordinated the training in REDD+ and the efforts of the Government of Guatemala ((R-PP / FCPF / BID) to implement activities that have contributed to improve its preparation.
3. Uncertainty regarding the property and rights of use of Soil	A	In order to reduce the risk related to lack of clarity regarding the rights of ownership and use of forest resources, the project will respect all existing forms and norms that guarantee these rights, including the customary / traditional rights of the indigenous communities and the rights of the local population to use municipal and communal forests. In those cases, in which there is little clarity or conflict regarding the rights of ownership and use, the project will assume a conciliatory attitude in order to arrive at the best possible solution for all parties, without compromising the achievement of the results of the project. Reducing this risk is particularly critical to achieving the objectives of REDD+ pilot projects; The project will have the support of an expert in the prevention and resolution of conflicts at the community level to reduce this risk. During the initial phase of the implementation of the REDD+ pilot project, legal support will be given on property rights on the reduction of GHG emissions in order to receive the corresponding benefits and resolve the possible conflicts on property rights over emissions reductions or access mechanisms based on performance payments, particularly in the case of a municipal jurisdiction program which will cover land with different forms of ownership and possession of forests.
4. Damage to forests and the loss of forest cover because of CC	M	The risks related to CC may include very intense summers or torrential rains associated with tropical storms. This could lead to deforestation, including changes in plant communities, land cover due to landslides, and accelerated soil loss. Project activities for SFM/SLM will result in increased and growing forest cover, as well as healthier forests (e.g., diversity of age groups and improved resilience for regeneration) that make them more resilient to CC. In addition, there will be greater protection of soils and the regulation of water cycles that will generate stable microclimatic conditions with benefits for their associated species and forests, as well as the reduction of the vulnerability of human populations to the CC. The project will also

Risks	Level*	Mitigation Actions
		promote connectivity between the forest blocks and conservation areas in the department of Huehuetenango, improving the resilience of the BD to the CC by increasing the mobility of the species and providing refuge against the temperature changes.
5. Lack of participation/involvement of local actors, including land users	B	Guatemalan legislation (Legislative Decree 11-2002, Law on Development Councils, which was passed after the 1996 Peace Agreements that ended a 36-year civil war) requires the participation of local actors in all land use planning processes. The project will ensure that the COMUDES, which represent indigenous and non-indigenous populations and the private sector, participate and contribute to the local planning processes to be promoted by the project. In addition, the project will bring multiple benefits to local actors, including economic incentives for SFM, technical assistance for the production of sustainable agriculture, efficient use of firewood and development of capabilities, among other benefits, that will motivate them to participate in the project. Finally, the project has designed a stakeholder participation plan through which local stakeholders will participate in the different phases of the project execution, which includes the planning, the execution of the specific activities of the project, and the monitoring and evaluation
6. Local actors do not grant CLPI	B	As expressed in Convention 169 of the International Labor Organization (ILO), the principle of "free, prior and informed consent" (CLPI) applies in cases where indigenous territories are affected by an intervention. All project activities involving indigenous territories will be developed on the basis of the principles of CLPI and in accordance with the conventions of which Guatemala is a signatory (Guatemala ratified the ILO in 1996), and with the national laws regarding the participation of indigenous peoples and local communities (e.g., the Municipal Code). In addition, the project will follow all the related considerations that will be included in the National REDD+ Strategy that will be developed by the Government of Guatemala, and which are currently outlined in the R-PP. To obtain CLPI, the project will be based on the local consultations that were developed during the PPG phase, especially in the department of Huehuetenango, where the majority of the population is indigenous, and will be supported by FUNDAECO and INAB who have a long experience working with local communities.
7. Uncertainty about the continuation of PINFOR beyond 2016	M	PINFOR is an instrument of the National Forestry Policy, which began operating in 1997 and will be in force until 2016. The INAB Board of Directors is preparing a legal proposal for the continuation of PINFOR beyond 2016. This proposal is expected to be submitted to the Congress of the Republic for final consideration in 2013. Given that the project will work closely with INAB, a follow-up of this process will be possible. The project will give priority to the presentation of proposals to PINFOR during its first two years of implementation to access the related incentives before 2016. In the event that the PINFOR is not extended, the project will continue working with the PINPEP incentive which does not expire.

* B = Low; M = Medium; A = High.

3.2.4 Lessons learned from other relevant projects incorporated in the design of the Project

The project has been designed in accordance with the GEF investment guidelines for SFM/REDD+ in order to ensure multiple environmental benefits and it was the objective of the project to

implement SFM/REDD+ measures to address threats to forests in the west and southeast where deforestation rates are high, mainly due to the expansion of the agricultural frontier and unsustainable production practices.

Likewise, the design of the project has been closely aligned with the strategic considerations set out in the original PIF, changes that were identified as opportunities for improvement for the expected products as a result of the execution of the project were included. These changes included, for example, an increase in the number of BD and forest conservation agreements between municipalities and farmers/ranchers associations that facilitate the application of two incentives (PINPEP and PINFOR) To maintain forest cover, an increase of three to 15 municipal development plans incorporates SFM/REDD+ and SLM principles and their implementation measures. The planning of the project allows adjusting the amount of hectares of different activities in a way that approaches a context more closely linked to the national reality.

3.2.5 Planned stakeholder participation

For its execution, the project was supported by government partners such as: The Ministry of Environment and Natural Resources -MARN-, the National Council of Protected Areas -CONAP- and the National Institute of Forests INAB. Additionally, it relied on two types of strategic partners: 1) co-financiers: Global Fund for the Environment -FMAM-, Foundation for Ecodevelopment and Conservation -FUNDAECO-, Foundation for the Integral Development Integral of man and the environment -CALMECAC-, United Nations Program for Development -PNUD-, Municipality of Santa Eulalia, Municipality of Todos Santos Cuchumatán and Municipality of San Juan Ixcoy and 2) Key Actors: Ministry of Agriculture, Livestock and Food -MAGA-, Secretariat of Planning and Programming of the Presidency -SEGEPLAN-, municipalities, Municipal Development Councils -COMUDES-, Community Development Councils -CODEDES-, local communities, Private Sector and Organizations of the Company, Inter-American Development Bank (BID). From the beginning, the German Development Bank (KfW) was also included, whose participation and start of financing was delayed until the last stage of project implementation.

3.2.6 Repetition approach

The project design foresaw its replicability at several levels. Thus, for example, at the local level SFM/SLM plans for the upper and middle sections of two (2) hydrographic basins associated with dry forests and the Ayarza Lagoon will have the potential to be replicated in other basins of the southeastern region that will not benefit from the GEF alternative. In addition, the incorporation of the principles of SFM/REDD+ and SLM (and their implementation measures) in the development plans of 15 municipalities have the potential to be replicated in a maximum of 38 municipalities of the departments of Jalapa, Jutiapa and Santa Rosa, as well as in three other departments (Zacapa, Chiquimula and El Progreso) that are part of the dry corridor of Guatemala and that includes areas of the Southeast region with extreme risk, with very high drought. In the western region, the BD conservation criteria (connectivity of ecosystems and buffer zones of PAs) and sustainable agriculture/livestock practices will be incorporated into the development plans of five municipalities, with a potential replication of similar efforts for a maximum of 32 municipalities in

the department of Huehuetenango, contributing to the conservation of the BD and mountainous rainforest and lowland tropical forests of the country's most biologically rich regions.

At the national level, the development of institutional capacities that will be established as part of the project will facilitate the replicability of similar initiatives in other regions of Guatemala. In particular, the development of a GIS mapping tool for the municipal level will facilitate the incorporation of SFM/SLM and the conservation of the BD in its plans, using the lessons learned and the experience gained through the elaboration of these plans in the municipalities prioritized by the project in the south-east and west regions. Here there is a sustainability risk factor, since with the elections for mayors, the change of personnel is very frequent in all its levels, that a new authority is elected, which will affect the Units of Environment and Natural Resources of the municipalities that have benefited from project activities.

Likewise, the development of SFM/REDD+ projects at the municipal level is potentially replicable throughout the territory of Guatemala. By incorporating the principles of sustainable forest management and REDD+ into municipal development plans, by strengthening the municipal forestry offices and the collaboration of municipalities with national institutions such as SEGEPLAN, INAB, CONAB, MARN and MAGA and local organizations, they could implement REDD+ projects based on improved local forest and municipal governance. By reducing deforestation, successful REDD+ projects will generate additional economic resources that, on the one hand, would make REDD+ projects more viable and, on the other, encourage their replication in municipalities or groups of municipalities, which have not yet developed REDD+ initiatives.

The project was expected to make important contributions by generating lessons learned that will facilitate the replication of similar initiatives in other municipalities of the country, even at, international level, in other countries of the Latin American and Caribbean region. The project made use of tools available from UNDP and the GEF (information networks, forums, documentation and publications, among others) for the dissemination of good practices and lessons learned, so that they can be used for the design and implementation of similar projects. Costs for the dissemination of good practices and lessons learned were included as part of the project's monitoring and evaluation (M&E) plan.

3.2.7 UNDP Comparative Advantage

The comparative advantage of UNDP for the GEF lies in its global experience in the formulation of comprehensive development policies, institutional strengthening and the participation of the non-governmental sector and communities, as specified in the comparative advantages document of GEF agencies (GEF/C.31/5rev.1). UNDP assists the Government of Guatemala in the promotion, design and implementation of activities that are consistent with GEF mandates and national sustainable development plans. Equally, a comparative advantage is its global network of offices in the different countries at regional and global level that accumulate expertise, good practices and lessons learned and systematized in similar projects.

UNDP has been identified as the right Implementing Agency by MARN based on its proven work experience in multiple GEF BD projects and also has extensive programming experience in Guatemala, providing technical support, financial, administrative and management for the project as required. UNDP is well positioned at the governmental level in Guatemala.

3.2.8 Links between the project and other interventions within the sector

This project will complement the activities of the CCAD-PNUD-UNEP/GEF-GTZ project Regional establishment of a Program for the Consolidation of the Mesoamerican Biological Corridor (PCMBC), which is an effort by the seven Central American countries, such as Guatemala and Mexico, to provide technical assistance to governments and communities in the application of the eco-systemic approach to conservation and the sustainable use of natural resources by the CBD. This project will incorporate the lessons learned by the PCMBC that are related to forest management and the promotion of the sustainable management of the territory, information and monitoring of biodiversity, conservation and development programs and sustainable practices. In addition, it will incorporate the lessons learned from the GEF-UNDP project Consolidation of a System of Municipal Regional Parks (PLM) in the Western Plateau of Guatemala, regarding the application of municipal forest conservation and community and management activities, sustainable agricultural practices in mountain ecosystems, and processes related to inter-institutional coordination and cooperation, and the monitoring and follow-up of project activities. This project will also coordinate actions with the GEF-UNDP project Promotion of ecotourism to strengthen the financial sustainability of the Guatemalan Protected Areas System (SIGAP). This project is currently under implementation (year 1) and has as its geographical area of action the PAs in mountainous landscapes in the west, including Todos Santos Cuchumatanes in the department of Huehuetenango. The executing agency is CONAP, which will also be involved in the implementation of BD conservation activities here proposed for the western region. This will facilitate the exchange of information and lessons learned between the two projects.

The project will also coordinate actions with the Adaptation Fund project of the UNFCCC Landscapes resilient to climate change and strengthening socio-economic networks in Guatemala. The objective of this project is to increase the resilience capacity to climate variations in the productive landscapes and socioeconomic systems of the five pilot municipalities in the central highlands, which are threatened by CC. The Adaptation Fund project will have UNDP and MARN as its implementing partners, which will facilitate the exchange of information and lessons learned. Similarly, the project will coordinate actions with the Bosque Seco Project - KfW; This initiative and the GEF project proposed in this document are complementary efforts within the framework of the management of MARN for the southwestern region of Guatemala, which will facilitate the exchange of information and lessons learned between the two projects. Finally, the project will also strengthen the measures that are being adopted in the department of Huehuetenango, in relation to the Partnership Fund for Critical Ecosystems for the conservation of threatened BD species.

3.3 Project Execution

3.3.1 Adaptive Management

The project is executed under the Direct Implementation Modality (DIM), through UNDP as the GEF Implementing Agency; project cycle management services, in accordance with UNDP standards and norms, which provides the maximum instance of general direction is carried out through the Project Board, which is the highest decision-making body. It is made up of the UNDP as Executing Agency; the MARN. It also has a Technical Advisory Committee (CTA) in which the Ministry of Agriculture (MAGA), the National Council of Protected Areas (CONAP), the National Forestry Institute (INAB), SEGEPLAN, INE, FUNDAECO participate. The operation of the implementation is carried out by the Project Management Unit (PMU) integrated by a technical and fiduciary team.

Regional and local coordination has been carried out through a project technician in the southeastern region and in Huehuetenango through FUNDAECO and INAB. These have been effective for the management of the activities, at the same time they are well qualified by the local partners: municipalities and organizations.

The planning has been carried out through annual operating plans (AOP) prepared by the PMU and endorsed by UNDP. The start of the project denotes a gap in what makes the project focus on results, since in the quarterly reports it lacks detailed planning in the cycle of each activity and its critical path and logical relationship. between activities. This is evidenced by the estimated budgets and the actual executed (disbursement curve). In general, it can be seen that this gap is being corrected as the project progresses to achieve the goals. The lack of the monitoring function is evidenced in the presentation of the initial quarterly reports, which becomes a weakness for a better performance of the management team.

There was flexibility in having an adaptive management policy which took into account the project's risks and favored the integral management of the project towards the achievement of the results. In this sense, decision making is considered proactive, since it seeks to manage risks and reduce bottlenecks to be more efficient and effective. Some of the adaptations made with the provisions of the PRODOC considered: 1) the integration of the INE in matters of environmental statistics, 2) the extension of the number of municipalities that benefit from the equipment; 3) adjusting indicators to fully reflect changes in social, environmental and political conditions in order to achieve the proposed global environmental benefits.

3.3.2 Agreements of associations

The inter-institutional agreements established with Municipalities, NGOs and public entities have established a good platform for the management of the project that has contributed to the achievement of the project's objectives. All the environment and natural resources offices of the different municipalities recognize to a greater or lesser degree the importance of the support and strengthening received through the project activities that are part of the agreements signed.

In general, within the national forest institutional framework, it is considered that adequate alliances have been developed, both with the direct stakeholders (municipalities, COCODES, COMUDES, CODEDES) and with other tangential agents (MARN, INAB, CONAP, INE, SEGEPLAN) and in a lesser way with MAGA.

The intervention of the project in a general way has promoted the public participation and awareness in the topic of soil conservation, natural regeneration management and conservation of the forest cover, which is reflected in the progress of compliance with the project indicators. Both the municipalities and the individuals and community groups have participated in PINFOR and PINPEP projects; and conservation agreements.

With SEGEPLAN, it has been effectively coordinated so that the environmental axis could be included in the PDMs. In general, local and national governments support the objectives of the Project, although feedback and maintenance of the structures proposed in the PRODOC is required to facilitate those direct actors to take an active role in the decision making of the Project. In general, an interest of the direct actors in their participation in forest management activities is perceived.

3.3.3 Feedback of activities to be used for adaptative management

A good management decision of the Project Coordination was the integration and participation of other actors through micro agreements. -capital, in this way, CATIE, Fundación Solar, AGEXPORT, UVG, ADA2 and FCG participated; as well as community organizations contributing benefits to the project. The increase in the 2107 budget for the Component was thanks to the financing managed through the micro-capital agreements, which represent 78.85% of the budgeted resources for that component and 46.66% of the total budget of 2017. However, it should be noted that the participation of the private sector in project activities could have been exploited even earlier.

In addition to the above, the scheme was complemented with a micro-donation system to support communities in the implementation of actions to strengthen, the implementation of basin plans and increase resilience to climate change; which has the methodology, the call, foundations, offers received and the processes of approval and financing thereof.

3.3.4 Project financing

As identified during the MTR, the financial controls established by UNDP have been followed, which allowed the project management to make decisions based on accurate and relevant information about the projects. budgets and their execution. The system is transparent and complies with international standards auditing mechanisms, so that the evolution of the execution can be observed and reported in real time for those who are linked to the management of this type of systems and information. The evaluator has demonstrated an efficient level of financial management of the project. The financial manager of the Management Unit has detailed records on budgets, disbursements and expenditures for the project as required by UNDP internal standards. According to the last financial report of progress of the UGP (09/30/2018) for the year 5 is 80% and the cumulative of the project is 95% leaving a balance to execute of 240,159 USD until the end of the project.

Financial Planning and Execution

Throughout the project, its financial management was supported by the UNDP Office in Guatemala. Being a DIM project, it has had the guidelines that define the levels of financial authority and responsibility at different levels. Among other things, the guide determined:

- ✓ The financial rules, policies and procedures applicable to UNDP DIM projects.
- ✓ Procedures for the recording of all expenses in the combined cost report (CDR, for its acronym in English).
- ✓ Establishment of a project accounting system to keep up-to-date information on the financial situation
- ✓ The mechanisms of expenditure control and the separation of functions.
- ✓ A system for managing outstanding obligations.
- ✓ The procedures for making payments and supervising the performance of contractors.
- ✓ The procedures for the elaboration and approval of the budgets.
- ✓ Implementation of the framework for internal control

It is important to note that most of the interviewees have described the management of financial resources by the PMU as efficient and transparent. In some cases, there were delays that did not affect the normal development of the activities of the POA, so with this evidence the evaluator observes that the financial management carried out by the PMU has responded satisfactorily to the demands of the project and the key entities.

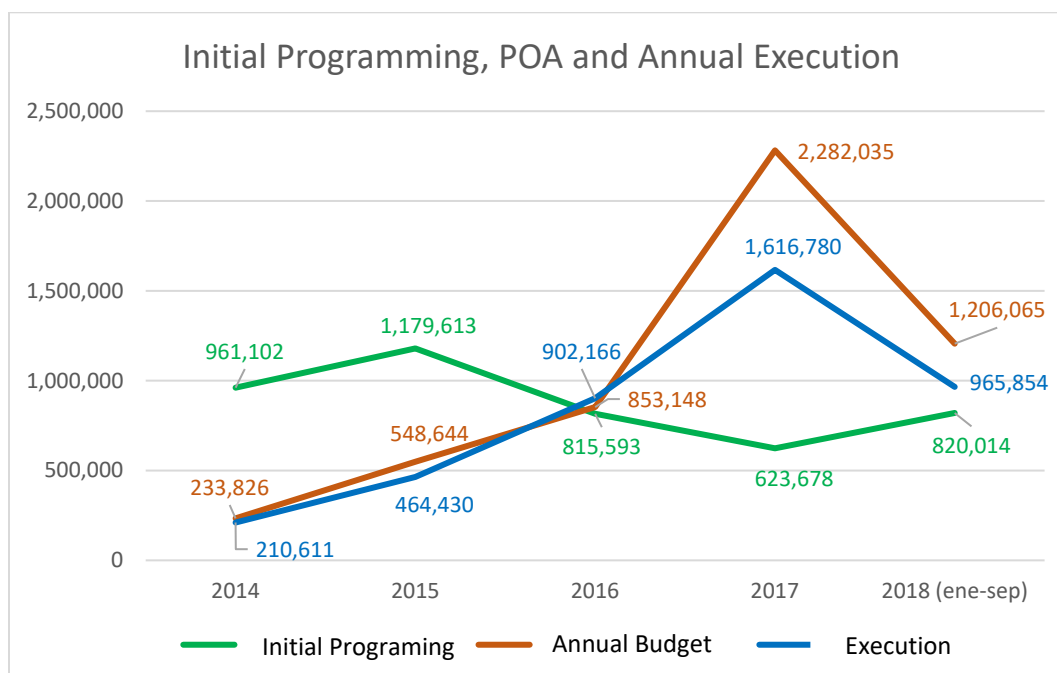
The PRODOC contained an estimate of project expenditures, where the GEF funds amounted to US\$ 4,400,000.00, while the counterpart of the Guatemalan government and additional counterparts of the Municipal Governments was US\$ 614,404.00 and the NGOs whose contribution was essentially in kind and committed through letters. The estimated expense, the annual POA and its execution per year are shown in the following figure:

Management	Initially Planned	Annual Budget	Execution	%
2014	961,102	233,826	210,611	90%
2015	1,179,613	548,644	464,430	85%
2016	815,593	853,148	902,166	106%
2017	623,678	2,282,035	1,616,780	71%
2018 (Jan – Sep)	820,014	1,206,065	965,854	80%
Total	4,400,000	5,123,718	4,159,841	95%
Saldo por ejecutar			240,159	

Source: Financial Area UGP (data as of 09/30/2018)

In the following graph you can see the financial management curve, where the first few years there is a large gap between what was programmed and the real execution; the inflection point to execute more than what was programmed is given during the last two years, which was when the project recorded execution levels that exceeded the threshold imposed by the annual budgets, which could indicate that a balance of the financial execution was achieved.

Figure 6: Estimated expenditure, annual budget and annual execution

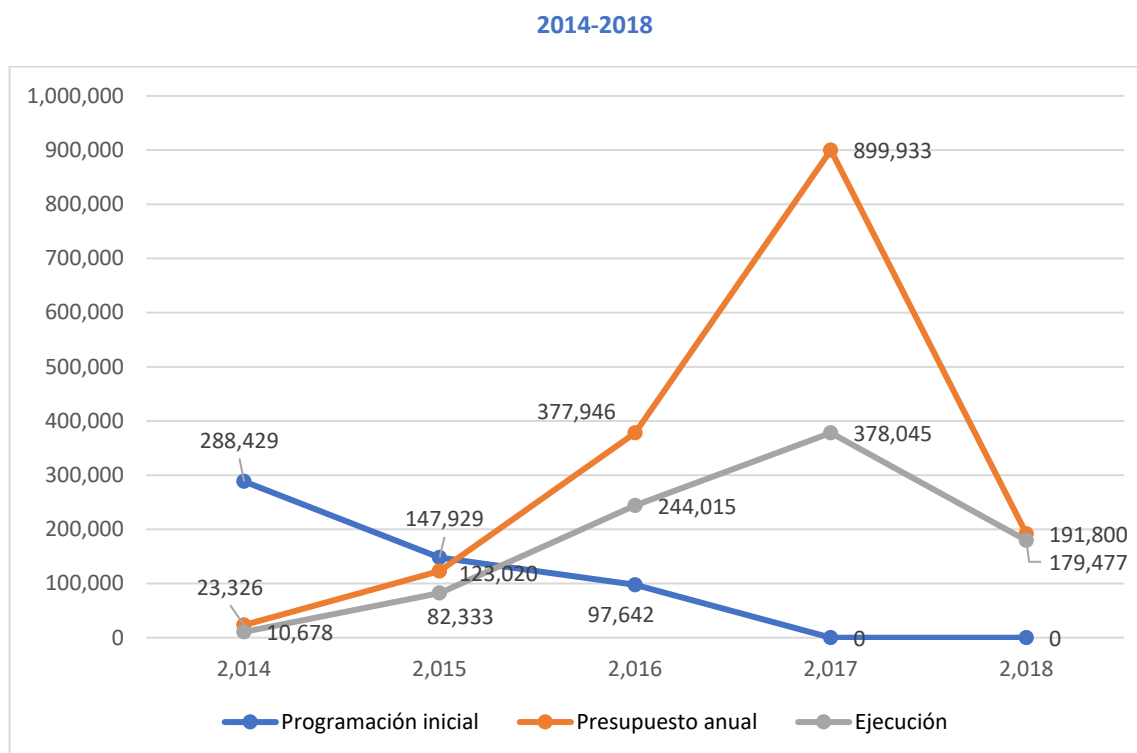


Source: Financial Area UGP (data as of 09/30/2018)

Programming, annual budget and budgetary execution of component 1. 2014-2018

Regarding Component 1 in 2017, the annual budget was increased by more than 250%, initially budget was of US\$ 623,678.00 and the execution was of US\$ 1,616,780, which were managed, among others, through the micro-capital agreements, which represents 78.85% of the budgeted resources for that component and 46.66% of the total budget for 2017. In 2018, according to the PRODOC, component 1 had an allocation of 0, and according to the AOP, US\$ 231,875 of which US\$ 188,481.10 was disbursed (as of August 31).

Figure 7: Programming, annual budget and budgetary execution of component 2 (includes M&E).



For 2018, according to the PRODOC, Component 2 had US\$ 768,941 of allocation, according to the AOP of US\$ 959,557 and what was executed as of September 30 is US\$ 742,052.

Co-Financing

Co-financing is a GEF tool to determine the investments that institutions make in the territories based on the formal commitments that have been reflected in letters of intent, and on this basis, evaluate the amounts of additionality, which are granted by the GEF. The UGP does not request a financial statement or breakdown of the same, only there are letters that the institutions extend to the middle term and at the end of the project, which show how they have honored their commitment to the project. It is important to point out in this sense that the UNDP has no obligation to perform audit/financial verification functions to the entities that committed contributions, either in financial resources or in kind.

3.3.5 Follow-up and Evaluation: design of input and execution (*)

A series of methodologies and tools have been implemented that have been previously designed by UNDP and for projects financed by the Global Environment Fund (GEF for its acronym in English). For the application of all the methodologies, a broad participation of the main actors involved both within each partner institution and as actors directly and indirectly related to the sustainable management of the forest was ensured⁵.

⁵ García-Barrios, F. (2018). First Phase: Final Evaluation. Update of Score Cards and Monitoring Tools: Supplies for the Final Evaluation.

For the compilation and analysis of information related to the evaluation of the development of institutional capacities, a scorecard was used, which is based on the guidelines of Bellamy, J., and Kevin, H. (2010). This tool allows obtaining results on the i) ability to acquire commitments and develop actions, ii) capacity to generate, access and use of information and knowledge, iii) capacities for the development of Strategies, Policies and Legislation, iv) Capacities for Management & Implementation, and v) Capacity for Monitoring and Evaluation.

Likewise, group discussions and/or individual interviews were developed based on the pre-established formats for UNDP projects financed by the GEF to complement the data collected with the previously indicated instrument.

Each CR is qualified with indicators (e.g. Existence of an Environmental Education Program) and each indicator has categories that make up the rating system that is valued from 0 to 3, with the highest value being the one that shows the degree of compliance of each indicator (e.g. Environmental Education Program developed and under implementation). The indicators used for the final evaluation are the same used for the survey of the baseline and a half term, which allowed observing the progress and comparing the change.

To update the monitoring tools on biodiversity objective 2, soil degradation, mitigation to climate change and sustainable management of forests with the REDD+ component, the Monitoring tool guide was applied on the biodiversity focal area for the GEF project cycle 3,4 and 5 (UNDP-GEF (a), 2011)⁶, the Soil Degradation Guide⁷, the mitigation guide to climate change⁸, and the Guidance on sustainable forest management with the REDD+ component⁹.

Institutional skills scorecard sheets ¹⁰

The number of people involved in the evaluation of capacities at the end of 2018 for institutions with national coverage totals 8 individuals, increasing the participation with respect to the baseline, where the evaluation of 4 individuals was included. On the other hand, the number of people involved in the evaluation of institutional capacities at the end of 2018 for pilot area 1 and pilot area 2 total 26 people, similar to the participation of 28 individuals during the baseline.

The following table shows first the results obtained from the five capabilities results/outcomes (CR) during the evaluation of the Medium Term and then the table of the first phase of the end-of-project evaluation is presented. The evaluated institutions belong to the structure of the central

⁶ can be obtained from the link:

<https://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF%20BD%20Tracking%20Tool%20Guidelines.doc> or from, https://www.thegef.org/gef/BD_tracking_tool

⁷ <https://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF%20LD%20Tracking%20Tool%20Guidelines.doc>

⁸ <https://www.thegef.org/gef/sites/thegef.org/files/documents/document/Adaptation-tracking-tool-2014.xlsx>

⁹ https://www.thegef.org/gef/sites/thegef.org/files/documents/document/GEF_SMF_TT_Guidelines.pdf

¹⁰ This chapter presents in a succinct way the results of the work of the application of the scorecard tool of institutional capacities applied by the Consultant F. Garcia-Barrios (2018). Because of the length of the report, the evaluator has modified several parts of the report without altering the substantive results thereof.

government, so they have been identified for purposes of this evaluation as institutions with national coverage.

Table 2: Comparison of the Ratings of the evaluation of CRs of institutions with national coverage (RMT & RF)

Stakeholder	INSTITUTIONS WITH NATIONAL COVERAGE (mid-term)				
	CR1: Capacity to acquire commitment and develop actions	Capacity to generate, access and use information and knowledge	CR 3 capacity to develop Strategies, policies and laws	CR 4 Capacity to manage and implement	CR 5: Monitoring and Evaluation Capacity
Central Government					
INAB	78%	67%	78%	67%	50%
CONAP	78%	67%	67%	50%	33%
MAGA	67%	67%	78%	67%	50%
MARN	67%	67%	56%	67%	67%
SEGEPLAN	67%	25%	78%	67%	33%
INE	33%	17%	22%	0%	0%

Stakeholders	INSTITUTIONS WITH NATIONAL COVERAGE				
	CR 1: Capacity to make commitments and develop actions	CR 2: Capacity to generate, Access and use information & knowledge	CR 3: Capacity to develop strategies, policies and legislation	CR 4: Capacity to manage and implement	CR 5: Monitoring and Evaluation Capacity
Central Government					
INAB	78%	67%	78%	67%	50%
CONAP	78%	67%	67%	67%	33%
MAGA	67%	75%	67%	67%	67%
MARN	67%	67%	67%	67%	67%
SEGEPLAN	67%	25%	89%	67%	67%
INE	33%	17%	33%	0%	0%

Source: García-Barrios, F. (2018). First Phase: Final Evaluation. Update of Score Cards and Monitoring Tools: Supplies for the Final Evaluation.

This indicates that the information related to the management of sustainable management of forests and soil, as well as biodiversity and climate change is limited and there are no mechanisms to update and exchange this information with the competent authorities. The areas that show more strengths are: Ability to acquire commitments and develop actions, Capacities for the development of Strategies, Policies and Legislation (e.g. for SEGEPLAN the project supported the realization of Municipality planning instruments in 10 municipalities -PEI/POM/POA- and the generation of the municipal ranking at the national level), and Capacities for Management Implementation.

The most strengthened institutions on issues related to the management of sustainable management of forests and soil, biodiversity and climate change are: INAB, CONAP, MAGA and MARN. This indicates that the INAB based on its mandate possesses legitimacy in its institutional functions and leads coordination processes with other stakeholders involved in forest management. Possesses, manages and exchanges information and knowledge about forest management. This has allowed the institution to have a policy, planning and legal framework that enables it to facilitate

and coordinate actions at the national level on its institutional functions. These capabilities are reflected, perhaps not in an ideal scenario, but have a stable technical, financial and technological capacity. The project supported the expansion of institutional capacities in terms of access and implementation of forest incentive programs (PINFOR/PROBOSQUE and PINPEP), through printing and assistance in the dissemination of information related to such programs.

The strengths that it showed indicate an institution with management capacities, exchange and access to information on sustainable forest management, with basic technical and budgetary capacities to attend the forest management, it has a framework Policy, regulatory and planning that supports the theme, however, it has a weak monitoring and evaluation system linked to sustainable forest management. Finally, the MARN shows its main strength in the Capacities for the development of Strategies, Policies and Legislation, and the project support in the updating of the National Action Program to Combat Desertification and Drought (PROANDYS), and the design of regulations for the implementation of articles 19 (Compensation of emissions), article 20 (Reduction of Emissions due to change in land use) and Article 22 (carbon markets project).

Key barriers affecting the institutional capacities of stakeholders include:

Topic	Stakeholder
Outdated and non-shared information	MARN, INE, SEGEPLAN
Information is partially used for decision-making and for the formulation of policies and plans	INAB, CONAP, MAGA, MARN, INE, SEGEPLAN
Monitoring and evaluation system incipient and weak	MARN, INE, SEGEPLAN
Non-articulated planning system for the integration of forest, soil, biodiversity, and climate change themes	MAGA, MARN, INE, SEGEPLAN
Limited financial mobilization to address the issue of sustainable forest and soil management.	INAB, CONAP, MAGA, MARN, INE, SEGEPLAN

Table 3 shows the ratings of the capacity assessment of another group of actors with which the Project is supported to carry out its interventions in the pilot area 1, considering them for purposes of this evaluation as institutions. with local coverage. The actors are mainly local governments in the Departments of Jalapa, Jutiapa and Santa Rosa.

Table: Comparison of Ratings of the evaluation of CRs of institutions in the Pilot Area 1 (RMT & RF)

PILOT REGION 1, DEPARTMENTS OF JALAPA, JUTIAPA & SANTA ROSA (Mid- Term)					
Stackeholders	CR 1: Capacity to acquire commitments & develop actions	CR 2: Capacity to generate, access and use information and knowledge	CR 2: Capacity to generate, Access and use the information and knowledge	CR 4: Capacities to manage and implement	CR 5: Monitoring and Evaluation Capacity
Local Government					
JALAPA					
Monjas	33%	11%	0%	33%	0%
San Carlos Alzate	33%	50%	22%	33%	33%
San Pedro Pinula	50%	17%	11%	33%	0%
San Manuel Chaparrón	50%	25%	11%	17%	0%
Jalapa	33%	50%	56%	50%	0%
San Luis Jilotepeque	50%	25%	11%	33%	0%
Mataquescuintla	83%	25%	11%	17%	0%
JUTIAPA					
Jutiapa	33%	42%	0%	0%	0%
Quesada	56%	42%	11%	33%	0%
El Progreso	67%	58%	11%	33%	0%
Santa catarina Mita	56%	42%	11%	33%	0%
Asunción Mita	33%	17%	11%	0%	0%
Agua Blanca	44%	42%	44%	67%	0%
SANTA ROSA					
San Rafael Las Flores	67%	50%	11%	33%	0%
Casillas	100%	42%	44%	33%	0%

REGION PILOTO 1, DEPARTAMENTOS DE JALAPA, JUTIAPA Y SANTA ROSA					
Tipo de actor/Actor	CR 1: Capacidad para adquirir compromisos y desarrollar acciones	CR 2: Capacidad para generar, acceder y uso de información y conocimiento	CR 3: Capacidades para el desarrollo de Estrategias, Políticas y legislación	CR 4: Capacidades para gestión e implementación	CR 5: Capacidad de Monitoreo y Evaluación
Gobierno Local					
JALAPA					
Monjas	67%	22%	22%	50%	0%
San Carlos Alzate	67%	75%	33%	50%	33%
San Pedro Pinula	50%	17%	11%	50%	0%
San Manuel Chaparrón	83%	25%	33%	67%	0%
Jalapa	56%	83%	67%	83%	17%
San Luis Jilotepeque	67%	25%	0%	33%	0%
Mataquescuintla	83%	25%	22%	50%	0%
JUTIAPA					
Quesada	78%	50%	33%	50%	0%
El Progreso	33%	33%	0%	33%	0%
Santa catarina Mita	78%	42%	11%	33%	0%
Asunción Mita	33%	17%	11%	33%	0%
Agua Blanca	67%	42%	44%	67%	0%
SANTA ROSA					
San Rafael Las Flores	83%	50%	67%	67%	33%
Casillas	100%	50%	44%	67%	0%

Source: García-Barrios, F. (2018). First Phase: Final Evaluation. Update of Score Cards and Monitoring Tools: Supplies the Final Evaluation.

In general, for the municipalities of the Department of Jalapa it was noticed that the capacities that show strong weaknesses are: Ability to generate, access and use information and knowledge, capacities for the development of strategies, policies and legislation, and capacity for monitoring and evaluation. All the municipalities of Jalapa presented strengths in the Capacity to acquire commitments and develop actions and in capacities for management and implementation. In the case of Jutiapa, the municipalities in general presented weaknesses mainly: in capabilities for the development of strategies, policies and legislation, and capacity for monitoring and Evaluation, while their strengths are predominantly in acquiring commitments and developing actions, and in the ability to generate, access and use information and knowledge. Of the three Departments, Santa Rosa and its two municipalities supported by the Project (San Rafael, Las Flores and Casillas) showed weaknesses in general, only capacity in Monitoring and Evaluation. Their strengths are more in the capacity to acquire commitments and develop actions, capacity to generate, access and use information and knowledge, capabilities for the development of strategies, policies and legislation, and capacities for management and implementation. In the latter, all the municipalities have developed capacities, since the project directly invested in improving the installed capacities of the Municipal Environmental Management Units (UGAM) or equivalent (e.g. Municipal Forestry Office, or others), mainly in computer equipment, desks, chair, printer, forestry measuring equipment (e.g. diametric tape, GPS, hypsometer, electrical tape, fire prevention and control equipment). Likewise, the project transferred knowledge and information for the strengthening of technical capacities through the development of training on sustainable forest management (e.g. carbon markets: opportunities for REDD+, forest management and climate change, ethics, importance of forest incentives, methods of forest carbon measurement, etc.)

Analyzing the weaknesses of each group of municipalities by Department, we can see in Table 5 that, in the Department of Jalapa, the municipalities of Monjas, San Pedro Pinula, San Manuel Chaparrón, San Luis Jilotepeque and Mataquescuintla indicate common weaknesses in capabilities for the development of strategies, policies and legislation, and capacity for monitoring and evaluation. This means that their capacities in designing and planning for the sustainable management of forests, soil, biodiversity and climate change are very limited. To this is added the lack of regulations and municipal policies within the framework of these issues. This shows that forest management in these municipalities is not a priority, which results in a limited budget allocation and technical and technological resources to address this management. This results in not having a monitoring and evaluation system to analyze the management of sustainable forest and soil management. Capacity to generate, access and use information and knowledge was a weak capacity shared with the municipalities of Monjas, San Pedro Pínula, San Manuel Chaparrón, San Luis Jilotepeque and Mataquescuintla. This weakness indicates that municipalities still have scarce and outdated information on sustainable forest management. The opposite happens with the Municipalities of San Carlos Alzatate and Jalapa that, according to the results of the evaluation, have information, but it is not enough, and it is not updated. Finally, the strength for the municipalities of San Pedro Pinula, San Manuel Chaparrón, Mataquescuintla and San Luis Jilotepeque is the

capacity to acquire commitments and develop actions, which shows a legitimate process with the forest management of their jurisdictions. In addition, they have coordination mechanisms with governmental and non-governmental actors to address sustainable forest management. Another strength that was created directly by the project is the capacity for management and implementation. The support was mainly in computer equipment, desks, chair, printer, forestry measuring equipment (e.g. diametric tape, GPS, hypsometer, electrical tape, fire prevention and control equipment). Likewise, the project transferred knowledge and information for the strengthening of technical capacities through the development of training on sustainable forest management (e.g. carbon markets: opportunities for REDD+, forest management and climate change, ethics, importance of forest incentives, methods of forest carbon measurement, etc.). The municipality of Jalapa is the only one of the Department that has strengths in the capacities to generate, access and use of information and knowledge, capabilities for the development of strategies, policies and legislation, and capacities for management implementation. This indicates that this municipal corporation has decided to prioritize forestry and environmental management in general in order to implement its municipal policies and plans associated with the management of natural resources, with basic and relatively up-to-date information. These capacities have allowed the municipality to allocate financial and technical resources to strengthen the UGAM, as well as taking advantage of the support that the Project has given to the UGAM.

In the case of Jutiapa, the municipalities of Jutiapa, El Progreso, Santa Catarina Mita and Asunción Mita, show very low weaknesses in the following capacities: development of strategies, policies and legislation, and monitoring and evaluation. This implies that the municipalities do not have a municipal policy that includes the subject of sustainable forest management and soils; therefore, they do not have an associated planning nor a monitoring and evaluation system for such purposes.

The capacities to generate, access and use information and knowledge showed improvement in the municipalities of Jutiapa, Quezada, San Catarina Mita and Agua Blanca since they have information related to forests and soil, however, the information still presents outdated data and is not used for decision making. With respect to the capacity to acquire commitments and develop actions, the municipalities of Agua Blanca, Santa Catarina Mita, and Quezada presented a result that shows that forest management is a process towards consolidation in the coordination with actors within their jurisdictions. For example, these municipal corporations are coordinating efforts with local organizations (e.g. MARN, INAB, CONAP, MAGA, COCODES, COMUDES, among the main ones). Otherwise it happens with the municipalities of El Progreso and Asunción Mita where said capacities show institutional limitations that have not allowed it to coordinate with institutions to attend actions on sustainable management of forests and soil. Of this group of municipalities, the most strengthened is the Municipality of Agua Blanca which shows strengths in 1, 2, 3, and 4 CRs evaluated. These capacities are: Ability to acquire commitments and develop actions, capacity to generate, access and use of information and knowledge, capabilities for the development of strategies, policies and legislation, and capacities for management and implementation. These municipalities also received the equipment and training received by the other municipalities of Jalapa.

Finally, the San Rosa Department group is the most strengthened group of municipalities in the three Departments evaluated. The strengths found in the municipality of San Rafael las Flores are the capacity to acquire commitments and develop actions, capacity to generate, access and use of information and knowledge, capabilities for the development of strategies, policies and legislation, and capabilities for management implementation. This shows that the municipality has led a legitimate process and coordination with local entities (e.g. INAB, MARN, MAGA, etc.) that has allowed them, through the OFM, to initiate sustainable forest management processes. Likewise, they have updated basic information on environmental management (partially includes forest management issues). However, the municipality shows a weak CRs which are: Capacity for Monitoring and Evaluation. The same municipal management pattern occurs with the municipality of Casillas. Both municipalities have expanded their capacities because they have taken advantage of and empowered the support provided by the project (e.g. computer equipment, equipment for prevention and control of fires and various training on sustainable forest management).

The most evident barriers affecting the institutional capacities of stakeholders are:

Aspect	Stakeholder
Lack of political interest in forestry, soils, biodiversity and climate change	In all the municipalities, except Jalapa, Casillas and San Rafael las Flores.
Scarce inter-institutional coordination with local actors	Most weak in Monjas, San Carlos Alzatate, Jalapa of the Department of Jalapa, and Mita Assumption, Jutiapa.
Outdated and non-shared information	In all municipalities, except Jalapa, Casillas and San Rafael las Flores.
Information is partially used for the taking of decisions and for the formulation of policies and plans	In all municipalities
Specialist personnel on forestry issues is not adequate	In all municipalities
Monitoring and evaluation system and incipient	In all municipalities
Scarce financial allocation for management issues sustainable forest	In all municipalities, except Jalapa, Casillas and San Rafael las Flores.
Weak institutional planning in forest management	In all municipalities, except Jalapa, Casillas and San Rafael las Flores.

Pilot area 2 of the Project comprises a diversity of local actors, mainly local governments (Municipalities of Santa Eulalia, Chiantla, San Pedro Soloma, San Juan Ixcoy, and Todos Santos Cuchumatán), civil organizations (ICUZONDEHUE, ASILVOCHANCOL) and agencies of central government (CONAP, INAB). The results of the ratings of the institutional capacity assessment in pilot area 2 are shown in Table 4.

Table 3: Comparison of CRs Evaluation Ratings of institutions in the Pilot Area 2 (RMT & RF)

PILOT 2 REGION, DEPARTMENT OF HUEHUETENANGO (Mid Term)					
Type of Actor/Actor	CR1: Capacity to acquire commitments and develop actions	CR 2: Capacity to generate, Access and use the information and knowledge	CR 3: Capacity to develop strategies, policies and legislation	CR 4: Capacity for management and implementation	CR 5: Monitoring and Evaluation Capacity
Local Government					
HUEHUETENANGO					
Santa Eulalia	44%	25%	22%	17%	0%
Chiantla	56%	58%	44%	50%	33%
San Pedro Soloma	33%	33%	22%	33%	0%
San Juan Ixcay	44%	58%	56%	33%	0%
Todos Santos Cuchumatan	78%	83%	22%	50%	0%
Central Government at Local					
CONAP	78%	92%	67%	67%	67%
INAB	67%	67%	78%	67%	100%
Organized Civil Society					
ASOCUCH					
ICUZONDEHUE	83%	67%	100%	67%	33%
ASILVOCHANCOL	100%	92%	83%	50%	0%
ACODIHUE					

PILOT REGION 2, DEPARMENT OF HUEHUETENANGO					
Stakeholders	CR 1: Capacity to acquire commitments & develop actions	CR 2: Capacity to generate, Access and use the information & knowledge	CR 3: Capacity to develop Strategies, Policies and Legislation	CR 4: Capacity to manage & implement	Monitoring & Evaluation Capacity
Local Government					
HUEHUETENANGO					
Santa Eulalia	56%	42%	22%	33%	0%
Chiantla	56%	83%	56%	67%	33%
San Pedro Soloma	44%	33%	22%	50%	0%
San Juan Ixcay	78%	58%	56%	50%	0%
Todos Santos Cuchumatan	89%	92%	33%	67%	0%
Central Government at local level					
CONAP	78%	92%	67%	67%	67%
INAB	83%	67%	78%	67%	100%
Organized Civil Society					
ICUZONDEHUE	83%	75%	100%	67%	33%
ASILVOCHANCOL	100%	92%	83%	67%	0%

Source: García-Barrios, F. (2018). First Phase: Final Evaluation. Update of Score Cards and Monitoring Tools: Supplies for the Final Evaluation.

According to the observations of the First Phase Report: Final Evaluation: Two of the group of municipalities evaluated show institutional weaknesses in at least 4 of 5 CRs evaluated. The municipality of San Pedro Soloma is the weakest compared to the rest, its weaknesses show that the municipality of San Pedro Soloma lacks the political will to promote actions on sustainable management of the forest, which results in lacking of a municipal policy and an institutional planning that incorporates said management. Although, if they respect the traditional knowledge of the Q'anjobal sociolinguistic group, the information associated with the management of forests and soil

is limited. This context has caused the municipal corporation to scarcely mobilize financial and technical resources to strengthen its administration in the areas of forests, soil, biodiversity and climate change, and therefore, lack the capacity to design and implement a monitoring and evaluation system to analyze these issues. The second municipality that shows the most institutional weaknesses is Santa Eulalia. The capacities for the development of Strategies, Policies and Legislation, Capacities for Management Implementation, and Capacity for Monitoring and Evaluation showed low and very low grades indicating a lack of information, lack of planning Institutional and policy issues that include issues of sustainable management of forests, soil, biodiversity and climate change. The project through the actions of FUNDAECO has supported these municipalities with a systematic training on municipal forestry management.

Regarding the central government agencies with delegations at the local level, it can be seen in Table 6 that both the CONAP and the INAB are strengthened in the five RCs evaluated, with the most strengthened capacities being the Capacity to generate, access and use of information and knowledge, for CONAP, and Capacity for Monitoring and Evaluation for INAB. This shows that CONAP has up-to-date information on biodiversity, climate change, and forest management, while INAB has a monitoring and evaluation system that allows it to know, analyze and evaluate its forestry interventions in the department of Huehuetenango. In general terms, both institutions are recognized by its institutional functions at the local level, possess, access and exchange information, have institutional policies and planning related to its field of action in the areas of biodiversity and forests, as well as specialized technical personnel to implement their actions at the field level. In the case of CONAP, the KFW project for conservation incentives and the Project have contributed to improve the institutional capacities of CONAP.

On the other hand, local civil organizations show a very high capacity development level. This is the case of ICUZONDEHUE and ASILVOCHANCOL. The more strengthened core competencies, qualified as very high, are the capacity to acquire commitments and develop actions, capacity to generate, access and use information and knowledge, and capabilities for the development of strategies, policies and legislation. This lies mainly in their leadership and degree of organization and integration of their members in the process of institutional development. They have an exchange information and a short, medium and long-term system (strategic plans) which is operated with annual planning. Capabilities with regular and high grades such as the capacities for management and implementation respond to their being civil society organizations that still depend on external funds. On the issue of monitoring and evaluation efforts are still needed that aim to establish and implement a system of indicators that measure the performance of both organizations, and eventually their impact in their field of work.

The aspects that most prevailed transversely -to reflect the weaknesses of institutional capacity, found were:

Aspect	Stakeholder
Lack of political interest in forestry, biodiversity, soil and climate change	In all municipalities

Outdated and non-shared information	In all municipalities
Information is partially used for decision-making and for the formulation of policies and plans	In all municipalities
Low and incipient monitoring and evaluation system	In all municipalities, CONAP, INAB, ICUZONDEHUE, y ASILVOCHANCOL
Limited financial mobilization for issues of sustainable forest management and biodiversity	In all municipalities
Deficient institutional planning in environmental management	In all municipalities

Results of the monitoring tool on Biodiversity Objective 2

The monitoring tool on biodiversity in its objective 2, collected information at the end of the term about area extensions associated with benefits derived from the use of biodiversity, areas that protect local biodiversity, and areas under Management practices that ensure the protection of biodiversity. In Table 7 you can see the summary of the main data collected.

Table 4: Summary of results of the Biodiversity monitoring tool Objective 2.

Aspect of monitoring updated at the end of term	Associated results
Production sector directly supported by the Project	Agriculture and Forestry
Area of landscape directly covered by the Project in the medium term	17,635.28 ha
Area of landscape indirectly covered by the Project	144,900 ha
Protected areas within the landscape covered by the Project	
a) Todos Santos Cuchumatán Municipal Regional Park	7,255.40 ha
Area and amounts of payment for environmental services within the landscape covered by the Project.	17,635.28 ha US\$127.5 a US\$171/ha-yr.
Area extension that applies management practices	17,635.28 ha
	Does not have international certification

The sectors directly supported by the Project are Agriculture and Forestry. These sectors have been directly served by means of the different modalities of economic incentives promoted by the government through the National Forest Institute (INAB). Access to these incentives has been strengthened (expanded) by the Project. Currently, the Project has completed its interventions in 17,635.28 ha under agroforestry modalities, forest protection, promotion of forest plantations, forest production, reforestation and forest systems under forest management. This area within a landscape universe of 144,900 ha that was indirectly served by the Project. This landscape indirectly covered by the Project includes the surface of the 5 priority municipalities in the Department of Huehuetenango, which are; Chiantla, Santa Eulalia, San Juan Ixcoy, San Pedro Soloma, and Todos Santos Cuchumatán. The activities that the Project developed include biodiversity conservation, promotion of ecosystem connectivity, and sustainable forest management.

In the area of 17,635.28 ha there was no payment scheme for environmental services. The reported payment of US\$ 127.5 to US\$ 171/ha-yr. is the amount of money disbursed by the Government,

through INAB, for direct beneficiaries of forest incentives under natural regeneration, protection and agroforestry systems, which supported carbon storage. Although this area is under modalities of economic incentives forests, the area is not under any international standard of forest management.

Finally, the connectivity of ecosystems and biodiversity conservation in the five prioritized municipalities is being strengthened to date through the implementation of municipal regional parks such as Todos Santos Cuchumatán with 7,255.40 ha, and Piedras Kab'Tzin with 317 ha, and Cerro Cruz Maltin with 5,130 ha (this area is under legal analysis for the Congress of the Republic to sanction it as a Protected Area).

Outcome of the Monitoring tool on Climate Change Mitigation

Table 8 shows the data updated to the final moment of the execution of the project. These associated findings correspond to the sum of the updated results of the pilot areas 1 and 2 where the project is implementing field interventions. The results shown correspond to Objective 5 called LULUCF (use of soil, land-use change and forestry, by its acronym in Spanish).

Table 5: Summary of results of the tracking tool on mitigating climate change, Target 5

Activities arising from the interventions of the project	Associated Outcomes
Conservation and improvement of the carbon reservoirs, including agro-forestry	30,846.97 ha
Avoided deforestation and forest degradation	20,531.18 ha
Afforestation/reforestation	4,408.45 ha
Good Practices developed and adopted	Measures of forest management still under development
Carbon Stock Monitoring System	Compilation and analysis of information about carbon reservoirs
Greenhouse gas emissions avoided	20,531.18 ha

For both pilot areas coverage for conservation and improvement of the stocks of carbon, including modalities for agroforestry are 30,846.97 has. At the end of the term, the access facilitation process to forest economic incentives in both pilot areas have avoided deforestation in 20,531.18 has which equals to 20,531.18 has that were not emitted to the atmosphere. Likewise, reforestation was promoted in 4,408.45 has.

Forest economic incentives of INAB (PINPEP and - now PROBOSQUE - PINFOR) certify the adoption and implementation of good forestry practices of each modality that is encouraged. In the case of the carbon stocks monitoring system, the process is under collection and analysis of information process of carbon reservoirs at national level.

Results of the land degradation monitoring tool

Monitoring of land degradation is based on the tracking tool of the UNDP/GEF which breaks down its analysis in the agro-ecological and socio-economic context. Then the nature, causes, and effects of land degradation is studied. Finally, a measure of the global environmental benefits is made. This disaggregation of information is listed in the following table:

Table 6: Summary of results on the land degradation monitoring tool

Elements of medium-term follow-up	Associated Results
Agro-ecologic Context	
Project Interventions in the field	
a) Improved agricultural management	29 ha
b) Improved management of grasslands	27 ha
c) Sustainable Forest Management	2,593 ha
d) Reforestation	1,981 ha
e) Natural Protection of natural resources (APs)	5,447 ha
f) Integrated landscape management	10,077 ha
Socio-economic Context.	
Number of rural people	
Men	35,191
Women	38,263
Number of people defined as poor	
Men	19,819
Women	21,549
Number of urban/peri-urban people	
Men	22,709
Women	24,689
Coffee Return/Yielding	1.60 T/ha
Corn Return/Yielding	1.62 T/ha
Land Degradation	
a) Agriculture	✓
b) Pastures	✓
c) Forestry	✓
Nature of Land Degradation	
a) Loss of vegetative cover	✓
b) Degradation of the vegetation (age, injury, health)	✓
c) Land Properties Degradation	✓
d) Loss of soil by wind or water.	19.8T/ha
Direct causes for degradation	
a) Non-sustainable agro production of the soil	✓
b) Loss or non-compliance of soil conservation measures	✓
c) Farming Practices	✓
d) Inappropriate application of fertilizers, herbicides, pesticides and other agro-chemicals and waste	✓
e) Loss of Soil Nutrients	✓

Elements of medium-term follow-up	Associated Results
f) Extensive (large scale) forest production	✓
g) Agricultural conversion (land use)	✓
h) Forest Fires	✓
i) Excessive extraction of firewood, wood for various purposes	✓
j) Overgrazing and trampling	✓
k) Temperature changes	✓
l) Rainfall changes	✓
m) Droughts	✓
n) Overpopulation	✓
o) Land Tenure	✓
p) Poverty	✓
q) Labor availability	✓
r) Governance	✓
Effects of land degradation in ecosystem services	
a) Animal Production	✓
b) Drinkable water	✓
c) Availability of land for production	✓
d) Excess water by rain (storm)	✓
e) Scarcity of water for drought	✓
f) Availability of nutrients in the soil	✓
g) Green soil cover	✓
h) Soil structure	✓
i) Soil formation	✓
j) Generation of greenhouse gas	✓
k) Food security	✓
Measurement of global environmental benefits	
Green cover	6,838.47ha
Avoided Emissions	
a) Carbon stocks	21,896 tCO _{2e}
b) Other greenhouse gases	7,970 tGHG
Carbon Capture	
a) Carbon over soil	106,190tCO _{2e}

In relation to the agro-eco-context, it can be observed that currently agriculture interventions carried out in 29 ha, 27 ha in grasslands (2 pilot, pilot area 1 has not developed any activity). Reported project interventions in the field are related to sustainable forest management which added an area of 2,593 ha, of natural protection by means of protected areas established at the local level 5,447. These activities give rise to an integrated landscape coming to 10,077 has in two pilot areas.

At socio-economic level, the number of people in the rural area to date is 35,191 men and 38,263 women. People defined as poor reach 19,819 men and 21,549 women. In relation to people in urban or peri-urban area, the report names 22,709 men and 24,689 women. These data were estimated with data from the population trends worked by the National Institute of Statistics (INE).

Coffee and corn to 2014 according to INE is, 1.6 tons / has and 16.62 tons / ha, respectively. These latest data remain equal since the country has not updated the data of the National Agricultural Survey (ENA).

Land degradation was identified occurring in areas of agriculture, pastures, and forestry activities, predominately on loss of forest cover, vegetation degradation by elements associated with the age, cover health, the properties of the soil degradation, loss of soil by wind or water. The Causes identified to promote the degradation of the Land are: non-sustainable agricultural production, non-application of measures of soil conservation, degradation of the land properties, erosion (estimates of 19.8 tons of soil lost by) hectare), inappropriate application of fertilizers, organic, pesticides, herbicides and other chemicals, loss of nutrients from soil, extensive forestry activities, conversion of land for agricultural use, forest fires, excessive extraction of firewood and wood, overgrazing, changes in temperature, changes in rainfall regimes, droughts, population, ownership of land, poverty, governance.

The effects of these causes are reflected in animal production, quality and quantity of drinking water, availability of land for production, availability of nutrients from soil, coverage, structure and soil formation and generation of gas effect greenhouse, and food security.

Results of the tracking tool on Sustainable Forest Management with a REDD + component.

The tracking tool on sustainable management of forest/REDD + consists of several monitoring elements. It covers the report of project target areas by biome, by vegetation, by property rights. Also, areas under sustainable forest management, report of the implementation of good practices of forest management, institutional capacity to account for the reduction of greenhouse gas emissions, payment for environmental services, and income derived from the sale of carbon credits. The following table provides details of the outcomes associated to the updated monitoring elements by the end of the project term.

Table 7: Monitoring Tool Summary of Results on sustainable Forest Management/REDD+

Updated monitoring elements at medium term	Associated Outcomes
Target Project Target Area categorized by Biomass	
Dry tropical forest broadleaf and mixed	35,055.66 ha
Tropical coniferous forest	34,357 ha
Project Target area categorized by vegetation	
Primary Forest	52,796.61 ha
Natural Regeneration	8,189 ha
Forest plantations (native species)	1,081 ha
Agroforestry System	865 ha

Project Target Area by Property Rights	
Private Forests	
a) Forests managed by communities	5,027.47 ha

b) Forests managed by private entities	2,220.92 ha
State/municipality forests	
a) Forests managed by communities	500.80 ha
b) Forests managed by private entities	2,442.17 ha
Socio-economic benefits	
Forest-dependent people	
a) Men	256.293
b) Women	279.974
Poor people	
a) Men	58.329
b) Women	63.719
Indigenous People	
a) Men	98.174
b) Women	108.360
Sustainable Forest Management / REDD+	
Carbon stored in forest ecosystems and avoided emissions from deforestation and forest degradation directly during the lifetime of the Project	
a) Conservation and Enhancement of Forest Carbon Reservoirs	Dry Forest: 4,403.22 ha, and humid montane forest: 7,840.29 ha
b) Avoided Deforestation and Forest Degradation	20,531.18 has avoided deforestation
Carbon stored in forest ecosystems and indirectly avoided emissions from deforestation and forest degradation during the lifetime of the Project	
a) Avoided Deforestation and Forest Degradation	13,324.15 ha (after 20 years) 16,762.47 ha (after 30 years)
The forestry sector has an enabling framework to promote the sector	There is a framework of policy and legislation associated with the forest sector.
Good forest practices applied in existing forests	
a) Area of forest with forest management plans	22,358.32 ha
b) Restoration/rehabilitation of degraded forests	4,408.45 ha
Enhanced institutional capacity to account for the reduction of greenhouse gas emissions and increase carbon reservoirs.	
a) Monitoring of carbon stocks at the national level	There are maps of forest dynamics and approximations of carbon reservoirs in maps at the national level.
Payment for environmental services planned within the framework of the Project	
a) PSA type	Carbon sequestration
b) Amount (USD)	US\$ 2,782,336.80 (see explanations of the change of the results framework indicator in the Excel file of the tracking tool)

c) Area	20,531.18 (see explanations of the change of the results framework indicator in the Excel file of the tracking tool)
Good forest practices applied in existing forests	
a) Area of forest with forest management plans	30,847.97 ha
b) Restoration/rehabilitation of degraded forests	4,408.45 ha
Enhanced institutional capacity to account for the reduction of greenhouse gas emissions and increase carbon reservoirs.	
a) Monitoring of carbon stocks at the national level	System is under construction.
Covered Area (Ha)	6.642 ha (dry forest) and (31.360) ha (rain forest)
Income earned by Sustainable Forest Management generated through the involvement in international markets	NA (see explanations of the change of the results framework indicator in the Excel file of the tracking tool)

This indicates that the forest economic incentives provided in both areas have diversified their modalities in plantations, agroforestry, and natural regeneration. Regarding socio-economic aspects, several people dependent on forests are reported: 256,293 men and 279,974 women.

The implementation of good forest management has been applied in 22,358.32 ha, which are under forest management plans. It is intended that these good practices support the target of compensation for environmental services such as carbon sequestration. At the end of the project, the financial volume received as a product of forestry incentives was approximately US\$ 2,782,336.80 in an area of 20,531.18 has. This change in the indicator is mainly due to the fact that the country does not yet have the National REDD+ strategy approved. However, the project has directed its actions toward the promotion, socialization and facilitation of access to forest incentives from the Government (INAB) in order that the holders and owners be monetarily compensated for the conservation and sustainable use of forests. The modalities under the National Forestry Incentives programs have been identified as compatible with and equivalent to REDD+ practices, as they are results-based payments, which are verified by the National Forest Institute team.

3.4 Project Results

Given the lack of a system of structured, formal, and constant M&E, the project has not systematized each region's good practices nor has shared them among regions to improve performance. Despite this, the benefits received through the project have been regarded as a gain (in technical terms) by each of the institutions involved. In addition, institutional interaction and coordination has been strengthened as a result of the activities implemented in the project.

Finally, it is important to mention that a key element of sustainability is the availability of training materials at the local levels (mainly in municipalities and municipal councils) to prevent the loss of the project "memories" and the knowledge acquired.

3.4.1 Overall results (Achievement of the Objectives) (*)

Result 1.1

Product 1.1.1 - Inter-agency agreements for cooperation between the MARN, CONAP, INAB, MAGA and ANAM allow the inclusion of SFM/SLM principles in forest and agricultural policies, and ensure the permanence of the benefits derived from the project

Compliance in QPR-1 2018: 96%

- As part of the reviews and studies for this product, we identified 3 previous inter-agency agreements related to the subject matter, such is the case of the Inter-Agency Coordination Group Agreement for REDD+ in Guatemala (GCI), the Inter-agency Group of Forest Mapping and Land Use (GIMBUT) and the Sustainable Land Management Inter-agency Group in Guatemala (GTI) That is why support for the work of these groups was sought, and other activities were included to incorporate SFM/SLM principles in forest and agricultural policies, ensuring the permanence of the benefits, such is the case of the PROBOSQUE Act and its Regulations, its adoption by the SIPECIF, the National Protocol of Institutional Performance and Non-Governmental Organizations for the protection against forest fires and fire management. The National Intervention Protocol for the Protection against fire was created. However, because SIPECIF was dissolved, it remained pending and is expected to be accepted and adopted by CONRED.
- Strengthening of the Coordinating Office of Environment and Natural Resources Statistics was supported in order to improve the interinstitutional dialog and the environmental information processes follow-up, within the framework of the cooperation agreement signed with the National Institute of Statistics, promoting and supporting the meetings of the Coordinating Office of Environment and Natural Resources Statistics OCSE/Environment. Thanks to this joint work with the National Institute of Statistics, the Ministry of Environment and Natural Resources, the Office of Sectoral Coordination of Statistics for the environmental issue and the participation of 15 municipalities, a platform for the municipal environmental statistics management was developed. The Municipal Environmental Statistics platform is in operation, and active in the web page of the National Institute of Statistics: https://ine.gob.gt/index.php?option=com_content&view=article&id=817
- Upgrading of the Five-Year Strategic Plan of the National Forest Institute for the prioritization of actions within the PROBOSQUE Act and the National Strategy for the Forest Landscape Restoration approved by the INAB.
- A roadmap for the incorporation of a gender approach was created in the National Systematized REDD+ process, ensuring the inclusion of gender in the national REDD+ process and strengthening the National REDD+ Strategy. For this task, a process for the recruitment of a facilitator for gender training, in conjunction with the MARN was carried out.
- The process of formulating the Climate Change Adaptation Plan in the agricultural sector with the Ministry of Agriculture, Livestock and Food was carried out.

- In support of the regulations that facilitate the incorporation of the principles of sustainable forest management, and together with the MARN and the Defenders of Nature, support was given to the implementation of the Legal Framework to Regulate the Reduction of Vulnerability, Compulsory Adaptations to the Effects of Climate Change and the greenhouse gas mitigation - GHG (Decree 7-2013). For this purpose, the following proposals for regulations were developed during this period:
 - Proposal for the Regulation on Compensation for the reduction and absorption of GHG emissions from burning fossil fuels (Decree 7-2013 Article 19)
 - Proposal for an incentives program that encourages voluntary activities of reduction or absorption of GHG emissions (article 19) Decree 7-2013
 - Proposal for a Regulation on Registration of Projects on removal or reduction of GHG emissions (Decree 7-2013 Article 22)
 - Proposal for a Regulation on Environmental Services for the reduction or removal of GHG emissions on national lands within the SIGAP (Decree 7-2013 Article 20)

Result 1.1

Product 1.1.2 - National Program on Combating Desertification and Drought (updated)

Compliance with QPR-1 2018: 65%

- Reviewing and subsequently obtaining the approval on the part of the MARN, for the formal presentation of the initiative before the Head Office.
- A proposal for a National Policy on Combating Land Degradation, Desertification and Drought in Guatemala was developed and submitted to the Ministry of Environment and Natural Resources for review and approval, together with their respective review process schedule. This proposal was revised and fed back by members of the Inter-Institutional Technical Group for Sustainable Land Management (IWG).
- The project developed the TDRs to update the National Plan of Action on Combating Desertification and Drought, as well as its alignment with the Ten-Year Strategic Plan of the UNCCD.
- Impetus was given to the reactivation of the internal committee of the Ministry of Environment and Natural Resources, for the approval of the process for the approval of the National Policy on Combating Land Degradation, Desertification and Drought.
- A work plan was approved by the Ministry of Environment and Natural Resources, for updating the National Action Plan on Combating Land Degradation, Desertification and Drought, which included the roadmap for the process of exchange of official information for the corresponding analyzes; validation workshops, and local consultation and field visits were held to complement the information on the maps. Consultations were undertaken to regional and departmental delegates of Baja Verapaz, Chiquimula, Zacapa and El Progreso from the Ministry of Environment and Natural Resources -MARN, from which input to update the instrument were obtained. At the same time, key sites were identified for the

verification of field information for the elaboration of the new map of drought-prone areas and areas threatened by desertification.

- Together with personnel from the Ministry of Environment and Natural Resources -MARN, and with the support of the Universidad del Valle de Guatemala (UVG), six new national maps have been finished: Current and Future Risk of Land Degradation Map 2030-2050, Current and Future Risk of Land Desertification Map 2030-2050, Current and Future Risk of Droughts Map 2030-2050. These maps will help to geographically define PLANDYS actions. On the other hand, the analysis of institutional stakeholders based on their competence was concluded, and PLANDYS was linked to other national policies. All of these are essential for the planning tool updating.

Result 1.2

Product 1.2.1 - Strengthened capacity of government officers and staff (Forest and Agriculture extension officers) in forest and agricultural management practices for LULUCF, methodologies for SFM/REDD+ and MRV.

Compliance with QPR-1 2018: 80%

- A geographic information systems and geospatial technologies workshop was given for the estimation of activity data within the framework of the National REDD+ Strategy with 24 national technicians from the Ministry of the Environment and Natural Resources, the National Council of Protected Areas, National Forest Institute, Ministry of Agriculture, Livestock and Food, Universidad de San Carlos de Guatemala, Universidad del Valle de Guatemala, Universidad Rafael Landivar and the National Geographic Institute
- Work was conducted in a program that will allow the capacity building for all theme related to the National REDD+ Strategy, Safeguards and MRV, as well as at the local level, for the implementation of MST practices, product chains and associativity building, by means of the integration of strategic partners, such as the Tropical Agriculture Center of Research and Teaching (CATIE), the Guatemalan Exporters Association AGEXPORT. This resulted in the development of a Diploma course and 38 government officials, NGO representatives and academia were trained.
- A workshop on Forest Governance was carried out, with the participation of 27 officials and community members, where topics on management practices for LULUCF, methodologies for SFM/REDD+, and MRV were analyzed.
- Continuously throughout the project, support was provided to REDD+ technicians by means of capacity building in the areas of landscape modeling, digital platforms systems. Training in the areas of landscape modeling, digital platforms systems was also given to Government staff, both at the national and local levels Gender office capacities were also strengthened in order to internalize gender considerations within the framework of the National REDD+ Strategy. In addition, a training process for 80 people (56 women and 24 men) was conducted through 4 workshops having female and male community leaders, municipal representatives and government officials as the target group, with the aim of strengthening

the implementation of the Environmental Gender Policy, its socialization and the application of the principles of gender-based approach to development.

- The Climate Change Strategy for the Agricultural Sector was updated approved by the Climate Change Unit of the Ministry of Agriculture, Livestock and Food.

Result 1.2

Product 1.2.2 - The GIS mapping tools for SFM/SLM at the municipal level benefits development and guides the implementation of municipal development plans at the national level.

Compliance with QPR-1 2018: 90%

- The TDRs were prepared -and approved by the MARN- for consultancy procurement (one consultant) to ensure the development and strengthening of technical capabilities, and knowledge capabilities at the governmental institutional, municipal, community, and academia levels on REDD issues
- Courses were given for the management of geographical information, use of Geographic Information Systems for forest inventories, downloading images from satellites and development of layers for current coverage.
- Support was given for the development, formulation, implementation, analysis, and presentation of the Municipal Management National Ranking, in furtherance of SEGEPLAN, including environmental issues to be reviewed. This has helped to build capacities around the analysis of municipal management, and data has been obtained for the prioritization of actions and considerations for a more efficient municipal management.

Result 1.2

Product 1.2.3 - National Protocol for monitoring the flow of C was developed and articulated with forest production/management plans (INAB), land use planning (municipalities) and conservation plans (CONAP)

Compliance with QPR-1 2018: 90%

- The project developed a few TDRs, which were presented to the MARN, for the recruitment of a consultant, which sought to develop a process that would allow:
 - Strengthening institutional, municipal and local partner capacities on climate change, REDD+, Safeguards, and other related topics.
 - Gather forestry and agriculture information from 4 departments (Huehuetenango, Jalapa, Jutiapa and Santa Rosa) useful for the development of REDD+ reference levels.
 - Identify the causes and agents of deforestation in the two areas of action of the project, through participatory workshops.

- Various efforts were made for the construction of reference scenarios of the National REDD+ Strategy, which were also socialized and validated by the Inter-agency Group of Forest Mapping and Land Use:
 - Databases on firewood (legal and illegal logging) and wood were systematized at the national level.
 - Fire scars in forests were vectorized for the period 2010-2015 at the national level. This is another important input for the design of the National Emissions Monitoring, Registration and Verification System.
 - The uses of post-deforestation (activity data) at national and sub-regions level
 - Protocols were developed for the application of methodologies for the classification of coverage maps.
- A validated methodology in the field was proposed to estimate the carbon content in dry forest.
- Emission factors (carbon content) to use were proposed and justified for use in each category of land that is represented in both REDD+ pilot projects of the current project.
- Information was generated for the creation of a tool for the monitoring of carbon flows for the two pilot REDD+ regions.
- The construction of reference levels for the base line were supported and get emissions and/or removals of CO₂eq for 2 REDD+ pilot projects.
- An analysis of forestry and agricultural information of Huehuetenango was performed for the development of REDD+ reference levels; a consultant was hired for the development of this activity. This included carrying out trainings, sampling and preparation of reports to develop a characterization process of dry forest in order to determine and compare the carbon flow capacity. Analyzes were carried out for the determination of the forest carbon content in the samples obtained from trees of the dry forest and the equations were prepared; with these, the instruments that allow the determination of the carbon in the dry forests of Guatemala were obtained.
- Final Report of the process submitted to and endorsed by the MARN. Only the implementation of the allometric equations developed is pending in order to improve the indicators. The protocol was submitted to GIMBUT for approval; however, the group stopped activities due to the change of various coordinators of the institutions.

Result 2.1

Product 2.1.1 - REDD+ pilot project in 17,456 ha; 3,500 ha will be restored and reforested by planting native species and through natural regeneration.

Sub-Product. Development of a baseline of emissions from deforestation for the Central-eastern region and a SFM/REDD+ work plan with and for the municipalities

Sub-Product. Municipal Action Plans integrate attention to the needs to improve forestry governance and forest policies, in prioritized municipalities with greater potential for generation of reduction of emissions

Compliance with QPR-1 2018: 90%

- A consulting firm was hired to conduct a support process to communities in their REDD project approach, which is expected to cover 17.456 ha of dry forest, in the southeast of Guatemala. This intervention focused on obtaining the following results:
 - Perform a diagnostic based on the selection criteria (environmental, technical and socio-economic) in municipalities of pilot region 1, in the departments of Santa Rosa, Jutiapa and Jalapa in Guatemala in order to develop a REDD+ project.
 - Define potential REDD+ modalities (based on the activities to encourage reduction of emissions) for the implementation in pilot municipalities, based on the diagnosis performed previously.
 - Geographically delimit the area for the implementation of the local REDD+ project in the Southeast pilot region 1.
 - Systematize the information to develop the reference levels based on the previously selected potential modalities.
 - Build the reference levels of the selected area within pilot region 1 located in the departments of Santa Rosa, Jutiapa and Jalapa, included in the REDD+ subregion, in the southeast in Guatemala.
 - Transferring capacities based on achieved results and lessons learned in the process of the REDD+ reference levels construction.
- Workshops were given to promote greater understanding of the REDD+ issue in the regions and poll the interest on participating in this initiative. Two progress reports were submitted and the active participation of MARN and the communities in this process was achieved, with which it is expected to cover 17.456 ha of dry forest, in the southeast of Guatemala.
- A diagnosis of the dynamics of forest coverage for the municipalities of pilot region 1 was developed. Analyses for the determination of potentialities to bolster a REDD+ project were carried out, identifying 46 sites with at least 100 ha of forest, which altogether would allow to develop a REDD+ process. Then, the update of the project areas was performed with the 2016 layer, identifying 13 possible projects with established forest areas and reference zones.
- Two proposals were submitted, 2 reference areas based on their biophysical characteristics (heights, temperature and precipitation) as well as the strong difference that occurs in the uses of both areas. The second proposal is an area of reference for each project; however, this will increase monitoring, reporting and verification costs, as well as other surveillance activities, registration, among others.
- A workshop was given for the submission of results to the councilors; they were very interested in the development of the methodology, they became familiar with the assessment standards and important requirements for the development of REDD+ projects.
- During the forest coverage map validation workshop, forestry technicians expressed how important it was to be able to validate a map and know the methodologies, as well as their scopes, and requested a more intensive workshop on geographic information systems. Local capacities developed in REDD+ issues, including geographic information management.
- The feasibility study establishes the potential of REDD+ project in each modality as defined by REDD, developed and completed for the Southeast area. 13 project areas for the

modality of avoided deforestation were defined (5.365 ha to avoid) and 5 for the increase in carbon stocks (4.600 for reforestation). Ready to develop according to the National REDD+ Strategy.

- Generation of US\$ 1,757,380.07 of economic benefits based on the promotion on forestry incentives, improving economic income to communities and individuals, covering an area of 4.600 ha. in pilot region 1

Result 2.2

Product 2.2.1 - Methodology for a REDD+ pilot project for dry forest is applied

Compliance with QPR-1 2018: 95%

- Based on the development of the National REDD+ Strategy, the methodological approach in the context of REDD+ was defined and will be applied in the regions of the project intervention. In this regard, it was agreed that for pilot region 1, the approach is on the recovery of stocks of C through reforestation processes and forest coverage maintenance and for pilot 2, the approach is on the maintenance of stocks of C, through the installation of forest plantations, forest coverage maintenance, installation of agroforestry systems and promotion of low-impact agricultural practices for the regeneration of the natural forest.
- To achieve the required product, the following tasks were developed:
- A consultant was hired to develop this activity
- A digital analysis was conducted for the reference scenarios
- Base maps of forest dynamics databases developed with the methodology approved by the GIMBUT are ready and updated for 2016
- An analysis of potential areas for the development of a REDD+ project was completed. It was determined that the development of the REDD+ projects was not possible in pilot area 1 due to ENREDD+ political situation. Therefore, work in the definition of areas and feasibility of REDD+ projects are completed, and the change of the indicators was requested.

Result 2.3

Product 2.3.1: SFM /SLM Plan for the upper and middle sections of the Ostua river basin associated with the dry forest and of Laguna Ayarza, include the planning for the use of firewood, the establishment of riparian buffer strips, and the use of hedges to protect against the wind and live fences.

Sub-Product 2.3.1.1. Characterization of the basins (characterization of social, environmental and economic and institutional production)

Sub-Product 2.3.1.2. SFM/SLM Plan for the Basin of Laguna Ayarza (3,112.45 ha) and for the upper and middle basin of Ostua river was developed

Compliance with QPR-1 2018: 99%

- Developed and published in river basin management plans with final arts ready, which have already been reviewed and endorsed by the Ministry of Environment and Natural Resources, as well as by local communities.
- With the support of ADA2 organization, 12 workshops for the socialization of Laguna Ayarza Basin Management Plan and River Ostúa Middle and Upstream Basin Management Plan were organized for the administrative and technical authorities of the central government: Ministry of Environment and Natural Resources -MARN, Ministry of Agriculture, Livestock and Food -MAGA, National Forest Institute (INAB, National Council of Protected Areas - CONAP, and for municipal corporations of the 2 basins, including San Rafael, Las Flores, Casillas, Jalapa, San Manuel Chaparrón, El Progreso and Jutiapa. Around 120 people participated in this process, ensuring that local stakeholders were aware of the territorial management instruments.
- A scheme of micro donations was created to support communities in the implementation of actions to strengthen the implementation of river basin management plans and increase resilience to climate change; the scheme has the methodology, the convocation, bases, offers received, and approval processes and financing.
- A Manual of Best Practices and Innovative Technologies for agricultural production and adaptation to climate change of rural producers and a guide for the implementation of Biofactories, as part of the joint work with AGEXPORT, focused on the realities and needs of the Southeast of Guatemala.
- 2 plans were developed for the technical assistance and training in best practices for the cultivation of coffee, in which the technical activities for good practices for the cultivation of coffee, methodologies for follow-up of demonstration plots, training topics are described, which are specific to these community organizations: " Integral Productive Community Association" -ASOSIP, the "Integral Agricultural Cooperative Frutos de mi Tierra", in San Carlos Alzatate, which together are home to more than 100 producers and are part of the Ladinos Pardos Community and Xinka Community.
- Also, the capacities of 46 producers of ASOCIP organizations and the Integral Agricultural Cooperative Frutos de mi Tierra, have been strengthened in the use and application of technologies for agricultural production, particularly in the processing of coffee, strengthening trade and business capacities of the organizations, which will allow for the proper establishment and implementation of controls, files, and administrative and accounting tools. Members of the Board of Directors and various committees of the organizations have also been strengthened in the management of basic accounting tools and tax obligations, inventory control and structuring of the biofactory operation.
- With the support of the Tropical Agriculture Center of Research and Teaching (CATIE); 10 agroforestry practices were identified and validated for the development of the implementation of "smart production systems based on silvopastoral systems in 15 municipalities in the Southeast of Guatemala", which will be promoted in 25 pilot farms already identified in the region.

Result 2.3

Product 2.3.2 - Program of energy-efficient stoves reduces firewood consumption and GHG emissions.

Compliance with QPR-1 2018: 50%

- Working with Fundación Solar, the diagnosis of the dynamics of firewood use in pilot region 1 was prepared, as well as the catalog of energy-efficient and secure stoves.
- Three demonstration centers were put into operation in the Departments of Jutiapa and Jalapa. When the third center was opened, three promotion teams were formed and trained to increase the sales of energy-efficient stoves. Awareness-raising and training of 44 women from local organizations was to promote the use of energy-efficient stoves in their communities. A promotion strategy was devised that includes demos, design and distribution of promotional material that will be used to increase sales and installation of stoves.
- In pilot region 1, about 1.184 stoves have been delivered to schools and communities with scarce economic resources with the aim of reducing the pressure on natural forests because of firewood extraction, reducing greenhouse gas emissions and improving quality of life in the region.
- The National Forest Institute in cooperation with Fundación Solar held a series of events to promote the use of energy-efficient stoves and forestry incentives programs directed at organizations and community leaders. 118 people participated, and it is expected that a multiplier effect will take place and increase the demand for forest incentives and the appropriation of the appropriate technology in the use of firewood.
- Under the energy-efficient stoves (EEES) program, two female work teams have been integrated which, in addition to guide potential customers in the demonstration centers, make exploratory visits in assigned geographical areas according to the work plan. In the same context, a new premise was opened for the promotion and sale of EEES in Jutiapa, for greater exposure and promotion of the EEES. 44 women between partners and vendors were trained in the topics of information related with the implementing organization, understanding the project and its objectives, marketing of the EEES, sales techniques, market segmentation, direct sales, productivity, and strengthening of values in the application of good practices in the field work.
- A new entrepreneurship was supported with a new brick producer that meets the requirements of the improved stoves; this with the intention of having low-cost local material to supply the demand for stoves. Finally, a manual for the construction, use and monitoring of the improved stove Chomita was developed to facilitate the work of the trainers.

Result 2.4

Product 2.4.1 - Strengthened capacity of municipalities and members of the communities in the southeast region for the inclusion of SFM, SLM and REDD+ tools in local development plans in order to contribute to the institutional sustainability of the project results.

Compliance with QPR-1 2018: 45%

- For the capacity building related to forest management, forestry incentives, Geographic Information Systems, handling of the white pine weevil, 6 workshops were given to members of the communities, forestry technicians of government and municipal staff from the Departments of Jutiapa, Jalapa and Santa Rosa (in the southeast region), in which 144 people were trained, 21% women and 79% men for the region of southeast and 9 workshops where they have been trained 270 people, 13% women and 87% men for the region of Huehuetenango.
- With all of the above, it is expected that local capacities improve at least 10%, in order to optimize the application and inclusion of SFM, SLM and REDD+ tools in local development plans and contribute to the institutional sustainability of the project results.
- A first training workshop was developed, aimed at 15 municipal forestry technicians and community members of pilot region 1, in coordination with the department of municipal and communal forestry strengthening of the INAB. The workshop explained topics such as: registration of municipal forestry offices, family consumption management, registration of chainsaws, support in activities of forest management, forest incentives and development of the annual operating plan 2016 and projections for the Annual Operating Plan 2017. The workshop has trained 180 people.
- Development of the forest protection course, in coordination with the United States Forest Service, where municipal staff and government institutions achieved a certification in the following courses: Introduction to fire management, incident command system, control of forest fires; Introduction to fire management, incident command system, control of forest fires.
- Strengthening of the network of 15 forest technicians and community members in pilot region 1, through capacity building in the topics of geographic information systems, quantification of fixed carbon and REDD+. Course of watershed delimitation and use of geographic information systems. 25 local technicians were benefitted.
- Capacity building for community members of pilot region 1 by promoting the forestry incentives program to the following communities: Sabana Redonda San Rafael las Flores (15 participants); Don Bosco, Casillas (23 participants); La Brea, Quesada (18 participants); La Virgen Community, Asunción Mita (30 participants) and El Pino San Carlos Alzatate (10 participants)
- 25 ha of forest mapped in support of the work of the municipal forestry offices of San Carlos Alzatate and Asunción Mita.

- Process for the creation of the Municipal Environmental Policy of San Rafael las Flores has started, and the updating of the Forest Policy of Jalapa is in consultations.
- Socialization and capacity building for the implementation of standards of extensions of family consumption, benefiting 90 people in the municipalities of Jalapa, San Rafael las Flores and San Pedro Pinula.
- Strengthening of local environmental platforms such as the CODEMAS through a workshop on environmental legislation and environmental standards with 25 participants in Santa Rosa and Jalapa.
- Capacity building through the course of basic techniques for the control of forest fires in San Rafael las Flores, with 45 participants.
- Capacity building through demonstration centers of Improved energy-efficient and safe stoves, as well as a course of basic techniques for the control of forest fires, sustainable forest management, promotion of forestry incentives, among others.
- Forestry Incentives were given at the regional level, for the amount of Q 5 million to 410 direct beneficiaries and 1.640 indirect beneficiaries, achieving at least 1,968.12 ha under sustainable management.
- A Forestry Roundtable was reactivated for the Southeast region.
- 75 people of the southeast communities have entered the forest incentive programs, with an area of 405 ha under the modality of forest protection within the municipality of Jalapa.
- 57 representatives of communities and organizations were trained for the prevention and control of forest fires in the municipalities of Jutiapa, and Quesada.
- Strengthening of the capacities of municipal forestry technicians of the municipalities that make up pilot region 2 of the project, through 2 training sessions on topics of Geographical Information Systems (management and use of Arc Gis program tools) supported by the United Nations Development Program.
- Nine training workshops were given on sustainable forest management, climate change mitigation and biodiversity conservation, in the municipalities of Chiantla, Todos Santos Cuchumatán, San Pedro Soloma, Santa Eulalia and San Juan Ixcoy, of the Department of Huehuetenango, with the participation of 33 women and 167 men.
- 12 municipalities in the southeast (Jalapa, San Manuel Chaparrón, San Rafael las Flores, Santa Catarina Mita, Asunción Mita, Agua Blanca, Quesada, San Carlos Alzatate, San Luis Jilotepeque, Monjas, Jutiapa, and San Pedro Pinula), equipped with all the necessary capacities for the process of municipal certification issuance for the entry of projects to the national incentives program for small holders of lands with a forest or agroforestry vocation (PINPEP), thereby ensuring the sustainability and strengthening of municipal forestry offices and their staff.
- 12 municipalities in pilot region 1, are fully registered in the Forest National Registry of the National Forest Institute, signing an agreement with the INAB in order that the municipalities, through the municipal forestry offices, can authorize family consumption, and carry out a better control of municipal forests management.

- 8 training workshops were completed for municipal forestry technicians, institutional technicians and university technicians related to forest and environmental issues of the region. With these workshops on the themes of energy efficiency and carbon markets and the identification of project modalities PROBOSQUE, the process of personnel has been finished. The workshops were able to train 15 forestry technicians, 5 technicians from government institutions and 3 technical universities.
- In conjunction with the INAB, different events were carried out to generate awareness and promote the use of energy-efficient stoves and forest incentives programs; 118 people participated.
- As part of the actions toward the capacity building of local stakeholders, particularly the support to municipalities, work has been done with the municipalities of San Pedro Pinula, Jalapa, Santa Catarina Mita and Casillas with the aim of ensuring the financing mechanisms for their tree nurseries, as a way to strengthen the processes of sustainable forest management. 4 municipal forestry technicians and 6 nurserymen participated in the activity.
- Three municipal agreements were signed for the formation of 4 municipal crews, hiring 40 people for the fire season 2018, in the municipalities of Jalapa, Santa Catarina Mita and San Rafael las Flores, which are fully equipped for the prevention and control of forest fires, thus improving local capacities to cope with forest fires and thus reduce the degradation of forest ecosystems. With regards to forest fire control, support was given to the Training Course for forestry firefighters, which had the participation of 52 persons from the military reserves of the municipality of Jalapa. 20 people were sensitized and trained for fighting forest fires, an activity that was directed to the municipalities of Casillas and San Rafael las Flores; in these municipalities, 40 persons were trained in workshops on basic techniques for the control of forest fires. All these activities were carried out in coordination with the municipality of Jalapa, INAB and CONRED. These activities led to 5 municipalities with personnel trained in the control of forest fires, with 50 firefighters with the necessary tools and knowledge for controlling and fighting forest fires. Noteworthy is the inclusion of the command of military reserves of Jalapa in forest fire control. These 20 elements of the military reserves trained with the aim of providing support to forest fire crews in controlling forest fires in the municipality of Jalapa, as a way to involve new stakeholders for fighting forest fires in the southeast.
- With the aim of improving the sustainable management of forests in the southeast, particularly oak forests, the course "Identification of Quercus for good management and exploitation" was given, in which 27 people from the region participated. This will ensure the inclusion of the identification of Quercus species in the protection management plans of forest incentives, particularly those approved by CONAP.
- In 5 municipalities in Huehuetenango, with the support of the Universidad del Valle de Guatemala, the diagnosis of the state of conservation agreements and the initial recommendations for their sustainability were finished, through 3 workshops with representatives of communities, community organizations, and local organizations, which

are part of the Agreements. Thus, the process of identification of actions that allow the sustainability of the Conservation agreements can be started.

Result 2.4

Product 2.4.2 - Development plans of up to fifteen (15) municipalities incorporate the principles of SFM/REDD+ and SLM and its implementing actions

Compliance with QPR-1 2018: 97%

- 15 municipal development plans updated and submitted to SEGEPLAN headquarters to initiate the process of alignment with the National Development Plan and the National Government Policy
- Processes were developed in conjunction with the SEGEPLAN for the development and updating of the instruments of municipal management (PEI-POM-POA), as well as the development of the application of new methodology for the formulation of PDMs-POTs
- Institutional Strategic Plans, multi-year Operational Plans and Annual Operational Plans in execution and in consultations with the municipal corporations were updated; Thus, national development priorities and variables that respond to climate change, natural resources, environment and agriculture were addressed in 14 municipalities of pilot regions 1 and 2 (San Pedro Pinula, San Luis Jilotepeque, San Manuel Chaparrón, Monjas, Mataquescuintla and San Carlos Alzatate, Jalapa, San Rafael las Flores of Santa Rosa (pilot region 1), and Chiantla, Todos Santos Cuchumatán, Santa Eulalia, Soloma, San Juan Ixcoy and Petatan of Huehuetenango (pilot region 2)).
- 24 workshops were given in the municipalities of Todos Santos Cuchumatán, Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia and Petatan, of the Department of Huehuetenango, for the formulation and adequacy of the Institutional Strategic Plans, Multi-year Operational Plans and Annual Operating Plan of the municipalities listed above.
- Documents of PEI-POM and POA approved by the municipal councils of 7 municipalities
- 7 development plans and territorial planning developed and in the approval phase of the context analysis section, by the municipal corporations.

Result 2.4

Product 2.4.3 - Four (4) municipal environmental/forestry offices (Santa Rosa, Jutiapa and Jalapa) fully equipped and staffed with personnel trained in the control of forest fires, and improvements in the conservation of BD and fixing of C.

Compliance with QPR-1 2018: 100%

- 15 municipal forestry offices equipped and strengthened with computer equipment, forest measurement, protection against forest fires and office furniture. Equipment was delivered to 15 municipalities rather than only to the 4 municipalities initially proposed. This will improve the technical capacities of the forestry office personnel: (a) to ensure the sustainable management of forests of the municipalities and (b) to achieve the benefits of

sustainable forest management, for the development of municipalities, especially through the implementation of strategies and actions related to the control of forest fires, improvement in practices for the conservation of BD and fixing of C.

- Signing of the creation of municipal forestry offices in: San Rafael las Flores, San Carlos Alzatate and Asuncion Mita, by the Municipal Council; thereby ensuring an improvement in sustainable forest management and there is evidence of approval of the objectives of the project by the municipal corporations.
- Signing of the reopening of the municipal forestry offices by the Municipal Council of Monjas, San Pedro Pinula, Quesada, Casillas, Santa Catarina Mita, San Manuel Chaparrón and Jutiapa, thus strengthening the participation of municipalities in sustainable forest management at the local level; this ensures an appropriation of the objectives of the project.
- Minutes signed by the Municipal Council of Mataquescuintla, Jalapa, White Water and progress, with a commitment to ensuring the support and follow-up to the forestry offices; thereby improving the sustainable management of forests at the local level.
- Equipment delivered, currently local capacities are being trained for proper use of the equipment, as well as a regional network of municipal forestry technicians are being organized, as a support group and follow-up of the strengthening process.

Result 2.5	2.5.1 REDD+ pilot project in 34,357 ha in a landscape of production/maintenance that includes the AP Todos Santos Cuchumatán
	<u>Compliance with QPR-1 2018: 90%</u>

- Procurement was carried out to support communities in their REDD project approach which was supervised by the MARN, thus covering an area of 34.357 ha of the montane rain forest, in the western part of Guatemala.
- A diagnosis was developed with respect to the selection criteria (environmental, technical and socio-economic) in the municipalities of pilot region 2, in Huehuetenango in order to develop a REDD+ project. The project was implemented in 5 municipalities of pilot region 2, based on a diagnosis made, including carbon stocks (carbon sequestration) and sources of emissions of the selected area
- Reference levels for the selected area were developed in pilot region 2 located in the department of Huehuetenango, included in the REDD+ subregion, in western Guatemala and capabilities were transferred based on achieved results and lessons learned in the process of developing the REDD+ reference levels.
- Systematization of information indicates that for pilot region 2, the three modalities REDD+ that were selected are: deforestation, degradation and carbon stock.
- Development of cartographic material on the forest coverage and land use for 2016, the dynamics of forest coverage 2010-2016; and the map of projection of future deforestation.

- Diagnosis of the dynamics of forest coverage for the municipalities of pilot region 2 and analysis of forest dynamics and historical and future carbon are concluded.
- Local capacities developed in REDD+ issues, including geographic information management.

Result 2.5 2.5.2 Methodology for a REDD+ pilot project for montane rain forest is applied

Compliance with QPR-1 2018: 70%

- There is a strategic approach to the implementation of the methodology, for Pilot 1 being: Recovery of Stocks of C, and for Pilot 2: Maintenance of Stocks of C.
- An information analysis on forest coverage change and current land use of the intervention sites in Huehuetenango was developed, which showed an increase of 10% in forest coverage in the areas of project intervention.
- A plan for training in REDD+ has been developed for pilot region 2.
- Digital data was collected for the region to develop reference scenarios, and base maps of forest dynamics were developed with the methodology approved by the GIMBUT and updated for 2016.
- Analysis of potential areas for the development of a REDD+ project has been completed.
- Feasibility study which establishes the potential of REDD+ project in each modality according to the definition of REDD, developed and completed for the area of pilot region 2, which has a surface area of 43.064 ha of forest land for production and protection, which would be potential areas for increase of carbon stocks. Ready to develop according to the National REDD+ Strategy.
- Generation of US\$ 1,435,934.13 of economic benefits based on the promotion that has been done on forestry incentives, improving economic income to communities and individuals of pilot region 2, covering an area of 2.154 ha.
- *This indicator was changed*

Result 2.6 2.6.1. The biological corridor (420 ha) between the remnant forests is established.

Compliance with QPR-1 2018: 95%

- Work was carried out in support of the communities through Conservation agreements, in order to establish the corridors, under a forestry incentive scheme, with different modalities. So far approximately 220 ha of the corridor have been covered.
- 3 maps were developed on ecological connectivity between sites where Conservation agreements take place, to strengthen the conservation and identification process of biological corridors among conservation areas.
- 420 ha of the biological corridor have been completed, in compliance with the 4 conservation agreements.
- Actions were developed to strengthen the maintenance of biological corridors.

- The initiative of the Mesoamerican Biological Corridor was presented by officials of the MARN, within the framework of the Meeting of the Regional Technical Committee of pilot region 2 Huehuetenango, with the aim of providing local stakeholders with an option that allows for the recognition of the Conservation Agreements as tools that strengthen biodiversity conservation.

Result 2.6

2.6.2 Four (4) conservation agreements of the BD and forests between municipalities and farmers/cattle growers associations facilitate the application of two incentives (PINPEP and PINFOR) to maintain the forest coverage (13,843 ha) in a landscape of agricultural and livestock production, and ensures the permanence of the benefits of the project

Compliance with QPR 1 2018: 91% A diagnosis of the current state of all agreements has been developed and currently, the scheme that will allow the sustainability of this territorial management mechanism is being developed.

Todos Santos Cuchumatán Conservation Agreement:

- Documents and forest management plans of 29.97 hectares in coordination with Joya Hermosa Cooperative, are being developed in order to be admitted to the INAB Forestry Incentives Program, in the modality of natural regeneration for the purposes of Special Protection, in the communities Chemal I and Chemal II of the municipality of Todos Santos Cuchumatán, Huehuetenango, in accordance with the activities of the Conservation Agreement with the Municipality of Todos Santos Cuchumatán.
- Meeting with local authorities and beneficiaries where information about the projects of fodder production (Oats) to improve sheep nutrition and establishment of agroforestry systems, in communities in the upper part of the municipality of Todos Santos Cuchumatán, Huehuetenango.
- Assessment and measurement of 43.6 hectares of natural regeneration, in order to be considered in the INAB Forestry Incentives Program, in the modality of natural regeneration for the purposes of Special Protection, in the communities Chemal I, Chemal II and Tuisoch in the municipality of Todos Santos Cuchumatán, Huehuetenango.
- Establishment of 9 hectares of production of forage for sheep nutrition in communities in the upper part of the Municipal Regional Park of Todos Santos Cuchumatán.
- Establishment of 8 hectares of agroforestry systems, with species of *Alnus* sp and *Budleya* sp, in communities in the upper part of the Municipal Regional Park de Todos Santos Cuchumatán, Huehuetenango.
- Assessment and measurement of 31.4 hectares in the modality of natural regeneration for the purposes of Special Protection, in the communities Chemal I, Chemal II and Tuisoch in the municipality of Todos Santos Cuchumatán, Huehuetenango.
- Establishment of 9 hectares to produce 62,100 fodder sheaves for improving sheep nutrition, in the communities of Chemal I and Tuisoch located in the Municipal Regional Park of Todos Santos Cuchumatán, benefiting 77 sheep farmers.

- Implementation of 9 hectares of agroforestry systems with forest trees and grass with *Alnus* sp and *Budleya* species, in communities in the upper part of the Municipal Regional Park de Todos Santos Cuchumatán, Huehuetenango. With this action benefited 77 farmers and contributed to the decrease of soil loss by means of physical measures of soil conservation.
- Formulation and delivery of two briefs to the PROBOSQUE Incentives program, under the modality of Natural Regeneration, with an area of 72.24 hectares, benefiting 34 men and 2 women in the communities of Chemal I, Chemal II and Tuisoch in the municipality of Todos Santos Cuchumatán.
- Assessment and measurement of 6.97 ha of natural regeneration, to be submitted to the INAB Forestry Incentives Program as natural regeneration for the purposes of special protection in the communities of Chemal I and Tuisoch in the municipality of Todos Santos Cuchumatán
- Assessment and measurement of 4.03 hectares of natural regeneration, which will be admitted in the INAB Forestry Incentives Program PROBOSQUE, in the modality of natural regeneration for the purposes of Special Protection, in the communities Chemal I and Tuisoch in the municipality of Todos Santos Cuchumatán.
- Establishment of 6 hectares of agroforestry systems, in the community of Chemal II, Todos Santos Cuchumatán.
- Follow-up of assessment of 80.51 ha for the certification of projects in the modality of Natural Regeneration, admitted in the communities Chemal I and Tuisoch in previous years.
- Implementation of 30 firewood-saving stoves in the village of Tuicoyg in the municipality of Todos Santos Cuchumatán, Huehuetenango.
- Establishment of 6 ha of agroforestry systems in communities from the Municipality of Todos Santos Cuchumatán, Huehuetenango
- Implementation of 30 firewood-saving stoves in the village of Tuicoyg, municipality of Todos Santos Cuchumatán, Huehuetenango.
- Formulation and delivery of two briefs of the modality of natural regeneration, to the PROBOSQUES program with an extension of 1110 new hectares, in coordination with the ECA MAYA Association, municipality of Todos Santos and Joya Hermosa, which will generate economic and social benefits through sustainable forest management.
- Meetings have been held with local authorities and land owners to socialize the natural regeneration project to be admitted to the PROBOSQUE Incentive. As a result of this activity, a list of interested persons has been generated. Likewise, local authorities and land owners have been consulted to socialize the fodder production (oats) project and improvement of folds infrastructure in the villages of Chemal I and Chemal II, Todos Santos Cuchumatán. As a way of support, 45 parcels have been geopositioned which were identified for the forage production(oats) project in the villages of Chemal I and Chemal II. Similarly, for the location of the infrastructure of 45 folds in the community of Chemal I and Chemal II, Todos Santos Cuchumatán.

San Jose Conservation Agreement:

- With the support of the ICOZUNDEHUE organization, identification and measurement of 32 polygons have been identified for the establishment of forest plantations, which are equivalent to 10.96 hectares and 0.69 ha have been identified and measured for the establishment of agroforestry systems in San José las Flores.
- With the support of the ICOZUNDEHUE organization, for the activity of forest plantations, the identification and measurement of 12.80 hectares was made;
- Identification and measurement of 9.72 hectares for the establishment of agroforestry systems, in San José las Flores.
- Establishment of 20.70 acres of reforestation, in communities of influence of the sites San José las Flores, Chiantla and Kab'tzin, San Juan Ixcoy.
- In coordination with the organization ICUZONDEHUE and with the support of the Municipal Office for Natural Resources and Environment of San Juan Ixcoy, 42 hectares of reforestation were established in the site San José las Flores and Kab'tzin municipal area, 20.70 hectares of which were implemented with funds of the Sustainable Management of Forests project and 21.30 hectares with complementary funds.
- An administrative process was carried out for the purchase of materials and inputs for the establishment of 10 hectares of Agroforestry Systems (SAF). These inputs were delivered to the project beneficiaries, and progress was made with the establishment of 3.40 hectares of SAF in communities of the site San José las Flores, Chiantla.
- In coordination with the organization ICUZONDEHUE and with the support of the Municipal Office for Natural Resources and Environment of San Juan Ixcoy, 20.70 hectares of reforestation were established in the site San José las Flores, of which 1541 hectares were admitted to the Forestry Incentives Program PINPEP, benefiting 9 men and 8 women.
- 10 hectares of agroforestry systems with pastures and trees established in the communities: Maravillas, Cimientos San Francisco, Rancho, El Llano, Las Majadas and San Francisco las Flores, of the site San José las Flores in the municipality of Chiantla; benefiting 35 men and 9 women.
- Training of 20 people from the community on prevention and control of forest fires.
- Assessment, measurement and delivery of forest plants for establishment of 6.55 hectares of reforestation, in communities in the conservation site of San Jose, Chiantla, Huehuetenango.
- Planting of 0655 has, with genus Pinus trees, in communities of influence of Finca San José las Flores, Chiantla, Huehuetenango.
- Formulation and delivery of four briefs under the modality of forest plantations to the PINPEP program with an extension of 4.48 new hectares, which will increase the area of forest coverage and support the connectivity between areas, through corridors.
- 5 rounds of control and surveillance in the community forests, in conjunction with the local guards, which are strengthening the community involvement in the care and management of the forest.

- Meeting with local authorities to socialize the signing of the second phase of the agreement between Finca San Jose and FUNDAECO and delivery of tickets for the control of family consumption.

Magdalena Conservation Agreement.

- In coordination with the Association ASILVO CHANCOL, identification and measurement of 36.08 hectares was done, to access the modality of plantation by directed natural regeneration (special project), on sites located within and outside of the Magdalena River micro-watershed.
- In coordination with the Association ASILVO CHANCOL, the identification and measurement of 49.50 hectares, under the modality of planting by directed natural regeneration (special project);
- Identification of 25.57 hectares to be reforested, on sites located within and outside of the Magdalena River micro-watershed, in order to be admitted in the INAB Forestry Incentives Program.
- As a follow-up to the compliance to the conservation agreement, the following activities were carried out:
 - Technical assistance for the construction of 50 family wells in the communities of Siete Lagunas y Magdalena La Laguna.
 - Management of consignment notes for the exploitation of natural regeneration on 33.50 hectares.
 - Technical assistance for the construction of 4 wells to reduce the sediments that are transported to the Magdalena lagoon
 - Files entered in the PROBOSQUE Forestry Incentives Program, in the modality of natural regeneration, for communities within and outside of the Magdalena micro-watershed, with an area of 100.18 hectares and benefiting 73 men and 9 women.
 - Assessment and measurement of 17.53 hectares of natural regeneration in communities within and outside of the Magdalena watershed, in the municipality of Chiantla, Huehuetenango.
 - Identification and measurement of 0.69 ha of natural regeneration, in areas adjacent to the Magdalena River micro-watershed, for later admission to forestry incentives programs.
 - Assessment and measurement of 0.35 ha in communities of the Magdalena River micro-watershed, to be admitted in the last quarter under the modality of Natural Regeneration, PROBOSQUE Forestry Incentives Program, promoted by the National Forest Institute INAB.
 - Implementation of 30 firewood-saving stoves, in the communities of influence of the Magdalena River micro-watershed, in the communities of Magdalena, Tunima Grande and Siete Lagunas, in the municipality of Chiantla, Huehuetenango.
 - Monitoring and technical assistance for the maintenance of physical structures (dead barriers and infiltration wells), implemented in the Magdalena micro-watershed.

- Assessment and measurement of 0.35 ha in communities of the Magdalena River micro-watershed, to be admitted in the last quarter under the modality of Natural Regeneration, PROBOSQUE Forestry Incentives Program, promoted by the National Forest Institute INAB.
- Implementation of 30 firewood-saving stoves, in the communities of influence of the Magdalena River micro-watershed, in the communities of Magdalena, Tunima Grande and Siete Lagunas, in the municipality of Chiantla, Huehuetenango.
- As part of the support to the conservation agreements, 5.16 new hectares of forests were measured, which are part of communities of the Magdalena River micro-watershed, which will be admitted to the Forestry Incentives Program PROBOSQUE, under the modality of Natural Regeneration, thus improving the processes of natural forest recovery.

Conservation Agreement for Cerro Cruz Maltin:

- 72 field trips for the control and monitoring of the Cerro Cruz Maltin conservation area, in the municipality of San Pedro Soloma.
- In coordination with the Barillense Farmers Association (ASOBAGRI), a Letter of Understanding proposal for the implementation of the Conservation Agreement of the forest and biodiversity conservation area of Cerro Cruz Maltin, in the village of La Floresta, in the Municipality of San Pedro Soloma, Huehuetenango.
- It was signed a letter of understanding with ASOBAGRI, whose objective is the certification under the Bird Friendly seal of at least 10 ha in the community of La Floresta in the municipality of San Pedro Soloma.
- Elaboration of a diagnosis of coffee farms in the community of La Floresta, to begin the certification process under the Bird Friendly seal.
- 21 hectares of certified organic coffee in the village of La Floresta in the municipality of San Pedro Soloma, of which 8.31 hectares are with the Bird Friendly seal and 12.96 hectares with the HAS seal, Cafe Femenino and Fair Trade, benefiting 29 families.
- Signing of the second phase of the conservation agreement that consists in the development of activities for the control and surveillance in a part of the Cerro to minimize hunting.
- 24 field trips for the control and monitoring in Cerro Cruz Maltin site in conjunction with the community.
- 36 field trips made for control and monitoring in Cerro Cruz Maltin site by the community La Floresta. 110 people from La Floresta community, municipality of San Pedro Soloma, have made 24 field trips for the control and monitoring of more than 600 ha in Cerro Cruz Maltin conservation site, as part of the commitments of the Conservation Agreement between the cited community and FUNDAECO.
- 110 people from La Floresta community, municipality of San Pedro Soloma, have made 24 field trips for the control and monitoring of more than 600 ha in Cerro Cruz Maltin conservation site, as part of the commitments of the Conservation Agreement between the cited community and FUNDAECO.

- Establishment of 3.61 ha of new coffee plots with CATIMOR variety, to start the process of organic certification and renewal of 1.96 ha with new plants from areas certified by ASOBAGRI, for the purpose of maintaining and improving the connectivity of the forest areas, by means of agroforestry systems.
- 45 field trips for the control and monitoring of more than 600 ha in Cerro Cruz Maltin conservation site, as part of the commitments of the conservation agreement between the community and FUNDAECO.
- With the aim of supporting the certification processes of agroforestry systems, community coffee benefit derived from the conservation agreement is being developed, benefiting 34 families with an amount of US\$ 4,669.42.
- Follow-up of the letter of understanding signed between ASOBAGRI and FUNDAECO to establish the process of assessment of coffee plots established in 2017.

Protection and conservation of forests around the municipal area of Piedras de Kab'tzin:

- With the support of the Municipal Office for Natural Resources and Environment of San Juan Ixcoy and the participation of beneficiaries, the identification and measurement of 28.8 hectares in the modality of protection; areas that will be admitted later in the PINPEP incentives program of the INAB.
- With the support of the Municipal Office for natural resources and environment of San Juan Ixcoy, 9.69 hectares identified and measured for reforestation areas.
- Development of 5 plans under the modality of forest management for protection purposes, with an area of 28.8 hectares, to be inserted to the PINPEP incentives program of the INAB
- Establishment of 3.17 hectares of reforestation in communities of influence to the municipal area Piedras de Kab'tzin. Technical assistance to the organization ICUZONDEHUE for the establishment of 12.86 acres of reforestation in communities of Kab'tzin.
- Entry of 7 files with an area of 31.35 hectares to the PINPEP incentives program, in the modality of protection, from the communities of Pepajau, Las Milpas and Kinini, in the municipality of San Juan Ixcoy.
- Development of 12 records with an area of 2236 hectares to be admitted in the month of October, in the modality of protection to the PINPEP program of the INAB.
- Establishment of 12.80 acres of reforestation in communities of influence to the municipal area Piedras de Kab'tzin, in support of the Association ICUZONDEHUE.
- 10 files prepared to enter 5.95 hectares to the PINPEP forestry incentives program, in the modality of forest plantations, benefiting 4 women and 6 men.
- 1.20 hectares certified of agroforestry systems with the PINPEP forestry incentives program, in the area of influence of the Municipal Park Piedras de Kab'tzin.
- 25 files entered the INAB for the forestry incentives program PINPEP for a total area of 71.90 hectares under the modality of management of protected forests, in the communities of influence in the area of the Municipal Park Piedras de Kab'tzin, benefiting 13 women and 12 men.

- Assessment and measurement of 2.83 hectares' potentials for the establishment of forest plantations in communities of influence municipal regional park Piedras de Kab'tzin, San Juan Ixcoy, Huehuetenango
- Activities have been carried out with members of the municipalities and communities on climate change, biodiversity, forest management, among others.
- With all of the above, it is expected to improve local capacities at least 10%, in order to optimize the application and inclusion of tools of SFM, REDD+ CC, mitigation and conservation of BD in local development plans in order to contribute to the institutional sustainability of the project results.
- Creation of two Natural Resources commissions, in the communities Txamaylaq and Kinini, of the protected area Piedras de Kab'tzin, San Juan Ixcoy.
- With the support of the Natural Resources and Environment Office of San Juan Ixcoy, plants were identified, measured and delivered for the establishment of 2.62 ha of forest plantations in communities of influence in the municipal area Piedras de Kab'tzin, San Juan Ixcoy.
- 0545 has been reforested in communities of influence to the Municipal Regional Park Piedras de Kab'tzin, San Juan Ixcoy, Huehuetenango.
- Assessment and measurement of 31.61 ha for the development of management plans in the modality of protection, with the aim of entering them to the PINPEP incentives program in the last quarter.
- 0545 has been reforested in communities of influence to the Municipal Regional Park Piedras de Kab'tzin, San Juan Ixcoy, Huehuetenango.
- Assessment and measurement of 31.61 ha for the development of management plans in the modality of protection, with the aim of entering them to the PINPEP incentives program in the last quarter.
- 4.15 new hectares with their complete files submitted to the National Forest Institute, in the modality of forest plantations, to enter forestry incentives programs PINPEP and PROBOSQUE in communities of influence in the Municipal Regional Park Piedras de Kab'tzin, San Juan Ixcoy.
- With the support of the Universidad del Valle de Guatemala, 6 sustainability initiatives for 2 Conservation Agreements were prepared corresponding to La Finca San José y San Francisco las Flores, and Laguna Magdalena micro watershed. For the Conservation Agreement for San Jose and San Francisco las Flores the following was presented: Plan of protection, restoration, control and monitoring of the communal forest; assessment of the tourism potential of the high part of San Jose and San Francisco las Flores; and with the intention of a strategic planning to establish medium and long-term actions, a Joint Plan of Action was developed for a period of 5 years.
- For the conservation agreement with Laguna Magdalena micro watershed and, the following are submitted: the proposal of tourism administration; Sanitation Plan of the micro-watershed and Magdalena lagoon, as well as their joint action plan for 5 years.

Result 2.7

2.7.1 Strengthened capacity of municipalities and members of the communities in the western region to include tools for SFM, REDD+, CC mitigation and conservation of BD in the local development plans in order to contribute to the institutional sustainability of the project results.

Compliance with QPR 1 2018: 45%

- Work was done on the definition of the required criteria and to provide inputs for the development of good practices. Particularly, the techniques for sustainable land management have improved through the implementation of contour plowing, protection of forests with forest incentives, improved sheep herd management in order to minimize soil compaction and destruction of natural regeneration, through the improvement of the folds.
- 24 workshops were conducted in 24 municipalities of Todos Santos Cuchumatán, Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia and Petatan on the alignment of the municipal development plans to the national government plan, review and update of the PEI-POM-POA.
- Support in the implementation of 6 workshops on municipal development plans linked to the National Government Plan in the municipalities of Todos Santos Cuchumatán, Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia and Petatan,
- Consultations and workshops have been carried out to identify good practices that allow the protection of biodiversity, sustainable land management, adaptation to climate change.

Result 2.7

2.7.2 Criteria for the conservation of the BD (ecosystem connectivity and buffer zones of APs) and agriculture and livestock practices incorporated in sustainable development plans in five (5) municipalities.

Compliance with QPR 1 2018: 40%

- Work was done on the definition of the required criteria and to provide inputs for the development of good practices. Particularly, the techniques for sustainable land management have improved through the implementation of contour plowing, protection of forests with forest incentives, improved sheep herd management in order to minimize soil compaction and destruction of natural regeneration, through the improvement of the folds.
- Support in the implementation of 6 workshops on municipal development plans linked to the National Government Plan in the municipalities of Todos Santos Cuchumatán, Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia and Petatan,
- Consultations and workshops have been carried out to identify good practices that allow the protection of biodiversity, sustainable land management, adaptation to climate change.

Result 2.7

2.7.3. Five (5) monitoring systems at the municipal level in order to assess the benefits of SFM/REDD+ and BD

Compliance with QPR 1 2018: 20%

- A first proposal on the criteria necessary for the monitoring system has been drawn up in which amphibians have been defined as the indicator species to assess the impacts of the implementation of SFM/REDD+ practices and management of protected areas.
- A first methodological proposal for the development of the construction process of biodiversity monitoring systems was drawn up. With the support of the Universidad del Valle de Guatemala, a methodological framework and capacity assessment for the implementation of a community-based biological monitoring system were developed; the process has been completed, submitted, and socialized to members of the communities linked to the conservation agreements in pilot region 2 of the project, through 3 workshops.
- With the support of the Universidad del Valle de Guatemala during the present period, the proposal for a biological monitoring system was concluded, which includes community-based methodology for the sampling of indicator species in vegetation, the methodology for sampling of amphibians, reptiles and birds. Methods for data collection and information analysis, responsible for the different system components. Which is ready for the collection of information in the field and contribute to the final assessment of the indicator status established in the project.
- Progress was made in the preparation of educational materials to implement the system for the guide to the identification of tree, bird and amphibian species, as well as the guide to the identification of biodiversity in the region of Huehuetenango.
- These are in implementation; it is expected that UVG presents results of the first monitoring sampling in the forthcoming report

3.4.2 Relevance (*)

The evaluation found this project is RELEVANT (R)

As a project with multifocal areas, it has a commitment to the GEF to achieving global environmental benefits in biodiversity, climate change, land degradation and sustainable forest management; that is why it has tracking tools) to corroborate that these environmental services were achieved or not.

For the MARN as the lead agency on environmental issues, all topics related to this project are a priority, although the project as such, is run by the INAP and the CONAP. This is reflected in the many efforts that the Ministry carries out, such as the development of planning tools including the K'atun. When the project document was designed, the national development plan (K'atun Nuestra Guatemala) had not yet been developed or approved. That is why the project is not aligned with this document but with the priorities of the Government at that time; therefore, it is aligned to the CPD and the national priorities on the environmental issue, and to the UNDP itself, responding to the priorities of the donor, GEF. Despite this, the project itself does have a link with the plan's axes and priorities and with the prioritization the country has made with the country's development

objectives, and with the most recent exercises for the development of the country's strategic priorities, where the sustainable development and conservation of nature have been envisioned.

In the budgetary financial allocation at the national level, looking at the INAP budget, it is possible to identify that this institution is a government priority, that doubles or triples the. That is to say, there is a relation from public policies to funding opportunities like this.

In addition, the project has also taken cultural and socio-economic realities into account in the area of intervention, since its design, but with greater clarity and intensity from replacement 6 of the project, where a qualitative leap in the project is given to strengthen the participation of the different stakeholders. The participation of local-community was taken into account in the design, but not at a mandatory level. In the design, capacity measurement and appropriation of new knowledge are seen, but mainly at the municipal level, institutional officials, although not at the "person" level; the design does not reach that level.

From replacement 6, there is a strategy for the integration of people as individual stakeholders. As it is not an integral construction of the REDD with the community, organizations, municipalities, local stakeholders mainly in the south-east, it was not possible to launch them. From the previous strategic plan, a boost was given to identify specific population groups with whom to work with on the projects, not only institutions. Through the changes and improvements made from replacement 6 and during replacement 7, the project has also strengthened its gender mainstreaming strategy and multiculturalism, due to the fact that it is not the same to implement a project in the southeast than in other regions, from the issue of land tenure and privacy.

Stakeholder Participation

The participation of stakeholders has been active since the design, identifying priorities, including the minutes of the technical committee advisors, including the MARN as a GEF focal point, which convened different institutions and partner organizations to form committees for several projects, including this forest project. That way, the design that took 18 months was jointly done and a pool of consultants was hired to carry out the PPG phase where components, indicators, and baseline were validated. UNDP has taken the role of guiding thread in the processes of changes and adjustments in the path, as it has included a change of Administration/ Government, for example, and governance structures had to be strengthened that have been developed after the design/formulation of the project, such as the Inter-Agency Coordination Group (ICG) that started more focused on REDD and now is focusing on climate change. Strengthen this ICG is critical, as is the group that will follow up on this topic and various projects linked to it, starting with this new administration.

Coordination during the implementation was done with different partners, such as INAP, CONAP, MARN, FUNDAECO, INE. However, the meetings with the Technical Advisory Committee, which are held about 3 or 4 times a year, had a more informative approach rather than a coordination approach, and the meetings were bilateral; so, for this project, this was a challenge, in contrast to the coastal marine project- where this instance/group had a different role and is even requesting to

be institutionalized. That has not happened in this project. On the other hand, other instances might have had greater participation during the implementation but were not taken into account, such as private sector companies, in addition to AGEXPO, that understand, e.g., how forest nurseries work in the different municipalities, but thinking of seedlings reforestation capacity, because it is not enough. This was a need that could have been supplied with more participation of private companies with reforestation activities or solidarity activities.

There are stakeholders who have had less participation, such as the municipalities, not because the project has wanted it that way, but because perhaps the environmental axle is not contemplated as a priority in the municipal autonomy, which is why some municipalities joined more than others. This was perhaps a weakness, but not of the project itself, because this depends on the municipal authority since there were municipalities that became more involved and strengthened their environmental management offices. Regarding institutional arrangements for the implementation of the PRODOC, there is a Project Board and a CTA. The Project Board is at the highest level, for the decision-making, with representatives of the UN, UNDP, MARN. The CTA is more of a governance mechanism, a more technical entity, to encourage more stakeholders to participate. I think it is a good coordination mechanism because the CTA is more informative of what the MARN does, and also of what the INAP, CONAP, other projects, consultancy results and Agreements of Micro- Capital do. The CTA mechanism manages to coordinate and do joint activities and break deadlocks in anything that ought to be solved. The CTA is proactive, of inter-agency coordination for various projects.

The change in partner participation with respect to the design and implementation, at the public sector level, is reflected in that for the design, the central focus was INAP, CONAP, MARN and then others joined, such as the INE, since there is an approach of adaptive flexibility for developing the project dynamically. Criticism that can be made to this specific project is that there should have been more coordination to establish alliances and a governance structure - this was not achieved.

The case of FUNDAECO, which is in the area for more than 20 years, and also manages other own projects (which is the reason why they already knew local stakeholders), had a presence locally and under the GEF and will continue to have a presence after the project. This is how greater ownership and involvement with the project could be achieved, as well as the sustainability of the actions that have been developed.

A Local Technical Committee has also been formed, with representatives of the executive branch at the local and municipal levels so that to these instruments that were created in the project remain institutionalized. Thus, this project adds to the REDD+ conservation strategy that will soon start its implementation phase. Somehow, although this project was part of the design, it was not ready during the project implementation. This project is complementary because it added to the REDD strategy that was under construction and now is ready at MARN level. This is how the project implementation coincides and collaborates to have the REDD strategy ready and even it could be assumed that some good practices identified by the project were included in the strategy.

Internal Consistency

With respect to the internal coherence of the project design, it is valued as positive. In addition, it should be noted that it was one of the first multifocal projects and it responds to the GEF priorities, which entails greater challenges in order to achieve the necessary integrality. Possibly new projects improve the creation of linkages; this project worked with FUNDAECO on the theme of biodiversity and left the relationship with NGOS a little aside. The institutionality and changes of the agenda that occur with changes in administration/government led to conduct all biological monitoring with one agency and then with the other, for example.

There is a coherence because of the participatory approach that includes the partner organizations that have the most important mandate, although this leads to wear and tear for the UNDP but is more positive for the project. On the other hand, at this moment the MARN is taking a different participatory approach, so that the implementing agencies compete to see who raises the "best proposal" instead of building together an integrative proposal. From the beginning, this project could be viewed that it planned to get very ambitious results, such as the payment by results, which did not succeed, and that depended on another strategy at the national level, which is the REDD strategy. The REED strategy was another stakeholder and has non-executed vacuums (in three years it had 10% execution) because it was the IDB the entity that transferred funds to the government. With respect to the role of FUNDAECO, it is important to understand the environmental sector in the country, the rest of the social-environmental organizations that participate, the ICC, and then the institutional framework that is diverse and the governments that change. For the UNDP it is a challenge to learn to walk with all stakeholders in the definition of new projects.

In addition, consistency is also observed in the handling of the topic itself, because you get to see the forest from an approach linked to the ecosystem. Their linkage with the water was taken into account through the inclusion of two watershed management plans, to measure the adaptation measures and alternatives to reduce the energy matrix or environmental stress that is placed on the forest, incorporating things related to drought as well.

There are logical links between expected project results and the project design (in terms of project components, choice of partners, structure, implementation mechanism, scope, budget, resource use, etc.). For example, the project design included and expected KFW financing for the achievement of objectives and activities; however, that financing did not take place and the project was funded by GEF, which may have influenced the results. The GEF has a concept different from the majority of bilateral agreements, for example, AYD works in reason 1:1, that is to say, "I put a dollar and you put a dollar". With the GEF it is the other way around, I give you a dollar if you work with a dollar, but you have to identify it from the beginning. The advantage with the GEF methodology is that the expected vision is 100% identified from the beginning. The difficulty with this project is that a co-financing of about USD 9 million was expected, derived from a dry corridor project, which was scheduled to start at the same time than this project. However, the KFW project is starting at the end of the project because of all the debt swap red tape, and just this year it started hiring staff to start activities.

The GEF project integrates all of this co-financing, which influences the achievement of results, although, at the same time, the project is backed with fresh cash from the GEF and co-financed by the MARN with what was identified as institutional burden capacity. Another burden capacity that institutions such as INAP and CONAP did not want to identify at that time, which did not give co-financing despite the fact that the INAP, for example, is a priority partner for this project. This, however, does not limit that it can be part or not because it does not function as memberships. But it is a great challenge achieving results with a co-financed budget, compared to achieving results with only one of the parties.

In addition to the foregoing, during the implementation, there is a change of the project indicators in the results matrix with respect to the PRODOC, as it was not feasible to reach payment by results: no ton of carbon was sold, the national REDD strategy had not yet been implemented, and the mid-term assessment also asked for adjustments. This was approved by the Technical Advisory Committee and by the Project Board in 2017. These were substantial changes from design to implementation, although they do not change the components.

Project Duration

It is considered sufficient to achieve the proposed results; delivery of the described products was met in the set period. On the other hand, the national REDD strategy continues, there is a contribution from the FCPF to the country to the results aimed for the World Bank, and for forests, support is coming from NAMA Facilities to learn how to leverage the forests as energy, and piloting of this project served as an example for this IDB initiative.

How do we ensure that the lessons learned from this project will be incorporated in the KFW for its new project?

UNDP, in conjunction with the KFW, has contributed to the conceptualization to transfer the knowledge gained from the MDGS and the windows on climate change, and in addition, when the project was readapted, all the knowledge from the Adaptation Fund was shared for the design. In the case of the MARN, the same stakeholders will be participating in both projects, enabling continuity in the processes.

3.4.3 Effectiveness and efficiency (*)

The evaluation found this project is Moderately Satisfactory (MS)

Effectiveness in achieving the expected/anticipated results

Progress has been made to achieve the objectives of the project, although within the theme of the theory of change, the determinants stemming from the context have been identified, and the risks associated with the topic of FUNDAECO, levels of governance, there are many elements that have been met, providing important contributions. On the other hand, indicators have been changed, aspect that does not direct the project toward the results initially defined, but that have been validated along the way according to the context.

During the implementation critical risks were not identified; adjustments and delays have been reported with regard to the milestones defined; as for disbursements initially projected and accumulated, the curve after the first two years is very forced to achieve results and disbursements. Apart from this, one can identify improvements that could be recommended to UNDP from a structural perspective with regard to good practices for planning and managing for results. The PRODOC is an x-ray of the time, there was a change of government and personnel turnover, not always the institution that designs the project is the same that implements it. Like all projects, adjustments must be made during the implementation to achieve the goals, and as mentioned earlier, the project was very ambitious when setting some targets that had to be adjusted in accordance with the reality of the country. In this regard, assessments, both mid-term and final, are indispensable to give alerts and be able to adapt and make decisions at the right time. Thus, as a result of the mid-term review, it was recommended that some indicators of the results framework be changed. This is substantial in terms of the design and what could be achieved during the implementation, as well as the way the indicators were defined.

Risk Management and Project Assumptions

A latent risk is the change of administrations, including the municipalities. There are small actions that are good practices to mitigate these risks, which do not have to come necessarily from UNDP but from the UGP. Although in the mid-term assessment it is mentioned very superficially, it does not reach the level of mitigation strategy.

Efficiency of the project in accordance with international and national norms and standards

In general, it can be said that in regard to project management, disbursements, per diem, the project was efficient. From the perspective of the MARN, the fact that the project is to be implemented nationally through the UNDP has made possible a greater capacity building and institutional strengthening.

Results-based management approach during project implementation

The UNPD Monitoring Unit provides follow-up to the project through the compilation of lessons learned, progress in the quality of the activities, compliance with indicators, gathering of information to update the systems. In addition, its office plan focuses on those projects and key issues each officer is in charge of, to be integrated later in the office annual plan, which also is reported in the annual results report.

Regarding the UGP, this entity has not defined the resources and staff to monitoring, despite having tracking *tools* for example, which could be a weakness starting from the design.

QPRs are a good tool, although incomplete by themselves (they have to have evidence backup and information crossover), are an important instrument but crossed with other tools and with better data collection based on the evidence. There is no system as such, on the check of the quarter and equilibrium with what follows, there is no variation analysis on if what they report for a period was what was planned for that period. Neither has there been a cross-over and analysis between the

two pilot areas, they seem to be two different bodies, two different projects. What is there to do when having two regions included in the same project? How can this be included from the design? Has the role of the CTA had an impact on the development of the activities? Did it have an impact on M&E and accountability?

3.4.4 National involvement

According to the interviewees and, based on the document review, it is clear that the project was aligned with relevant strategies, as well as with the legal framework and sectoral policies. Specifically, the entities had it clear that their participation in the management of the project would contribute to: "To strengthen the processes of soil management and forests, and the conservation of BD for ensuring the flow of multiple ecosystem services while ensuring the resilience to climate change."

From its conception, the project was aligned with national priorities and the UNDP country program plan and under the direction of the Ministry responsible for environmental issues. The participation of key entities in the sector, such as INAB and CONAP ensured the integration and complementarity of activities managed in the two regions of intervention. Additionally, the participation of FUNDAECO that has active presence in the western region for over 15 years, and the Municipalities have positioned the level of visibility, and knowledge of the topic in a better way. Although most of the municipalities got involved with little basis in the topic of forest management (SFM and SLM), they showed their interest in capacity building by signing the cooperation agreements. The environmental offices of the Municipalities appropriated and leveraged the technical and logistical support provided by the project.

The authorities of the MARN pointed out that the project has many lessons learned and practices that will be replicated in their project's portfolio.

3.4.5 Sustainability (*)

The evaluation found this project is Moderately Unlikely (MU):

According to the PRODOC, tasks of ecological/environmental sustainability, as well as social, institutional and financial tasks will be implemented. The ecological sustainability of the project outputs will be achieved through the implementation of actions that will allow for the recovery of forest coverage in the two pilot areas. Contribution to the conservation of BD and forests will be attained through the establishment of long-term conservation agreements between the environmental authorities and local communities in the western region (Pilot 2). Thus, 30 years of effective implementation will help to avoid deforestation of dry and rain forests in the two priority regions far beyond the duration of the project.

The social sustainability of the project will mainly be achieved through the direct involvement of communities and local governments in the planning and implementation of SLM SFM activities, and of conservation of the DB, as well as through the direct and indirect economic benefits of long duration that these actions will generate. These include: social and economic benefits derived from the adoption of energy-efficient stoves that will facilitate the cooking of food while reducing

firewood consumption and GHG emissions, the implementation of sustainable agroforestry that will contribute to food security and income generation, improving forest carbon stocks and the connectivity of ecosystems, and better access to economic incentives to maintain and improve forests coverage through programs such as PINFOR and PINPEP.

With the implementation of the policy instruments for climate change activities, the participation of the local population in both priority regions will be increased, the appropriation and empowerment on the communities' part and the local governments of the established systems for sustainable forest management and for the recovery of degraded lands will be promoted; and areas with forest and agroforestry coverage will be increased in the two prioritized regions. This will contribute to a sustainable supply of environmental goods and services that will benefit the communities and local governments by helping to ensure their long-term commitment to the SFM and the SLM.

On the other hand, four (4) conservation agreements in pilot region 2 will strengthen the involvement of local authorities (municipalities) and civil society, improving communication and coordination between the two, which will result in long-term cooperation relationships. Based on the above, it is expected that the project will enjoy social sustainability in both prioritized regions as it will improve the living conditions of the population in the medium and long terms.

The financial sustainability will be achieved through a series of related activities, such as the strengthening of inter-agency cooperation mechanisms between the MARN, CONAP, INAB, MAGA and ANAM for the development of joint proposals for the implementation of SFM and SLM planning and financial management, and the capacities developed at the municipal and community levels will facilitate the adoption of SFM and SLM at the local level. Conservation agreements of the BD and the forests between the municipality and the agricultural associations have been designed to facilitate the implementation of two incentives (PINFOR, PINPEP) that would allow to maintain forest coverage in the landscapes of agricultural and livestock production prioritized in the western region.

At the end of the project, it is envisioned that the sustainability of this initiative will be in the hands of others; the risk of the sustainability of the processes is also envisioned, of how the linkages with the "*grantees*" were done, mainly at the level of social sustainability because at the economic level, much impact might have not taken place. As the project closes and resources get lower, and within the institutions a follow-up has not been planned, perhaps the INAP should have taken advantage of strategic interventions, such as institutional and financial reengineering or redesign as part of the *expertise* of UNDP. However, at the time of the project, its need was focused on the possibility of operating and review its five-year plan. For the UNDP, since the project has not left a strengthened governance structure, there is concern about to what extent the inter-institutional space developed during the project is sustainable and usable. Meetings are held because there is an invitation from UNDP and for this reason the instances take part, but there is concern that this space really becomes a structure of coordination with regard to government priorities, beyond the specific project. To put it in a nutshell, established activities were carried out as part of the project -meetings, training,

attendance lists- but as we compare with the management observed from other projects' partners, we identify a vacuum for the forest project.

According to the MARN, the national execution of the project makes it easier to ensure its sustainability, although it was difficult to start at the beginning, the same coordinator was kept for two projects, as the decision to have a joint executing unit was taken (coastal marine and forests). On the other hand, there is another project to be called Lifeweb initiative 2 (KFW) that will continue with the actions already initiated in this project and will focus more on forest protection and payment for environmental services, but the project has already laid the groundwork.

At the political level, it is expected that the issue would have sustainability at the national level due to the portfolio that exists. With the GSI that is being reactivated and although the project is about to finish, the issue continues to be managed and the fulfilment of the MDC are being managed. Political commitment is observed with the implementation of the REDD+ Strategy that remains a priority not only for the MARN, but also for the theme of forests. The financing of public policies and the conservation of forests and on our part. The Government of Guatemala has already committed itself to the reforestation of 1.3 million hectares by 2032. This commitment is internalized; it is an international commitment of the MARN to fulfill the goals they have set.

3.4.6 Impact

The evaluation found this project has a SIGNIFICANT Impact (S)

There are indications that the project has contributed to reducing environmental stress or to improve the ecological status. Such is the case of the INEP, that in the intervention areas can show statistics of forestry incentives before and after, showing how the data triples or duplicates, and these are positive Project contribution to results. On the other hand, since the incentives are for 10 years, during that time the owner will learn to leverage forests in other ways, will internalize processes. A plan is being created for them, though absorbing this knowledge is an educational process, and it is that what will produce sustainability, to build a responsible management of the forest as well as the sustainable use of the forest to generate income.

4. Conclusions, Recommendations and Lessons

Conclusions

Relevance

- The project is fully aligned with national policies and legislation, with the strategic priorities of donors, and with the needs of the area of intervention. Of particular interest is the non-duplication and complementarity of the activities of the project with other related interventions carried out by the MARN (e.g. the PPRCC and its activities on climate change adaptation measures).
- The alignment of the project with national policies and priorities is a necessary but not sufficient condition with regard to sustainability of interventions. On the one hand, the alignment ensures that the main lines of intervention can be incorporated (evidencing national ownership) as actions to be taken by relevant institutions when the project comes to an end. On the other hand, however, there is a risk that the alignment of the project with national priorities does not have sufficient financial support to ensure its continuity. This risk can be reduced, on the one hand, when the leadership of the highest national authority and his team positions the importance of the issue in the Ministerial Cabinet and thus achieve a budget increase by the Ministry of Finance, and, on the other hand, with the modernization of the entities responsible for implementing the policies with a focus on managing for results.

Design and results framework

- Participation of stakeholders
 - From the project design, the participation of the different stakeholders was decisive in the intervention (joint activity with a duration of 18 months). UNDP has played a key role to lead the processes of change and adjustments (when taking into consideration all changes in administration/Government), strengthening governance structures such as the Inter-Agency Coordination Group (ICG).
 - The role of the Technical Advisory Committee was recognized in the informative field, but not in the coordination field. Technical progress of the project and agreed actions for improvement/adjustment were presented in the meetings of the Committee. Many of the key stakeholders recognize the importance of the CTA, but, at the same time, they concluded that its role was not very purposeful/active and that the potential capabilities of that instance were under-utilized.
 - The Project Board conducted an acceptable work in terms of coordination, but the results were unknown to all stakeholders of the project. While the Project Board carried out an important analysis of the projects portfolio,

- overall results and the need for operating settings, many of the stakeholders said they were unaware of its role.
- *****Despite the fact that the project included productive hand-in-hand chains with AGEXPORT, as well as the participation of the INDE and Cementos Progreso that provided plants for reforestation, it is considered that a greater inclusion of the private sector (which the project could have had, mainly from the point of view of corporate social responsibility linked to reforestation activities of solidarity) could have led to additional support to the forest nurseries in the municipalities.
- The mid-term assessment had a decisive effect in the project. In terms of design, said assessment proposed the revision of the project theory of change and the strengthening of its gender dimension. On the other hand, the most important modification in the framework of the project results corresponded to changes in the proposed indicators that were approved in February 2018.
 - In the eastern region:
 - The proposed change allowed to consider protected acres in the modality of protected forests, a modality adjusted to the reality of local policies and practices.
 - In the western region:
 - Given the short progress observed in the implementation of the National REDD+ Strategy and the dynamics of land tenure, the proposal for consideration of protected hectares in the modality of protection forests and the benefits associated with them, was effective to quantify progress considering the action of the forestry incentive programs.
 - The change of the CCB standards approach to the incentive schemes of national forest and agroforestry schemes certified by international seals allowed to have a realistic vision of progress in the result 2.
 - The change in approach toward the determination of avoided emissions from deforestation of forests, through National Forestry Incentives programs in the modality of forest protection, proved more effective than the quantification of emissions avoided through REDD modalities.
 - In general, the project had coherence between its design and implementation because it considered the forest theme from an approach related to the ecosystem. For example, account was taken of the hydrological theme, the measurement of implementation of adaptation measures and the consideration of alternatives to reduce the energy matrix or environmental stress that is generated to the forest.
 - Although the project initially managed to improve municipal and institutional capacities, from replacement 6 of the intervention there is a strategy for the integration of people as individual stakeholders and strategy to incorporate gender

in the implementation of the projects. However, given that from the beginning of the intervention these aspects had not been considered, it was a challenge for UNDP trying to integrate them into the implementation of activities.

Cross-cutting aspects

- The project was able to integrate gender elements in the actions (mainly those of capacity-building) at the institutional and local levels. An important achievement in this aspect is the support provided for monitoring the implementation of the Environmental Gender Policy and the facilitation and support for the development of courses for the inclusion of gender considerations in the processes of sustainable forest management carried out in 2017. In this way, the project was able to convey an important message about the role of men and women in the sustainable management of forests and soils.
 - On the basis of their interventions, the project enabled the protection of the right to life and family welfare, cross-cutting issue in all activities of sustainable forest and soil management.

Project Management

- Despite the efforts of the UGP, of the specific recommendations of the RMT, and the availability of tools, and the quarterly update of information in the Atlas system, the monitoring function was not implemented in an optimal manner. The reports of M&E are basically QPRs and do not focus on aspects such as data quality. On the other hand, there was a M&E system at the start of the project, there was a systematization of documents, a lack of generation and dissemination of information was identified (e.g. products of consultancies).
- A positive aspect is the integration of some elements of M&E of the project with the national systems. The project reports to the MARN and this, in turn, reports to the SIGEACI, the national system fed by all the bodies of government.
- With regard to financial management, the project had good capacity and human resources. However, many stakeholders said they had not received information on financial management (achievements and bottlenecks) and mentioned the delays generated by UNDP in the specific case of recruitment processes.
- The rotation of staff and the short duration of contracts in some institutions as the WIZ generated some bottlenecks in terms of management. This adds to a context that included change of government and ministerial representations on three occasions, as well as a local dynamic with high turnover of municipal technicians, which also carries a risk of affecting the management and sustainability of the interventions.

Effectiveness

- The project achieved a satisfactory progress in obtaining results linked to:
 - the updating of policies, plans, guides and information systems (e.g. Formulation of the National Policy of Land Degradation, Desertification and Drought, the update of the National Action Program on Combating Desertification and Drought (PROANDYS) and the reform of Agricultural Policy in Guatemala).
 - The protection of forests under sustainable management mechanisms through incentives and international certification.
 - Rehabilitation of hectares through reforestation of native species, the management of natural regeneration and establishment of agroforestry and silvopastoral practices in the dry forest ecosystems and rain forest
 - emissions avoided by deforestation by forest type
- Component 2 of the project, which includes pilot projects in the south-eastern region of Guatemala, made headway in the socialization of the watershed plans that incorporate the MST; pilot farms; a sustainable value chain for coffee and a program to promote and implement the use of safe kitchens.
- The project achieved satisfactory results in terms of strengthening institutional capacities, equipment and the development of key technical documents (e.g. strengthening to the municipal offices of the MARN/Environmental and Natural Resources Management, support to the INAB, promotion and certification of forestry incentive programs, updating of Municipal Development Plans and Land Use in the annual plans (IEP-POM-POA) of the municipalities of the two pilot regions of the project, the development of strategic tools for the sustainability of two conservation agreements, equipment for wildland firefighters to improve the control of forest fires (activity that contributes to reducing environmental stress)).
- The project was significantly effective, self-critical to improve its mass communication strategy through at least 16 activities related to dissemination of communicative material and press releases. Although during the initial stage, communication was sporadic, a positioning strategy for the project was defined and person was hired to be in charge. During the last quarter of 2018, the project will produce 2 documents for the exchange of knowledge which will include best practices and lessons learned.
- The intervention promoted the close inter-institutional collaboration between the INAB, MARN, MAGA, FUNDAECO, municipalities, local government focal points, landowners and other local partners.

- A significant gap in effectiveness was due to the lack of formal delivery of training materials in print and electronic format after the conclusion of activities. These materials are handled discretionally at the end of the project by FUNDAECO and the Project Management Unit in both regions 1 and 2.
- Some of the products are in the process of approval which constitutes an obstacle to obtaining the results associated with them. Such is the case of the PLANDYS, that requires the issuance of a governmental agreement on the national policy of Degradation, Desertification and Drought for its approval. A similar situation occurs with obtaining the approval of the Regulations under the Climate Legal Framework the project supports.
- In its design stage, the project was too ambitious in the approach of some targets, which led to the need to modify them following the recommendations of the mid-term review in order to bring them into line with the local reality.

Effectiveness

- The project has achieved satisfactory progress in achieving results linked to the updating of policies, plans, guides, and information systems.
- The project has contributed to the goals of the SFM and SLM.
- The monitoring function has not been implemented in an optimal way, despite having some tools for it. The reports of M&E are basically QPRs and do not focus on aspects such as data quality, neither has a base line been identified that includes data methodology, data analysis system.
- At the end of the Project, corrective decisions are taken, which are the result of the recommendations of the RMT, although in the opinion of the evaluator, they were insufficient (development of a database and entity responsible for M&E)
- A communication gap between the national and regional CTA is identified (not documented).

Efficiency

- In general, the project conducted an efficient management of financial resources. Between 2014 and 2016, for example, the average financial performance exceeded 80%. While the result 2 showed an optimal management during this period, on average, result 1 had a below 80% implementation.
- Between 2014 and 2018, the behavior of the financial implementation was consistent with available budgets. However, in 2017, a significant gap was observed (approximately US\$1.2

million between the initial programming and the budget of that year, a clear planning failure.

- The project was implemented successfully because of the adoption of a strategy to implement the micro-financing agreement. This implementation mechanism increased the financial execution of the project, which allowed it to conclude in the projected period. However, a small-time extension was requested in order to ensure the administrative closure.

Sustainability

- A project exit strategy was not identified that could determine the route to follow once the interventions are finished.
- From the point of view of institutional and government sustainability, there is concern about the extent to which the inter-agency space developed during the project is sustainable and profitable since there is fear that it becomes a coordination structure with respect to government priorities, beyond the specific project. On the other hand, there have been signs of a political commitment through the implementation of the REDD strategy, which continues to be a priority not only for the MARN, but also for the forests theme, mainly due to the commitment Guatemala must reforest 1.3 million hectares by 2032.
- Electoral processes are a political risk for sustainability, because changes to the priority agendas changes or replacement of trained technical staff could occur.
- Two specific aspects which may have an impact on sustainability are the support actions to the incentives program and the implementation of management plans developed by the communities.
- According to some interviewees, although the project intervention has been institutionalized as a good practice, there is a risk that institutions such as INAB and FUNDAECO do not have sufficient financial resources to provide continuity to the interventions. This aspect, although beyond the scope of the project, is considered as an important reflection in terms of the need to promote organizational processes in institutions that allow the continuity of the results and the management of projects of the same line or thematic axis.
- The environmental risks to the sustainability of interventions include: heat waves and prolonged droughts. It is therefore necessary to plan a better water harvesting as an adaptation measure to improve resilience.
- The extension activities of the MAGA can be a key element for the sustainability of interventions, at least from the point of view of the supervision of the continuity of activities in the intervened municipalities.

Recommendations

1. Just like there is a workshop to launch the project, a closing work workshop should be planned, perhaps applying a SWOT methodology, whose result would serve as a planning tool for the participating entities.
2. The review and assessment of inter-institutional agreements at the middle of its implementation period is recommended as a good practice.
3. The project coordinator should officially send all training materials to the authorities of the municipalities of intervention, in order to be kept as working and induction tools for new staff members.
4. For both DIM and NIM modalities, management should be results-oriented and be supported by a robust strategic planning (critical path, CTA, M&E).
5. Toward the end of the management, the UGP should make an assessment of the execution of each agreement signed and its implications for the project. This assessment should include an analysis of the benefits obtained or the existence of bottlenecks.
6. During the execution of the project other key stakeholders (who were not necessarily mentioned in the PRODOC) should be identified and become involved. In the particular case of this project, we included other stakeholders through the micro-capital agreements, as was the case with CATIE, Fundación Solar, AGEXPORT, UVG, ADA2 and FCG; as well as local organizations, at the community level, bringing benefits to the project. However, it should be noted that could more advantage could have been taken from the private sector participation in the activities of the project.
7. The UGP should be prepared to socialize the Project results through project closure activities, and mainly, it should prepare and plan the content and information to be disseminated. Such activities may include events/workshops of the closure for the authorities, presenting the project's achievements, the barriers and challenges ahead (with responsible bodies at the political/technical level).
8. The preparation of the Operations Manual for the project from the beginning, is always advisable in order to define and describe the relevant processes for the project management; moreover, it can be used as a reference for future projects.
9. Include, from the initial approach to risk management, which the resolution actions will be in the face of the electoral processes that constitute a political risk for the sustainability of interventions.

10. Provide continuity to the incentives program and to the implementation of management plans developed by the communities are concrete actions that could impact the sustainability of efforts achieved with the project.
11. It is advisable to promote organizational processes in the institutions that allow the continuity of the results and management of projects of the same line or thematic axis.
12. Planning a better water harvesting as an adaptation measure to improve the resilience and reduce environmental risks to the sustainability of interventions.
13. The extension activities of the MAGA can be a key element for the sustainability of interventions, at least from the point of view of the supervision of the continuity of activities in the intervened municipalities.
14. In conjunction with the Project Unit of the MARN, the UGP should develop an exit strategy for the project. Said strategy should take into account the following guidelines:
 - a. Consider and select 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 the sustainable management aspects of forests and soils, development NGOs that work in municipalities, representatives of municipal mayors and municipal delegations of state institutions.
 - b. The Project Board, supported by the Management Unit, shall act as coordinator of the project's exit strategy and after its closing shall pass on the responsibility of continuity to the group of stakeholders selected.
 - c. Systematization of answers to the question: What activities of the project are to stay beyond the closure?
 - d. Joint development of a schedule that allows closing the project and detail the nature, term and cost of activities that should be given continuity.
 - e. Inclusion of indicators that will allow for a rapid monitoring of activities that integrate the exit strategy. These indicators correspond to the percentage of planned activities that were executed and the percentage of commitments that needed to be maintained and that were met by the various institutions.
 - f. The exit strategy should incorporate the following information:

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

Lessons Learned

- The commitment and political will are key to the success of an intervention, particularly with regard to international agreements in the field of reforestation and forest management.

- Technical advisory committees can become important instances of coordination and technical support if the role assigned to them goes beyond the informative aspect and focuses on the proposal of technical solutions to identified bottlenecks.
- Through the planning instruments available thanks to the project, municipal stakeholders can have a significant impact on sustainability, by targeting local resources in strategic management of forests and soils (e.g. development of forestry nurseries, dissemination of information on resources of the forestry incentives and preventive activities that reduce the stress placed on the ecosystems).
- The socialization of consulting products linked to manuals and guides and dissemination of the project results framework, allows, respectively, the knowledge of the technical tools available to beneficiaries and project expectations at all levels.
- The active involvement of partners from the academic sector, such as technical advisers, provides technical and scientific recommendations on aspects of implementation and rigorous measurement of indicators, respectively.
- The involvement of the private sector and stakeholders such as AGEXPORT in this project is also necessary to generate processes of sustainability through productive chains.
- Every project, regardless of its mode of implementation, should have an M&E plan and a person responsible for that area from the beginning.
- The TORs of the RMT should include identifying if there is an exit strategy. Otherwise, they should specifically recommend the steps to develop and implement one (according to the project specificity).
- Similar projects should consider in its design the duration of the various parallel processes of institutional approval of documents, policies and manuals (REDD+ strategy).
- All project initiations have a learning curve, which can be better exploited if the management is oriented to results.
- At the beginning, the PRODOC needs to be spread to all stakeholders of the project. Otherwise, the intervention is sprayed and not allowed to have a project overview from top to bottom and vice versa.
- The mid-term review must be carried out in a timely manner, even if there is no progress to show, because this allows you to identify potential bottlenecks and gives sufficient time to make adjustments and improve performance.
- Any training activity should be part of a plan and must have quantitative and qualitative indicators, which will help assessing the effects of this series of activities.
- All agreements should have a formal assessment to measure their benefit before and in the middle of its completion.
- The definition of a clear exit strategy promotes ownership and sustainability of activities.
- The counterpart of each beneficiary institution is key to strengthening the commitment and ownership of each project.
- Awareness materials and promotion must be tailored to the audience (students of different levels, languages, etc.).

- Temporary bodies such as the CTA should be more proactive and strategic to add value to the activities/processes in the project.
- Create thematic networks among all those responsible from technical entities can improve the sustainability of interventions and can facilitate their replication/scaling (e.g. Network of environmental offices in each region)
- It cannot be assumed that the agreements work alone and will generate a substantial change.
- The design must contemplate the operational tools that allow for an agile implementation, which are the conditions necessary for advancing or and which are barriers, for example, the partnership strategy of micro-capital could have included; that was something not expected to be included and it generated a good result. This was also a good adaptive management.
- Take the integrality of all stakeholders involved, social organizations, private sector, the diversity of institutions, in order to have a good coordination that can be maintained over time, once a project is completed. This requires analytical reading and a deeper policy on the theme and to invest resources in a more strategic way.
- Influence in municipalities with the planning instruments, such as this project did through SEGEPLAN, although there is always the need to give continuity and invest in follow-up mechanisms. It is positive that mayors should commit to these documents and tools and invest and capture resources. For example, there were municipalities that were helped with this planning and they were requested to have their own forest nursery and now they have their own plants for the reforestation of the areas they define and are already capturing resources from the forestry incentives. Also, they already have forest firefighters for the dry seasons, and brigades have been formed.
- It is necessary to collect information on the fire brigades' activities and results in order to show the results, they should be systematized.

5. Annexes

5.1 Terms of Reference

TÉRMINOS DE REFERENCIA -TdR- Contrato para Contratista Individual



CONSULTORÍA

Evaluación Final del Proyecto MANEJO SOSTENIBLE DE BOSQUES Y MÚLTIPLES BENEFICIOS AMBIENTALES GLOBALES

1. TÍTULO DEL PROYECTO

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

2. INTRODUCCIÓN

De acuerdo con las políticas y procedimientos del Programa de las Naciones Unidas para el Desarrollo - PNUD- y el Monitoreo y Evaluación del Fondo para el Medio Ambiente Mundial -FMAM¹¹-, todos los proyectos de tamaño completo y mediano con el soporte del PNUD y financiados por el FMAM deben someterse a una evaluación terminal una vez finalizada la ejecución¹². Estos TdR establecen las expectativas para una Evaluación Terminal -ET- del Proyecto Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales (PIMS: 4637), ejecutado por el PNUD e implementado con el Ministerio de Ambiente y Recursos Naturales -MARN-, con el apoyo financiero del FMAM.

3. TABLA RESUMEN DEL PROYECTO

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

Cuadro 01: Tabla Resumen del Proyecto.

Título del Proyecto:	Manejo Sostenible de los Bosques y Múltiples Beneficios Ambientales Globales			
No. de Identificación del Proyecto del FMAM:	4479		<u>Al momento de la aprobación</u> (Millones de US\$)	<u>Al momento de finalización</u> (Millones de US\$)
No. De Identificación del Proyecto del PNUD:	4637	Financiamiento del FMAM:	4,400,000	3,516,330.32 ¹³ 883,669.68 ¹⁴

¹¹ GEF, por sus siglas en inglés.

¹² Tomar en cuenta que el proceso de evaluación se realizara previo al cierre del proyecto.

¹³ Monto ejecutado hasta el 30 de abril de 2018.

¹⁴ Monto pendiente de ejecutar.

País:	Guatemala	IA ¹⁵ /EA ¹⁶ poseen:	PNUD: 557,381	"Pendiente de determinar al cierre de proyecto"
Región:	Centroamérica	Gobierno:	-MARN (en especie) 557,380.96	"Pendiente de determinar al cierre de proyecto"
Área Focal:	Multifocal -Biodiversidad -Mitigación Cambio Climático -Manejo Sostenible de la Tierra	Otros:	-KfW 11,880,000 -FUNDAECO 350,361 -CALMECAC (en efectivo) 205,105 (en especie) 110,150 -Municipio de Santa Eulalia (en especie) 12,320 -Municipio de Todos Santos Cuchumatán (en especie) 20,635 -Municipio de San Juan Ixcoy (en especie) 24,068.22	"Pendiente de determinar al cierre de proyecto"
Programa Operativo:	GEF-5	Total de cofinanciamiento:	13,717,401.18	"Pendiente de determinar al cierre de proyecto"
Agencia Ejecutora:	PNUD	Costo Total del Proyecto:	18,117,401.18	"Pendiente de determinar al cierre de proyecto"
Otros socios involucrados:	INAB SEGEPLAN INE CONAP	Firma del PRODOC (fecha de inicio del proyecto):		22/10/2013
		Fecha de Cierre (Operativo):	Propuesta: 31/10/2018	Real: Pendiente de Cierre: Fecha Prevista 31/12/2018

4. OBJETIVOS Y ALCANCES

4.1 Descripción del Proyecto a Evaluar

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

¹⁵ Agencia Implementadora

¹⁶ Organismo Nacional de Ejecución

e institucional para la integración del Manejo Sostenible del Bosque/REDD+ y los principios de Manejo Sostenible de los Suelos en las políticas nacionales y locales de desarrollo.

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

4.2 Objetivo del Proyecto a Evaluar

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

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

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

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

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

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

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

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

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

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

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

Resultado 2.1. Mejora en SFM/REDD+ y SFM restauran reservas de C del bosque seco durante un período de 5 años (la duración del proyecto): 116.848 tCO₂ eq secuestrado (3.500 ha; biomasa por encima del suelo).

Producto 2.1.1 – Proyecto piloto REDD+ en 17.456 ha; 3.500 ha las cuáles serán restauradas y reforestadas mediante la plantación de especies nativas y por medio de la regeneración natural.

Resultado 2.2. Emisiones evitadas por la deforestación de bosque seco: 413.114 tCO₂ eq a través de un período de 5 años (área de línea base = 17.456 ha; biomasa por encima del suelo).

Producto 2.2.1 – Metodología para un proyecto piloto REDD+ para bosque seco es aplicada.

Resultado 2.3. Mejora en la gestión del bosque seco resulta en flujos hídricos sostenidos en dos cuencas

Producto 2.3.1: Plan de SFM/SLM para las secciones superior y media de la cuenca hidrográfica del Río Ostúa asociadas con el bosque seco y de la Laguna de Ayarza, incluyen la planificación para el uso de la leña, el establecimiento de franjas de amortiguación ribereñas, y el uso de cortinas rompe vientos y cercas vivas.

Producto 2.3.2 – Programa de estufas energéticamente eficientes reduce el consumo de leña y las emisiones de GEI.

Resultado 2.4. Incremento en 10 por ciento en la capacidad del personal municipal y miembros de la comunidad, medidos mediante indicadores de desarrollo de capacidades: 60 técnicos municipales y 1.500 miembros de la comunidad aplican prácticas de SLM, SFM y de REDD+.

Producto 2.4.1 – Capacidad fortalecida del personal de las municipalidades y miembros de las comunidades en la región de suroriente para la inclusión de herramientas de SFM, SLM y REDD+ en planes locales de desarrollo con el fin de contribuir a la sostenibilidad institucional de los resultados del proyecto.

Producto 2.4.2 – Planes de desarrollo de hasta quince (15) municipalidades incorporan principios de SFM/REDD+ y SLM y sus medidas de implementación.

Producto 2.4.3 – Cuatro (4) oficinas ambientales/forestales municipales (Santa Rosa, Jutiapa y Jalapa) totalmente equipadas y con personal capacitado en el control de incendios forestales, y mejoras en la conservación de la BD y fijación de C.

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

Resultado 2.5. Emisiones evitadas por deforestación de bosque húmedo montano: 468.360 tCO₂ eq durante un período de 5 años (área basal = 34.357 ha; biomasa sobre encima del suelo).

Producto 2.5.1 – Proyecto piloto REDD+ en 34,357 ha en un paisaje de producción/conservación que incluye el AP Todos Santos Cuchumatán.

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

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

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

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

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

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

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

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

4.3 Objetivo de la Evaluación Terminal

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

4.4 Alcance de la Evaluación Terminal

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

Los objetivos de la evaluación terminal son evaluar el logro de los resultados del proyecto y extraer lecciones que puedan mejorar la sostenibilidad de los beneficios de este proyecto y ayudar en la mejora general de la programación del PNUD.

5. ENFOQUE Y MÉTODO DE EVALUACIÓN

Se ha desarrollado a lo largo del tiempo un enfoque general¹⁷ y un método para llevar a cabo evaluaciones finales de proyectos respaldados por el PNUD financiados por el FMAM. Se espera que el/la evaluador/a enmarque el esfuerzo de evaluación usando los criterios de relevancia¹⁸, efectividad¹⁹, eficiencia²⁰, sostenibilidad²¹ e impacto²², tal como se define y explica en la Guía “*Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects*”²³. Se ha redactado un conjunto de **Preguntas de Evaluación** que cubren cada uno de estos criterios y se incluyen con este mandato (**Anexo A**). Se espera que el/la evaluador/a modifique, complete y envíe esta matriz como parte de un informe de arranque de la evaluación, y la incluirá como un anexo al informe final.

La evaluación debe proporcionar información basada en evidencia que sea creíble, confiable y útil. Se espera que el/la evaluador/a siga un enfoque participativo y consultivo que asegure participación estrecha con homólogos de gobierno, la Oficina en el País del PNUD, el equipo del proyecto, el Asesor Técnico Regional del FMAM/PNUD e interesados clave. Se espera que el/la evaluador/a realice una misión de campo en Guatemala, incluidos los siguientes sitios del proyecto:

Región Piloto 1 (Suroriente): Casillas, San Rafael Las Flores del Departamento de Santa Rosa; Mataquescuintla, San Carlos Alzatate, Jalapa, Monjas, San Pedro Pinula, San Manuel Chaparrón y San Luis Jilotepeque del Departamento de Jalapa; y El Progreso, Agua Blanca, Asunción Mita y Santa Catarina Mita, Jutiapa y Quesada del Departamento de Jutiapa.

Región Piloto 2 (Huehuetenango): Chiantla, San Juan Ixcoy, San Pedro Soloma, Santa Eulalia y Todos Santos Cuchumatán.

El/La evaluador revisará todas las fuentes de información relevantes, como el documento del proyecto, informes de proyectos, incluyendo el *Quarterly Project Report* -QPR-, *Annual Project Report* -APR-, el *Project implementation Report* -PIR-, presupuesto del Proyecto, revisión intermedia, informes de progreso, herramientas de seguimiento del área focal del FMAM, archivos del Proyecto, documentos nacionales estratégicos y legales y cualquier otro material que el/la evaluador/a considere útil para proveer resultados basados en evidencia. Una **Lista de Documentos** que la Unidad de Gestión del Proyecto²⁴ -UGP- proporcionará a el/la evaluador/a para su revisión se incluye en el **Anexo B** de estos TdR.

Las entrevistas se llevarán a cabo, como mínimo, con las siguientes organizaciones e individuos:

¹⁷ Para obtener más información sobre los métodos de evaluación, consulte [el Manual de planificación, seguimiento y evaluación de los resultados de desarrollo](http://www.undp.org/content/dam/undp/documents/evaluation/handbook/spanish/documents/manual_completo.pdf), Capítulo 7, pág. 163 (http://www.undp.org/content/dam/undp/documents/evaluation/handbook/spanish/documents/manual_completo.pdf)

¹⁸ **Relevancia:** La medida en la que los objetivos de una intervención de desarrollo son coherentes con los requisitos de los beneficiarios, las necesidades del país, las prioridades mundiales y las políticas de los socios y donadores.

¹⁹ **Efectividad:** La medida en la que se lograron los objetivos de una intervención de desarrollo, o se espera que se logren, al tener en cuenta su importancia relativa.

²⁰ **Eficiencia:** Una medida sobre cómo se traducen económicamente los recursos/aportes (fondos, experiencia, tiempo, etc.) en resultados.

²¹ **Sostenibilidad:** Evalúa la medida en la que los beneficios podrían continuar, dentro o fuera del ámbito del proyecto, desde un proyecto o programa particular después de que haya concluido la asistencia del FMAM o la asistencia externa. Los proyectos deben ser sostenibles tanto ambientalmente, como financiera y socialmente.

²² **Impacto:** Cambios reales o anticipados, positivos o negativos en el beneficio del medio ambiente mundial, según se verificó a través de la tensión ambiental o el cambio de estado, y también a través de los impactos de desarrollo sostenibles, incluido el cambio en los ingresos.

²³ http://web.undp.org/evaluation/documents/guidance/GEF/GEFTE--Guide_SPA.pdf

²⁴ UGP = Coordinación, Técnicos, Asistente Administrativa y Secretaria.

Región	Institución	Contacto
Guatemala (Organizaciones Gobierno Central y otros socios)	Ministerio de Ambiente y Recursos Naturales	Lic. Otto Fernandez
		Ing. Gabriela Castellanos
		Ing. Silvia Zúñiga
		Ing. Carlos Abel Cifuentes
	Ministerio de Agricultura, Ganadería y Alimentación	Ing. Martin Leal
	Instituto Nacional de Bosques	Ing. Marisol Castellanos
		Ing. Mario Salazar
		Ing. Adolfo Revolorio
	Consejo Nacional de Áreas Protegidas	Ing. Fernando Palomo
		Lic. Monica Barillas
	Secretaría General de Planificación y Coordinación de la Presidencia	Arq. Lourdes Monzón
Región Piloto 1 (Suroriente)	Instituto Nacional de Estadística	Ing. Cesar Ruiz
	Fundación para el Eco desarrollo y la Conservación	Lic. Karen Aguilar
	Ministerio de Ambiente y Recursos Naturales	Ing. Gustavo Fabián, Delegado Regional IV
		Ing. Jose De La Rosa, Delegado Santa Rosa
		Ing. Julio Virula, Delegado Jutiapa
		Ing. Byron Orozco, Delegado Jalapa
	Instituto Nacional de Bosques	Ing. Hugo Flores, Delegado Regional
	Consejo Nacional de Áreas Protegidas	Rony Espinoza

	Municipalidad Jalapa	Juan Pablo Sandoval
	Municipalidad de Monjas	Ricardo Palma
	Municipalidad de San Luis Jilotepeque	Fabio Duarte
	Municipalidad San Manuel Chaparrón	Héctor Pérez
	Municipalidad de Casillas	Carlos Solares
	Municipalidad de Santa Catarina Mita	Manuel Rossil
	Municipalidad de San Pedro Pinula	Edin Hernandez
	Municipalidad de Asunción Mita	Efraín Alay Chinchilla
	Municipalidad de San Carlos Alzatate	Erick Nájera
	Municipalidad de San Rafael Las Flores	Héctor Castillo
	Municipalidad de Asunción Mita	Henry Figueroa
	Municipalidad de Mataquescuintla	Lusvin Jimenez
	Municipalidad de Quesada	Jorge Galicia
	Municipalidad de Jutiapa	Sergio Moreno
	Municipalidad de Agua Blanca	Melvin López
	Municipalidad de El Progreso	Pendiente por cambio
Región Piloto 2 (Huehuetenango)	Instituto Nacional de Bosques	Nery Tello
	Ministerio de Ambiente y Recursos Naturales	Rolando Rodriguez
	Consejo Nacional de Áreas protegidas	Enrique Mérida
	FUNDAECO	Rolando Gomez

	Municipalidad San Juan Ixcoy	Antonia Domingo
	Municipalidad de Chiantla	Pablo García
	Municipalidad Santa Eulalia	Nicolás Tomás
	Municipalidad San Pedro Soloma	Noelia Domingo
	Municipalidad Todos Santos Cuchumatán	Juan Ortiz
	ASILVOCHANCOL	Álvaro Tomás García
		Fabián López
	ICUONDEHUE	Concepción Figueroa
		Feliciano Mérida
Otros Actores	PNUD	Santiago Carrizosa
		Flor de Maria Bolaños
		Nely Herrera
		Igor de la Roca
		Luis Ríos
		Celia Mendoza
		Juan Carlos Morales
		Fernando García
	KfW-MARN	Antonio Fion
	BID	Omar Samayoa
	Agexport	Fanny Ramos
	CATIE	Julio Lopez
	Fundación Solar	Luis Castillo
	Fundación Defensores de la Naturaleza	Javier Marquez
		Carlos Cifuentes
	FCG	Yvonne Ramirez

	Universidad del Valle de Guatemala	Gabriela Fuentes
		Gabriela Alfaro
	ADA2	Estuardo Noack
		Jeanette Noack

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

6. CRITERIOS Y CLASIFICACIONES DE EVALUACIÓN

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

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

Cuadro 02: Calificaciones de Evaluación.

1. Seguimiento y Evaluación	calificación	Comentarios
Diseño del Seguimiento y Evaluación al inicio del proyecto		
Ejecución del plan de Seguimiento y Evaluación		
Calidad general de Seguimiento y Evaluación		
2. Ejecución de los IA y EA²⁵:	calificación	Comentarios
Calidad de la implementación del PNUD		
Calidad de ejecución: organismo de ejecución		
Calidad general de aplicación y ejecución		
3. Evaluación de los resultados	calificación	Comentarios
Relevancia		
Efectividad		
Eficiencia		
Calificación general de los resultados del proyecto		
4. Sostenibilidad	calificación	Comentarios
Recursos financieros:		
Socio-políticos:		
Marco institucional y gobernanza:		
Ambiental:		

²⁵ IA=Implementing Agency, EA=Executing agency

Probabilidad general de sostenibilidad:		
5. Impacto: Considerable (C), Mínimo (M), Insignificante (I)		
Mejora del estado ambiental		
Reducción de la tensión ambiental		
Progreso hacia el cambio de la tensión y el estado		
Resultados generales del proyecto		

7. FINANCIAMIENTO / COFINANCIAMIENTO DEL PROYECTO

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

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

Cuadro 03: Financiamiento y cofinanciamiento del Proyecto.

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

8. INTEGRACIÓN

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

9. IMPACTO

El/La evaluador/a valorarán el grado en que el proyecto está logrando impactos o está progresando hacia el logro de impactos. Los resultados clave a los que se debería llegar en las evaluaciones incluyen si el proyecto

demonstró: a) mejoras verificables en el estado ecológico, b) reducciones verificables en la tensión de los sistemas ecológicos, y/o c) un progreso demostrado hacia el logro de estos impactos²⁶.

10. CONCLUSIONES, RECOMENDACIONES Y LECCIONES

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

11. ARREGLOS DE IMPLEMENTACIÓN

La responsabilidad principal de gestionar esta evaluación reside en la Oficina de País del PNUD en Guatemala. La Oficina de País del PNUD contratará a un evaluador/a y garantizará la provisión oportuna de logística y arreglos de viaje dentro del país para el/la evaluador/a. La UGP será responsable de coordinar con el/la evaluador/a para organizar entrevistas a los interesados, coordinar visitas de campo, gestionar reuniones con el Gobierno, entre otras actividades que sean consideradas.

12. RESPONSABILIDADES Y ACTIVIDADES DEL/LA EVALUADOR/A

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

12.1. ACTIVIDADES RELEVANTES

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

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

12.2. LOGÍSTICA DE LAS REUNIONES

La logística de las reuniones debe asegurar una participación justa, equitativa e incluyente, que debe ser propuesta por el/la evaluador/a. El/La evaluador/a propondrá en la metodología de trabajo la opción más

²⁶ Una medida útil para medir el impacto del avance realizado es el método del Manual para la Revisión de Efectos Directos a Impactos (RoTI, por sus siglas en inglés) elaborado por la Oficina de Evaluación del FMAM: ROTI Handbook 2009.

eficiente de celebración de reuniones según el análisis que realice, tomando en cuenta los días más efectivos para asegurar una amplia participación.

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

13. CRONOGRAMA DE ENTREGAS Y DESCRIPCIÓN DE PRODUCTOS

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

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

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

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

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

*Realizar una presentación con los hallazgos iniciales, después de la misión de campo.

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

13.1. TIEMPOS DE ENTREGA, REVISIÓN Y APROBACIÓN DE LOS PRODUCTOS

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

Cuadro 05: Entrega de productos y revisiones.

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

13.2. ENTREGA DE LOS PRODUCTOS

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

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

Programa de las Naciones Unidas para el Desarrollo (PNUD)
5ª Avenida 5-55 Zona 14, Torre IV, Nivel 10

Edificio Euro Plaza World Business Center
Ciudad de Guatemala, Guatemala 01014

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

CONTRATO CI- 86515 -1806 /18

Nombre del Evaluador/a

**“Evaluación Final del Proyecto Manejo Sostenible de Bosques y Múltiples
Beneficios Ambientales Globales”**

Debe incluir:

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

13.3. PROPIEDAD DE LOS PRODUCTOS

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

14. ACUERDOS INSTITUCIONALES

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

15. LUGAR DE TRABAJO

Ni el PNUD ni el Proyecto de “Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales” ofrecerán dentro de sus instalaciones un espacio físico para el/la Evaluador/a.

Para la asistencia a reuniones y entrevistas podrá coordinar con la UGP quien facilitará apoyo; los trabajos se realizarán principalmente en la Ciudad Capital, pero también se requerirán visitas a diferentes regiones del país. El/La Evaluador/a deberá tomar en cuenta que se requieren viajes para realizar consultas, reuniones y entrevistas con los socios locales, atender a las reuniones pertinentes con los distintos actores involucrados, autoridades y entidades relacionadas. Por la naturaleza de las actividades esta consultoría sí contempla viajes o misiones fuera de la Ciudad Capital, costos que deben ser asumidos por el/la Evaluador/a, razón por la cual se requiere que éstos sean reflejados y detallados en el presupuesto respectivo.

16. INSUMOS A SER PROVISTOS POR EL EVALUADOR/A

La Unidad de Gestión del Proyecto -UGP- “Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales” entregará a solicitud de el/la Evaluador/a, toda la información disponible y vinculada a la evaluación.

17. PERFIL DEL EVALUADOR/A

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

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

17.1. FORMACIÓN ACADÉMICA

1. Profesional en Ciencias Ambientales o carreras afines.
2. Mínimo de dos (2) años de estudios de Posgrado en Ciencias relacionadas a gestión de proyectos, gestión ambiental, manejo de recursos naturales o temas afines.

17.2. EXPERIENCIA GENERAL

- Mínimo de cinco (5) experiencias relacionadas con la evaluación de proyectos
- Mínimo de cinco (5) experiencias relacionadas a la gestión de proyectos de desarrollo

17.3. EXPERIENCIA ESPECÍFICA

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

17.4. COMPETENCIAS Y VALORES CORPORATIVOS

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

16. Actitud de servicio.
17. Orientación a resultados.
18. Efectividad operacional.
19. Habilidad para trabajar bajo presión.

18. ÉTICA DEL EVALUADOR/A

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

19. MODALIDAD DE PAGO Y ESPECIFICACIONES

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

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

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

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

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

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

Los pagos corresponderán al siguiente cuadro:

Cuadro 06: Cronograma de Pagos.

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

Producto 3.	3er. Mes (semana 14)	10 días hábiles	30%
Producto 4.	4to. Mes (semana 18)	10 días hábiles	30%

*El último pago está sujeto a la presentación de la evaluación de el/la evaluador/a por el supervisor y la Coordinadora del Proyecto.

El/la evaluador/a deberá prever si de ser adjudicado con base a su oferta económica, le implicaría cambio de su régimen tributario, ya que ni el contrato ni el monto de la oferta serán modificados como consecuencia de dicho cambio.

Si durante la ejecución contractual el/la evaluador/a modifica su régimen tributario, lo informará por escrito al Contratante y remitirá copia del RTU actualizado con dicha modificación. El Contratante internamente adecuará el instrumento financiero para la emisión de pagos según corresponda (Pequeños Contribuyentes se paga 100% del monto contratado y para cualquier otro régimen se descontará al pago el Impuesto al Valor Agregado y se entregará una exención por el equivalente a dicho impuesto).

20. DOCUMENTACIÓN REQUERIDA PARA LA PRESENTACIÓN DE LA OFERTA

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

Proyecto <u>“Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales”</u> UNIDAD DE ADQUISICIONES Programa de las Naciones Unidas para el Desarrollo -PNUD- 5ª Avenida 5-55 Zona 14, Torre IV, Nivel 10; Edificio Euro Plaza World Business Center Ciudad de Guatemala, Guatemala 01014 <u>Propuesta Técnica y Financiera</u> “Evaluación Final del Proyecto Manejo Sostenible de Bosques y Múltiples Beneficios Ambientales Globales”

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

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

20.1. CARTA DEL OFERENTE

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

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

20.2. PROPUESTA TÉCNICA

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

20.3. PROPUESTA FINANCIERA

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

20.4. DOCUMENTOS ADICIONALES

1. Fotocopia de Documento Personal de Identidad -DPI- (si es nacional) o pasaporte (si es extranjero).
2. Fotocopia de Inscripción/Modificación en el Registro Tributario Unificado -RTU- (solo para guatemaltecos o residentes registrados ante la SAT en Guatemala).

3. Fotocopia(s) de credenciales académicas: Constancia(s) de cursos universitarios aprobados, Título(s) Universitario(s) y/o Diplomas por cursos de especialización.
4. Fotocopia de por lo menos tres (3) cartas de referencias laborales/contratos/finiquitos por actividades similares a las requeridas en estos Términos de Referencia.

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

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

Los criterios para la valoración de el/la Evaluador/a se presentan a continuación:

CRITERIOS DE EVALUACIÓN		Tiempo / Número	PUNTUACIÓN				
			Específica	Parcial	Subtotal	Total	
Formacion academica	1. Profesional en Ciencias Ambientales o carreras afines.	Título universitario	Obligatorio		20	20	
	Mínimo de dos (2) años de estudios de Posgrado en Ciencias relacionadas a gestión de proyectos, gestión ambiental, manejo de recursos naturales o temas afines.	3 años o más	20	20			
		2 años	15				
		menos de 2 años	0				
Experiencia General	Mínimo de cinco (5) experiencias relacionadas con la evaluación de proyectos	6 experiencias o mas	10	10	10	20	
		5 experiencias	8				
		4 o menos experiencias	0				
	Mínimo de cinco (5) experiencias relacionadas a la gestión de proyectos de desarrollo	6 experiencias o mas	10	10	10		
		5 experiencias	8				
		4 o menos experiencias	0				
	Experiencia especifica	Mínimo de tres (3) experiencias en la aplicación de indicadores SMART y/o en la reconstrucción o validación de escenarios iniciales (Baseline escenarios) aplicada de preferencia en áreas focales de biodiversidad, degradación de la tierra y mitigación al cambio climático del GEF.	4 experiencias o más	10	10	30	30
			3 experiencias	8			
			4 o menos años	0			
		Mínimo de tres (3) experiencias de participación relacionadas a gestión de proyectos en áreas protegidas y/o gestión de recursos naturales, gestión forestal, temas de cambio climático y degradación de la tierra en Guatemala.	4 experiencias o más	8	8		
			3 experiencias	5			
			4 o menos años	0			
		Mínimo de tres (3) experiencias en la facilitación de procesos de consulta con actores locales, institucionales y otros participantes.	4 experiencias o más	5	5		
			3 experiencias	4			
			2 o menos experiencias	0			
		Mínimo de tres (3) experiencias en asuntos relacionados al área focal de biodiversidad, degradación de la tierra, mitigación al cambio climático del GEF y en el análisis y evaluación con sensibilidad de género.	4 experiencias o más	7	7		
			3 experiencias	5			
			2 o menos experiencias	0			
Propuesta Técnica Metodológica	Plenamente armónica con Términos de Referencia y con sólido nivel técnico. Presenta propuesta metodológica que demuestra sólido conocimiento y correcta aplicación de la técnica en el alcance de resultados. Excede las expectativas.	20	20	30	30		
	Armónica con los Términos de Referencia y técnicamente aceptable. Presenta propuesta metodológica que demuestra conocimiento y aplicación de la técnica de manera aceptable para el alcance de resultados.	15					
	Armónica con los Términos de Referencia, pero técnicamente débil. Débil propuesta metodológica que demuestra débil aplicación de la técnica en el alcance de resultados.	10					
	No armónica con los Términos de Referencia. Propuesta metodológica y aplicación de la técnica débil y fuera de contexto en cuanto a los TdR.	1					
	Plan de Trabajo y Cronograma	Incluye cronograma y plan de trabajo descriptivo ajustado a la realidad del proyecto.	10			10	
		Incluye cronograma y plan de trabajo con descripción débil de las actividades.	7				
		Solo incluye cronograma.	1				
SUB TOTAL	Sub-Total por Evaluación Curricular y Propuesta Técnica					100	70%
PROPUESTA FINANCIERA	(Propuesta más baja / Propuesta Evaluada) * 30%					30%	
	TOTAL PUNTUACIÓN DE OFERTA					100%	

22. CONSULTAS Y ACLARACIONES

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

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

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

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

23. FIRMA DEL EVALUADOR/A

Certifico que:

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

Nombre de Oferente: _____

Firma: _____

ANEXO A: Preguntas de Evaluación.

Las preguntas, indicadores, fuentes y metodología son sugeridas. Se espera que el/la evaluador/a proponga, mejore lo aquí expuesto.

CRITERIOS DE EVALUACIÓN	PREGUNTAS	INDICADORES	FUENTES	METODOLOGÍA
Relevancia: ¿Cómo se relaciona el proyecto con los objetivos principales del área de interés del FMAM y con las prioridades ambientales y de desarrollo a nivel local, regional y nacional?				
¿Es relevante el proyecto para los objetivos del área focal de biodiversidad, degradación de la tierra y mitigación al cambio climático, así como el manejo sostenible del bosque/REDD+ y para las prioridades estratégicas del FMAM?	¿Cómo respalda el proyecto al área de interés sobre biodiversidad del FMAM y las prioridades estratégicas?	Existencia de una clara relación entre los objetivos del proyecto y el área focal de biodiversidad del FMAM.	Documentos del proyecto. Estrategias y documentos del área focal biodiversidad, degradación de la tierra, mitigación al cambio climático y manejo sostenible de la tierra/REDD+ del FMAM.	Análisis de documentos. Sitio Web del FMAM Entrevistas con personal del PNUD y del proyecto.
¿Es relevante el proyecto para el ambiente y los objetivos de desarrollo sostenible de Guatemala? ¿El proyecto ha tomado en consideración las realidades (culturales, socio-económicas etc.) de la zona de intervención tanto en su diseño como implementación?	¿Cómo el proyecto apoya las prioridades ambientales y de desarrollo a nivel nacional? ¿Cuál ha sido el nivel de participación de los interesados en el diseño del proyecto? ¿El proyecto toma en consideración las realidades nacionales (marco de políticas e institucional) tanto en su diseño como en su implementación? ¿Cuál ha sido el nivel de participación de los interesados en la implementación del proyecto?	Existencia de una clara relación entre los objetivos del proyecto y el objetivo de manejo sostenible del medio ambiente de las respectivas políticas y estrategias nacionales. Apreciación de interesados clave con respecto al nivel de adecuación del diseño e implementación del proyecto a las realidades nacionales y capacidades existentes. Coherencia entre las necesidades expresadas por los interesados nacionales y el criterio PNUD-GEF. Nivel de involucramiento de funcionarios gubernamentales y otros socios en el proceso de diseño del proyecto.	Estrategia para la Restauración del Paisaje Forestal. Ley PROBOSQUE Política y Estrategia Nacional de Diversidad Biológica (CONAP, 2013). Política Nacional de Desarrollo (Segeplán, K'atun 2023). Documentos del Proyecto. Socios e interesados clave del proyecto.	Análisis de documentos. Entrevistas con personal del PNUD y del proyecto. Entrevistas con interesados clave.
¿El proyecto es internamente coherente en su diseño?	¿Existen vínculos lógicos entre resultados esperados del proyecto y el diseño del proyecto (en términos componentes del proyecto, elección de socios, estructura, mecanismos de implementación, alcance, presupuesto, uso de recursos, etc.)? ¿Es la duración del proyecto suficiente para alcanzar los resultados propuestos?	Nivel de coherencia entre los resultados esperados y el diseño de la lógica interna del proyecto. Nivel de coherencia entre el diseño del proyecto y su enfoque de implementación. Nivel de coherencia entre las áreas de intervención y los resultados esperados.	Documentos del proyecto. Socios e interesados clave del proyecto.	Análisis de documentos. Entrevistas con personal del PNUD y del proyecto. Entrevistas con interesados clave.

	¿Las áreas de intervención del proyecto presentan las características necesarias para alcanzar los resultados propuestos?			
¿El Proyecto proporciona lecciones y experiencias relevantes para otros proyectos similares en el futuro?	¿La experiencia del proyecto ha brindado la posibilidad de obtener lecciones relevantes para otros proyectos futuros destinados a objetivos similares?		Datos recolectados en toda la evaluación	Análisis de datos
Efectividad: ¿En qué medida se han logrado los resultados y objetivos previstos del proyecto?				
¿Ha sido el proyecto efectivo en alcanzar los resultados esperados?	¿Se alcanzaron los resultados previstos?	Indicadores en el marco de resultados estratégicos/marco lógico del proyecto.	Documentos del proyecto. Reportes de avance trimestral y anual.	Análisis de documentos. Entrevistas con interesados clave. Entrevistas con el equipo del proyecto.
¿Cómo se manejaron los riesgos y supuestos del proyecto?	¿En qué medida se gestionaron adecuadamente los riesgos? ¿Cuál ha sido la calidad de las estrategias de mitigación desarrolladas? ¿Existen estrategias claras para la mitigación del riesgo relacionadas con la sostenibilidad a largo plazo del proyecto?	Integridad de la identificación de riesgos y supuestos durante la planeación y el diseño del proyecto. Calidad de los sistemas de información establecidos para identificar riesgos emergentes y otras cuestiones. Calidad de las estrategias de mitigación del riesgo que se desarrollaron.	Documentos del proyecto. Reportes de avance trimestral y anual. Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.
Eficiencia: ¿El proyecto se implementó de manera eficiente en conformidad con las normas y los estándares internacionales y nacionales?				
¿El proyecto estuvo respaldado de manera suficiente?	¿Se utilizó o necesitó el manejo adaptativo para asegurar un uso eficiente de los recursos? ¿Han sido utilizados como herramientas de gestión durante la implementación del proyecto el marco lógico, los planes de trabajo o cualquier cambio realizado a estos? ¿Han sido los sistemas financieros y contables adecuados para la gestión del proyecto y para producir información financiera precisa y a tiempo? ¿Han sido los reportes de progresos adecuados? ¿Responden a los requerimientos de reporte? ¿Ha sido la ejecución del proyecto tan efectiva como fue propuesta originalmente (planeado vs. real)? ¿El cofinanciamiento ha sido según lo planeado?	Disponibilidad y calidad de los reportes financieros y de progreso. Puntualidad y adecuación de los reportes entregados. Cofinanciamiento planeado vs real. Cuán adecuadas han sido las opciones seleccionadas por el proyecto en función del contexto, la infraestructura y el costo. Costo asociado al mecanismo de delivery y estructura de gestión, en comparación con otras alternativas.	Documentos del proyecto. Equipo del proyecto. PNUD.	Análisis de documentos. Entrevistas claves.

	¿Los recursos financieros han sido usados eficientemente? ¿Cómo ha sido usado el enfoque de gestión basada en resultados durante la implementación del proyecto?			
Sostenibilidad: ¿En qué medida hay riesgos financieros, institucionales, socioeconómicos o ambientales para sostener los resultados del proyecto a largo plazo?				
¿Las cuestiones de sostenibilidad se encuentran adecuadamente integradas en el diseño del proyecto?	¿Han sido integradas estrategias de sostenibilidad en el diseño del proyecto?	Evidencia/ calidad de la estrategia de sostenibilidad.	Documentos del proyecto.	Análisis de documentos.
¿Han sido integradas estrategias de sostenibilidad en la implementación del proyecto?		Evidencia/ calidad de las acciones llevadas a cabo para asegurar la sostenibilidad. Evidencia de compromiso de socios internacionales, gobiernos y otros interesados para apoyar financieramente sectores/actividades relevantes luego de la finalización del proyecto.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.
Sostenibilidad financiera	¿Han sido integradas estrategias de sostenibilidad financiera? ¿Son sostenibles los costos recurrentes luego de la finalización del proyecto?	Nivel y fuente de respaldo financiero futuro que debe proporcionarse a actividades y sectores relevantes luego de la finalización del proyecto. Compromisos de socios internacionales, gobierno u otros interesados en respaldar financieramente.	Documentos de respaldo de acuerdos. Socios e interesados clave del proyecto.	Entrevistas
Sostenibilidad institucional y gubernamental	¿Existe evidencia de que los socios y beneficiarios del proyecto darán continuidad a las actividades más allá de la finalización del proyecto? ¿Cuál es el grado de compromiso político para continuar trabajando sobre los resultados del proyecto? ¿Es adecuada la capacidad existente a nivel nacional y local para garantizar la sostenibilidad de los resultados alcanzados?	Grado en que las actividades del proyecto y los resultados han sido asumidos por las contrapartes y beneficiarios.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas
Sostenibilidad ambiental	¿Existen riesgos para los beneficios ambientales que fueron ocasionados que se espera que ocurran? ¿Existen amenazas ambientales que el proyecto no haya abordado?	Pruebas de las posibles amenazas. Evaluación de las amenazas	Documentos y evaluaciones del proyecto Evaluaciones de amenazas Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos Entrevistas
Desafíos a la sostenibilidad del proyecto	¿Cuáles son los principales desafíos que pueden dificultar la sostenibilidad de los esfuerzos?	Cambios que podrían significar desafíos al proyecto.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.

	¿Se han abordado durante la gestión del proyecto? ¿Qué potenciales medidas podrían contribuir a la sostenibilidad de los esfuerzos logrados por el proyecto?			
Impacto: ¿Hay indicios de que el proyecto haya contribuido a reducir el estrés ambiental o a mejorar el estado ecológico, o que haya permitido avanzar hacia esos resultados?				
¿Se prevé que el proyecto alcance su objetivo de fortalecer los procesos de gestión del suelo y los bosques, y la conservación de la BD para asegurar el flujo de servicios ecosistémicos múltiples a la vez que se asegura la resiliencia al CC.?		Cambios en los marcos regulatorios e institucionales, integrando los principios de manejo sostenible del bosque (SFM) y manejo sostenible de tierras (SLM), y las capacidades fortalecidas para la gestión integrada ambiental y de suelos. Reducción de la degradación del suelo, mejoran las reservas de C y se fortalece la conservación de la Biodiversidad en el suroriente y occidente de Guatemala a través de prácticas SFM/REDD+ y SLM Cambio en las capacidades técnicas del personal del MARN, MAGA, CONAP, SEGEPLAN, Municipalidades, comunidades locales y otros socios.	Equipo del proyecto, PNUD e interesados clave. Tracking Tools (METT y ScoreCards)	Análisis de documentos. Entrevistas.

ANEXO B: Listado Mínimo de Documentos.

LISTADO MÍNIMO DE DOCUMENTOS A SER REVISADOS

1. Formulario de Identificación de Proyecto -PIF-.
2. Plan de Iniciación.
3. Documento del Proyecto -PRODOC-.
4. Informe del Taller de Arranque del Proyecto.
5. Informes anuales -PIR-.
6. Informes Trimestrales -QPRs- y Planes Operativos Anuales -POAs-.
7. Revisión de Medio Término -RMT-.
8. Management Response.
9. Análisis de problemas y riesgos.
10. Herramientas de seguimiento y evaluación del Proyecto (tracking tools), utilizadas tanto para el establecimiento de líneas base como de progreso del Proyecto:
 - ✓ Fichas de sostenibilidad financiera (scorecard).
 - ✓ Fichas de capacidades institucionales.
 - ✓ Herramienta de seguimiento de la efectividad de manejo -METT-.
11. Informes de misiones de seguimiento.
12. Todos los informes de seguimiento elaborados por el Proyecto.
13. Directrices financieras y de administración usados por el Equipo de Proyecto.
14. Presupuestos y datos de su ejecución a lo largo de la vida del proyecto (incluyendo por cuenta y por componente).
15. Minutas de Reuniones de Comité Directivo del Proyecto.
16. Productos del Proyecto.
17. Muestras de comunicación del proyecto (comunicados, folletos, documentales, etc.).
18. Informes de auditoría.
19. Datos sobre la ejecución real del co-financiamiento.

Los siguientes documentos también estarán a disposición del evaluador/a:

20. Directrices operativas del Proyecto, manuales y sistemas.
21. Programa de País del PNUD – Guatemala.
22. Minutas de las reuniones del Comité Directivo y otras reuniones.
23. Mapa de sitios donde opera el Proyecto.
24. Informes específicos de actividades llevadas a cabo por el Proyecto, según sean requeridos.

ANEXO C: Marco Lógico / Marco de Resultados del Proyecto.

Estrategia de Proyecto	Indicadores Objetivamente Verificables				
	Indicador	Línea Base	Meta (del indicador)	Mecanismos de Verificación	Riesgos y Supuestos
Objetivo del Proyecto: Fortalecer los procesos de gestión del suelo y los bosques, y la conservación de la BD para asegurar el flujo de servicios ecosistémicos múltiples a la vez que se asegura la resiliencia al CC	Número de hectáreas de bosque húmedo en la región del occidente bajo Estándares del CCB (BD-2)	– 0	– 13.843 ha	– Estándares CCB – Planes de manejo a nivel de paisaje – Informes de evaluación del proyecto: PIR/APR, evaluaciones de término medio y final – Mapas/SIG – Informes técnicos – Notas de verificación en campo	– Voluntad por parte de los tomadores de decisiones y actores locales de promover e implementar acciones de conservación de la BD – Esfuerzos cartográficos son óptimos
	Área (ha) (por tipo de bosque) bajo mejores prácticas de manejo en LUCUCF*, incluyendo el monitoreo de reservas de C (CCM-5) *Conservar y mejorar las reservas de carbón en las de bosque seleccionadas	– Bosque seco: 620,1 ha – Bosque húmedo: 970,85 ha	– Bosque seco: 1.500 ha – Bosque húmedo: 13.343 ha	– Informes de verificación y evaluación en campo – Informes de evaluación del proyecto: PIR/APR, evaluaciones de término medio y final	– Voluntad por parte de los tomadores de decisiones y actores locales de promover e implementar buenas prácticas de manejo en LUCUCF
	Área (ha) rehabilitada* (por tipo de bosque) (CCM-5) * Reforestación con especies nativas, regeneración natural	– Bosque seco: 79,15 ha – Bosque húmedo: 1.513,15 ha	– Bosque seco: 3.000 ha – Bosque húmedo: 547 ha		

	y sistemas agroforestales y silvopastoriles.				
	Cambio en la cobertura (ha) y calidad (método de evaluación rápida) de los bosques en las zonas secas (LD-2)	– 6.838,47 ha	– 6,838,47 ha	– Mapas/SIG – Verificaciones en campo – Informes de evaluación rápida	– Esfuerzos de muestreo son óptimos – Variabilidad ambiental (incluyendo el cambio climático) dentro de rangos normales
	Emisiones evitadas (tCO ₂ -e) por la deforestación por tipo de bosque durante un período 5 años (SFM/REDD-1)	– Bosque seco: 0 – Bosque húmedo: 0	– Bosque seco: 413.114 tCO ₂ -e – Bosque húmedo: 468.360 tCO ₂ -e	– Herramienta de Seguimiento (<i>Tracking tool</i>) para proyectos de SFM/REDD+ actualizada – Informes del sistema de monitoreo de flujos de C	– Existe interés por parte del Gobierno de Guatemala para incorporar principios de SFM en la políticas agrícolas y forestales – Esfuerzos de muestreo son óptimos
Resultado 1: Marco regulatorio e institucional integra los principios SFM y SLM, y se fortalece la capacidad para la gestión integrada ambiental y de suelos	Políticas nacionales incorporan consideraciones de SLM y SFM	– Programa de incentivos forestales para poseedores de pequeñas extensiones de tierra – Ley de Protección y Mejoramiento del Medio Ambiente – Política Forestal	– Programa Nacional de Lucha contra la Desertificación y la Sequía (PROANDYS) actualizado – Política Agrícola de Guatemala reformada	– Propuestas/documentos indicando las reformas necesarias – Diario oficial/políticas publicadas	– Existe la voluntad política – Existe viabilidad legal
	Número de agencias nacionales trabajando bajo acuerdos interinstitucionales	– 0	– 5: MARN, MAGA, INAB, CONAP y ANAM	– Acuerdos firmados o modificados – Planes operativos – Memorias de reuniones	

	que integran los principios de SFM y SLM				
	Cambio en la capacidad del personal técnico nacional medido a través de indicadores de desarrollo de capacidades	– INAB : 66,67% – CONAP: 57,14% – MAGA: 76,92% – MARN: 61,54%	– INAB : 76,67% – CONAP: 67,14% – MAGA: 86,92% – MARN: 71,54%	– Ficha de Desarrollo de Capacidades actualizada – Informes de evaluación del proyecto – Bases de datos con registros de los eventos de entrenamiento	– Personal técnico nacional aplica de manera satisfactoria sus nuevos conocimientos y destrezas – Existe estabilidad en los recursos humanos dentro de las agencias nacionales que se benefician de las acciones de capacitación
Productos: 1.1. Acuerdos interinstitucionales para la cooperación entre el MARN, CONAP, INAB, MAGA y ANAM permiten la inclusión de principios de SFM/SLM en políticas forestales y agrícolas, y aseguran la permanencia de los beneficios del proyecto. 1.2. Programa Nacional de Lucha contra la Desertificación y la Sequía actualizado. 1.3. Capacidad fortalecida del oficiales y personal de campo del gobierno (oficiales de extensión forestal y agrícola) en prácticas de manejo de UTCUTS, metodologías para SFM/REDD+, y MRV. 1.4. Herramientas de mapeo SIG para SFM/SLM a nivel municipal beneficia el desarrollo y guía la implementación de planes de desarrollo municipal a nivel nacional. 1.5. Protocolo Nacional para el monitoreo del flujo de C desarrollado y articulado con la producción forestal/planes de manejo (INAB), planificación de uso de la tierra (municipalidades) y planes de conservación (CONAP).					
Resultado 2: Proyectos piloto para SFM/REDD+ y SLM, reducen la degradación del suelo, mejoran las reservas de C y fortalecen la conservación de la BD en	Piloto 1: SFM/REDD+ y SLM mejoran las reservas de C y reducen la deforestación en un paisaje de montaña de bosque en el suroriente de Guatemala.				
	tCO ₂ -e secuestradas a través de la rehabilitación de bosque seco	– 14.299,7 tCO₂-e (302,5 ha)	– 116.848 tCO₂-e	– Mediciones/notas de campo – Reportes del sistema de monitoreo de flujos de C – Informes de evaluación del proyecto: PIR/APR, evaluaciones de término medio y final	– Esfuerzos de muestreo son óptimos

el suroriente y occidente de Guatemala	Número de hectáreas protegidas a través de prácticas de REDD+ durante un periodo de 5 años	– 0	– 1.906 ha	– Mapas nacionales de cobertura forestal (solo una verificación al final del año cinco)	– Mapas son óptimos – Existen mercados estables para la venta y compra de créditos de carbono o fondos internacionales dispuestos a efectuar un pago por desempeño: Precio mínimo \$ 2,50/VCU ²⁷
	Ingresos/aportes brutos (dólares americanos) por reducción de emisiones bajo REDD+ durante un periodo de 5 años	– 0	– \$619.672 dólares americanos (247.869 VCUs)	– Solicitudes de compra de VCUs (\$2,50/VCU). – Recibos de compra de VCUs. – Informes/registros de ingresos por venta de VCUs del proyecto	
	Cambio en la capacidad del personal municipal medido a través de indicadores de desarrollo	<u>Municipalidades (11 de 15):</u> – San Manuel Chaparrón: 15,38% – Jalapa: 33,33% – San Luis Jilotepeque: 51,28% – Mataquescuintla: 30,77% – Quesada: 35,71% – El Progreso: 25,64% – Santa Catarina Mita: 38,10% – Asunción Mita: 7,14% – Agua Blanca: 35,71% – San Rafael Las Flores: 30,77% – Casillas: 56,41%	<u>Municipalidades:</u> – San Manuel Chaparrón: 25,38% – Jalapa: 43,33% – San Luis Jilotepeque: 61,28% – Mataquescuintla: 40,77% – Quesada: 45,71% – El Progreso: 35,64% – Santa Catarina Mita: 48,10% – Asunción Mita: 17,14% – Agua Blanca: 45,71% – San Rafael Las Flores: 40,77% – Casillas: 66,41%	– Ficha de Desarrollo de Capacidades actualizada – Informes de evaluación del proyecto – Bases de datos con registros de los eventos de entrenamiento	

²⁷ Verified Carbon Unit

<u>Piloto 2:</u> <i>SFM/REDD+ aumenta la conectividad ecosistémica y contribuye a la conservación de la BD en un paisaje húmedo de montaña en el occidente de Guatemala.</i>				
tCO ₂ -e secuestradas en bosque húmedo montano	– 30.130,8 tCO ₂ -e	– 25.679 tCO ₂ -e	– Mediciones/notas de campo – Reportes del sistema de monitoreo de flujos de C – Informes de evaluación del proyecto: PIR/APR, evaluaciones de término medio y final	– Esfuerzos de muestreo son óptimos
Número de ha protegidas a través de prácticas de REDD+ durante un periodo de 5 años	– 0	– 1.012 ha	– Mapas nacionales de cobertura forestal (solo una verificación al final del año cinco)	– Mapas son óptimos – Existen mercados estables para la venta y compra de créditos de carbono o fondos internacionales dispuestos a efectuar un pago por desempeño: Precio mínimo \$ 2,50/VCU
Ingresos/aportes brutos (dólares americanos) por reducción de emisiones bajo REDD+ durante un periodo de 5 años.	– 0	– \$702.540 dólares americanos (281.016 VCUs)	– Solicitudes de compra de VCUs (\$2,50/VCU). – Recibos de compra de VCUs. – Informes/registros de ingresos por venta de VCUs del proyecto	

	Número de especies clave por grupos biológicos (anfibios y plantas) presentes en el área del proyecto	– Anfibios: 8 (<i>Plectrohyla tecunumani</i>, <i>Bolitoglossa nussbaumi</i>, <i>Pseudoeurycea rex</i>, <i>Plectrohyla hartwegi</i>, <i>Dendrotriton cuchumatanus</i>, <i>Plectrohyla hartwegi</i>, <i>Plectrohyla ixil</i>, <i>Craugastor lineatus</i>) – Plantas: 11 (<i>Pinus hartwegii</i>, <i>Pinus pseudostrobus</i>, <i>Pinus ayacahuite</i>, <i>Alnus jorulensis</i>, <i>Alnus firmifolia</i>, <i>Arbutus xalapensis</i>, <i>Cupressus lusitanica</i>, <i>Juniperus standleyi</i>, <i>Abies guatemalensis</i>, <i>Quercus sp.</i>, <i>Budleya nítida</i>)	– Anfibios: 8 – Plantas: 11	– Informes/bases de datos de monitoreo – Censos biológicos y notas de campo	– No hay cambios sustanciales en uso/cobertura del suelo – Esfuerzos de muestreo son óptimos – Variabilidad ambiental dentro de rangos normales
	Cambio en la capacidad del personal municipal y miembros de las comunidades locales medido	<u>Municipalidades:</u> – Santa Eulalia: 33,33%	<u>Municipalidades:</u> – Santa Eulalia: 43,33% – Chiantla: 60,00%	– Ficha de Desarrollo de Capacidades actualizada – Informes de evaluación del proyecto	– Hay voluntad por parte de los agricultores locales para incorporar la conservación de la BD

	a través de indicadores de desarrollo	– Chiantla: 50,00% – San Pedro Soloma: 33,33% – San Juan Ixcay: 38,10% – Todos Santos Cuchumatán: 73,81% <u>OSC:</u> – ASOCUCH: 64,10% – ICUZONDEHUE: 66,67% – ASILVOCHANCOL: 64,10% – ACODIHUE: 80,00%	– San Pedro Soloma: 43,33% – San Juan Ixcay: 48,10% – Todos Santos Cuchumatán: 83,81% <u>OSC:</u> – ASOCUCH: 74,10% – ICUZONDEHUE: 76,67% – ASILVOCHANCOL: 74,10% – ACODIHUE: 90,00%	– Bases de datos con registros de los eventos de entrenamiento	como parte de sus actividades
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Productos:

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

- 2.1. Proyecto piloto REDD+ en 17.456 ha; 3.500 ha las cuáles serán restauradas y reforestadas mediante la plantación de especies nativas y por medio de la regeneración natural.
- 2.2. Metodología para un proyecto piloto REDD+ para bosque seco es aplicada.
- 2.3. Planes de SFM/SLM para la sección superior y media de la cuenca hidrográfica del Río Ostúa asociadas con el bosque seco y de la Laguna de Ayarza, incluyen la planificación para el uso de la leña, el establecimiento de franjas de amortiguación ribereñas, y el uso de cortinas rompe vientos y cercas vivas.
- 2.4. Programa de estufas energéticamente eficientes reduce el consumo de leña y las emisiones de GEI.
- 2.5. Capacidad fortalecida del personal de las municipalidades y miembros de las comunidades en la región de suroriente para la inclusión de herramientas de SFM, SLM y REDD+ en planes locales de desarrollo con el fin de contribuir a la sostenibilidad institucional de los resultados del proyecto.
- 2.6. Planes de desarrollo de hasta quince (15) municipalidades incorporan principios de SFM/REDD+ y SLM y sus medidas de implementación.

- 2.7. Cuatro (4) oficinas ambientales/forestales municipales (Santa Rosa, Jutiapa y Jalapa) totalmente equipadas y con personal capacitado en el control de incendios forestales, y mejoras en la conservación de la BD y fijación de C.
- Piloto 2:*** *SFM/REDD+ aumenta la conectividad ecosistémica y contribuye a la conservación de la BD en un paisaje húmedo de montaña en el occidente de Guatemala.*
- 2.8. Proyecto piloto REDD+ en 34.357 ha en un paisaje de producción/conservación que incluye el AP Todos Santos Cuchumatán.
- 2.9. Metodología para un proyecto piloto REDD+ para bosque húmedo montano es aplicada.
- 2.10. Corredor biológico (420 ha) entre los bosques remanentes establecido.
- 2.11. Cuatro (4) acuerdos de conservación de la BD y de los bosques entre las municipalidades y asociaciones de agricultores/ganaderos facilitan la aplicación de dos incentivos (PINPEP y PINFOR) para mantener la cobertura forestal (13.843 ha) en un paisaje de producción agrícola y ganadera, y asegura la permanencia de los beneficios del proyecto.
- 2.12. Capacidad fortalecida del personal de las municipalidades y miembros de las comunidades en la región occidental para incluir herramientas de SFM, REDD+, mitigación de CC y conservación de la BD en el planes locales de desarrollo con el fin de contribuir a la sostenibilidad institucional de los resultados del proyecto.
- 2.13. Criterios para la conservación de la BD (conectividad ecosistémica y zonas de amortiguamiento de APs) y prácticas de agricultura y ganadería sostenible incorporados en los planes de desarrollo de cinco (5) municipalidades.
- 2.14. Cinco (5) sistemas de monitoreo a nivel municipal para evaluar los beneficios de SFM/REDD+ y BD.

ANEXO D: Escalas de Calificación Obligatorias.

Calificaciones de resultados, efectividad, eficiencia, Seguimiento y Evaluación y ejecución de IA y EA:	Calificaciones de sostenibilidad:	Calificaciones de relevancia:
6: Muy satisfactorio (MS): no presentó deficiencias 5: Satisfactorio (S): deficiencias menores 4: Algo satisfactorio (AS) 3: Algo insatisfactorio (AI): deficiencias importantes 2: Insatisfactorio (I): deficiencias importantes 1: Muy insatisfactorio (MI): deficiencias graves	4: Probable (P): Riesgos insignificantes para la sostenibilidad. 3: Algo probable (AP): riesgos moderados. 2: Algo improbable (AI): Riesgos significativos. 1: Improbable (I): Riesgos graves.	2: Relevante (R) 1: No Relevante (NR) Calificaciones de impacto: 3: Significativo (S) 2: Mínimo (M) 1: Insignificante (I)
Calificaciones adicionales donde sea pertinente: No corresponde (N/C) No se puede valorar (N/V)		

ANEXO E: Esbozo del Informe de Evaluación²⁸.

I. Página de inicio:

- a. Título del proyecto respaldado por el PNUD y financiado por el FMAM.
- b. Números de identificación del Proyecto del PNUD y FMAM.
- c. Plazo de evaluación y fecha del informe de evaluación.
- d. Región y países incluidos en el Proyecto.
- e. Programa Operativo/Programa Estratégico del FMAM.
- f. Socio para la ejecución y otros asociados del Proyecto.
- g. Miembros del equipo de evaluación.
- h. Reconocimientos.

II. Resumen ejecutivo:

- a. Cuadro sinóptico del Proyecto.
- b. Descripción del Proyecto (breve).
- c. Tabla de calificación de la evaluación.
- d. Resumen de conclusiones, recomendaciones y lecciones.

III. Acrónimos y abreviaturas:

(Consultar: Manual editorial del PNUD²⁹)

1. Introducción:

- a. Propósito de la evaluación.
- b. Alcance y metodología.
- c. Estructura del informe de evaluación.

2. Descripción del Proyecto y contexto del desarrollo:

- a. Comienzo y duración del Proyecto.
- b. Problemas que el proyecto buscó abordar.
- c. Objetivos inmediatos y de desarrollo del Proyecto.
- d. Indicadores de referencia establecidos.
- e. Principales interesados.
- f. Resultados previstos.

3. Hallazgos:

(Además de una evaluación descriptiva, todos los criterios marcados con (*) deben ser calificados³⁰)

- a. Diseño / Formulación del Proyecto:
 - Análisis del marco lógico (AML) y del Marco de resultados (lógica y estrategia del Proyecto; indicadores).
 - Suposiciones y riesgos.
 - Lecciones de otros proyectos relevantes (p.ej., misma área de interés) incorporados en el diseño del Proyecto.

²⁸ La longitud del informe no debe exceder las 40 páginas en total (sin incluir los anexos).

²⁹ Manual de Estilo del PNUD, Oficina de Comunicaciones, Oficina de Asociaciones, actualizado en noviembre de 2008.

³⁰ Con una escala de calificación de seis puntos: 6: Muy satisfactorio, 5: Satisfactorio, 4: Algo satisfactorio, 3: Algo insatisfactorio, 2: Insatisfactorio y 1: Muy insatisfactorio. Consulte la sección 3.5, página 37 para conocer las explicaciones sobre las calificaciones.

- Participación planificada de los interesados.
 - Enfoque de repetición.
 - Ventaja comparativa del PNUD.
 - Vínculos entre el proyecto y otras intervenciones dentro del sector.
 - Disposiciones de Administración.
- b. Ejecución del Proyecto:
- Gestión de adaptación (cambios en el diseño del proyecto y resultados del proyecto durante la ejecución).
 - Acuerdos de asociaciones (con los interesados relevantes involucrados en el país o la región).
 - Retroalimentación de actividades de SyE utilizadas para gestión de adaptación.
 - Financiación del proyecto:
 - Seguimiento y Evaluación: diseño de entrada y ejecución (*).
 - Coordinación de la aplicación y ejecución (*) del PNUD y del socio para la ejecución y cuestiones operativas.
- c. Resultados del Proyecto:
- Resultados generales (logro de los objetivos) (*).
 - Relevancia (*).
 - Efectividad y eficiencia (*).
 - Implicación nacional.
 - Integración.
 - Sostenibilidad (*).
 - Impacto.

4. Conclusiones, Recomendaciones y Lecciones:

- a. Medidas correctivas para el diseño, la ejecución, seguimiento y evaluación del Proyecto.
- b. Acciones para seguir o reforzar los beneficios iniciales del Proyecto.
- c. Propuestas para direcciones futuras que acentúen los objetivos principales.
- d. Las mejores y peores prácticas para abordar cuestiones relacionadas con la relevancia, el rendimiento y el éxito.

5. Anexos:

- a. Términos de Referencia.
- b. Itinerario.
- c. Lista de personas entrevistadas.
- d. Resumen de visitas de campo.
- e. Lista de documentos revisados.
- f. Matriz de preguntas de evaluación.
- g. Cuestionario utilizado y resumen de resultados.
- h. Formulario de acuerdo de consultor de evaluación.

ANEXO F: Formulario de Acuerdo y Código de Conducta del Evaluador/a de la Evaluación.

Evaluador/a:

1. Debe presentar información completa y justa en su evaluación de fortalezas y debilidades, para que las decisiones o medidas tomadas tengan un buen fundamento.
2. Debe divulgar todos los resultados de la evaluación junto con información sobre sus limitaciones, y permitir el acceso a esta información a todos los afectados por la evaluación que posean derechos legales expresos de recibir los resultados.
3. Debe proteger el anonimato y la confidencialidad de los informantes individuales. Debe proporcionar avisos máximos, minimizar las demandas de tiempo, y respetar el derecho de las personas de no participar. Debe respetar el derecho de las personas a suministrar información de forma confidencial y deben garantizar que la información confidencial no pueda rastrearse hasta su fuente. No se prevé que evalúe a individuos y deben equilibrar una evaluación de funciones de gestión con este principio general.
4. En ocasiones, debe revelar la evidencia de transgresiones cuando realizan las evaluaciones. Estos casos deben ser informados discretamente al organismo de investigación correspondiente. Debe consultar con otras entidades de supervisión relevantes cuando haya dudas sobre si ciertas cuestiones deberían ser denunciadas y cómo.
5. Debe ser sensible a las creencias, maneras y costumbres, y actuar con integridad y honestidad en las relaciones con todos los interesados. De acuerdo con la Declaración Universal de los Derechos Humanos de la ONU, el/la Evaluador/a debe ser sensible a las cuestiones de discriminación e igualdad de género, y abordar tales cuestiones. Debe evitar ofender la dignidad y autoestima de aquellas personas con las que están en contacto en el transcurso de la evaluación. Gracias a que saben que la evaluación podría afectar negativamente los intereses de algunos interesados, debe realizar la evaluación y comunicar el propósito y los resultados de manera que respete claramente la dignidad y el valor propio de los interesados.
6. Es responsable de su rendimiento y sus productos. Es responsable de la presentación clara, precisa y justa, de manera oral o escrita, de limitaciones, los resultados y las recomendaciones del estudio.
7. Debe reflejar procedimientos descriptivos sólidos y ser prudente en el uso de los recursos de la evaluación.

Formulario de acuerdo del evaluador/a encargado/a de la evaluación³¹

Acuerdo para cumplir con el Código de Conducta para la Evaluación en el Sistema de la ONU

Nombre de el/la Evaluador/a:

Nombre de la organización de consultoría

(cuando corresponda):

Confirmando que he recibido y comprendido, y cumpliré el Código de Conducta de las Naciones Unidas.

Firmada en: (lugar)

En fecha: (dd/mm/aa)

Firma:

³¹www.unevaluation.org/unegcodeofconduct

ANEXO G: Formulario de autorización del Informe de Evaluación Final.

Formulario de Autorización del Informe de Evaluación Final

Informe de Evaluación revisado y aprobado por:

Oficina Nacional de PNUD

Nombre:

Fecha:

Firma:

ATR del FMAM / PNUD

Nombre:

Fecha:

Firma:

5.2 Itinerary and persons interviewed

Fecha	Hora	Institucion	Entrevistados	Correo electrónico	Direccion	Tel. Institucion/ Celular	Vinculo con proyecto/ Observación
Lunes 16/07/2018	8:00	Unidad Gestion Proyecto Bosques - UGP Bosques	Igor de la Roca Luis Rios	igor.delaroca@undp.org luis.rios@undp.org	7 Avenida 03-67, Zona 13, Oficinas PNUD/MARN Edificio MARN	4813-3608 5988-4151 4813-3608	Coordinacion/Especialista Tecnico
	14:30	Secretaria General de Planificacio - SEGEPLAN	Lourdes Monzon	lourdes.monzon@segeplan.gob.gt	9a. calle 10-44 zona 1	2504-4444 Ext.4420 5918-1045	Enlace principal de trabajo
Martes 17/07/2018	8:00	Instituto Nacional de Bosques	Marisol Castellanos	marisol.castellanos@inab.gob.gt	7a. Avenida 6-80 zona 13	2321-4511 4768-8214	Enlaces institucionales del Proyecto
			Mario Salazar	mario.salazar@inab.gob.gt		4622-5731 / 2321-4600	
	10:00	UGP-BOSQUES	Celia Mendoza	celia.mendoza@undp.org	7 Avenida 03-67, Zona 13, Oficinas PNUD/MARN Edificio MARN	4813-3608 5988-4151	Asistente Administrativa Proyecto
	12:00	Consejo Nacional de Areas Protegidas	Fernando Palomo	fpalomoconap@gmail.com fpalomo@conap.gob.gt	Sta. Avenida 6-06, Zona 1. Edificio IPM, Sto, 6to y 7mo Nivel	2422-6700, PBX: 1547	Enlaces institucionales del Proyecto
			Monica Barillas	moni.barillas@gmail.com		Mónica Barillas 5918-1100	
	14:30	Fundaeo	Byron Villeda	b.villeda@fundaeo.org.gt	25 calle 2-39 zona 1	2314-1900 Karen Aguilar 5058-7539 Byron Villeda 4010-5813	Ejecutor del Proyecto Huehuetenango
Miercoles 18/07/2018			Karen Aguilar	k.aguilar@fundaeo.org.gt			
	8:00	Ministerio de Agricultura, Ganaderia y Alimentacion - MAGA	Martin Leal	mluccmaga@gmail.com cambioclimaticomaga3@yahoo.com	5a. Av. 8-06 zona 9 (esquina Parque de la Industria)	4260-0981	Enlace institucional del proyecto
	10:00	Centro Agronomico Tropical de Investigacion Agricola - CATIE	Julio Lopez	jlopez@catie.ac.cr	2a. Avenida 7-15 zona 14, Los Arcos	2505-0303 5205-9258	Buenas Practicas Uso Tierra: Ganaderia Sostenible, Climaticamente Inteligente
	12:00	Asociacion de Exportadores de Guatemala - AGEXPORT	Ivan Buitron	ivan.buitron@agexport.org.gt	15 avenida 14-72 zona 13	2422-3400 24223563	Buenas Practicas Uso Tierra: Cadenas de Valor en Café y practicas de adaptacion al CC
Jueves 19/07/2018	14:30	Fundacion Defensores de la Naturaleza	Javier Marquez	jmarquez@defensores.org.gt	4a. Avenida 23-01 zona 14	2310-29-29 5323-2764	Normativos para Implementacion Manejo Forestal Sostenible y REDD+
			Carlos Cifuentes	ccifuentes@defensores.org.gt		3063-3367	
	8:00	Universidad del Valle de Guatemala - UVG	Gabriela Fuentes	gmfuentes@uvg.edu.gt	11 calle 15-79, zona 15 Vista Hermosa III	2368-8353 4154-2269	Actualizacion PLANODYS, Sostenibilidad de Acuerdos Conservacion, Monitoreo Biologico
			Gabriela Alfaro	galfaro@uvg.edu.gt		54124165	
	10:00	Fundacion Solar - FUNSOLAR	Luis Castillo	lccastillor@gmail.com	5ta. Calle 17-10 zona 15, Vista Hermosa 1, Colonia el Maestro II	2369-1181 5200-2397	Planes de cuenca y microfinanciamiento acciones en cuenca
	12:00	Fundacion para la Conservacion de Guatemala -FCG	Yvonne Ramirez	yramirez@fcg.org.gt	17 avenida "d" 0-19 zona 15, Colonia del Maestro I	2365-8985 5318-8100	Movilizacion recursos para Manejo Forestal Sostenible
Viernes 20/07/2018	14:30	UGP-PNUD BOSQUES	Fernando Garcia	giovanni.garcia@undp.org	7 Avenida 03-67, Zona 13, Oficinas PNUD/MARN Edificio MARN	3095-1770	Evaluacion de Capacidades y Tracking Tools del Proyecto en 2016 y 2018
	8:00	PNUD	Flor Bolaños	flor.bolanos@undp.org	5a. Av. 5-55 zona 14 Edificio Europlaza Zona 14, Torre IV, Nivel 10	2384-3100 4219-7367	Oficial responsable proyecto/ Especialista de monitoreo y Evaluación
			Nely Herrera	nely.herrera@undp.org		2384-3100	
			Ivanova Beteta	ivanova.beteta@undp.org		2384-3100	
	9:30	Ministerio Ambiente y Recursos Naturales -MARN	Otto Fernández	ofernandez@marn.gob.gt	7 Avenida 03-67, Zona 13, Edificio MARN	2423-0500 ext. 2506 5373-3306	Enlaces institucionales del Proyecto
			Gabriela Castellanos	sgcastellanos@marn.gob.gt		2423-0500 ext. 2722 3037-4168	
	14:30	Alianza de Derecho Ambiental y Agua - ADA2	Estuardo Noak	gtconor@gmail.com	Km 21.5 Carretera a San Lucas Sacatepequez, Colonia El Campestre, Sector 4 Lote 58	7937-3411 5302-7272	Planes de cuenca y microfinanciamiento acciones en cuenca
			Jeannette Ramirez	jeannette.noack@gmail.com		7937-3411 5318-4890	

FECHA	LUGAR DE SALIDA	LUGAR DE LLEGADA	HORA SALIDA	HORA LLEGADA	Institución/ puesto	Entrevista	Observación
Lunes 23/07/2018	Guatemala	San Rafael las Flores	7:30	10:00	Municipalidad / Técnico Forestal Municipal	Héctor Castillo	Día 1. Hospedaje en Jalapa
	San Rafael las Flores	Mataquescuintla	11:30	12:00	Municipio San Rafael las Flores / Técnico Forestal Municipal	Lusvin Jiménez	
	Mataquescuintla	San Carlos Alzatate	13:30	15:00	Municipio Mataquescuintla / Técnico Forestal Municipal	Erik Nájera	
	San Carlos Alzatate	Jalapa	16:30	17:30	--	HOSPEDAJE	
Martes 24/07/2018	Jalapa	Jalapa	7:45	8:00	Municipio Jalapa / Técnico Forestal Municipal	Juan Pablo Sandoval	Día 2. : Visita a vivero municipal y proyecto cerro alcoba; Hospedaje en Jalapa
	Jalapa	San Pedro Pinula	9:30	10:30	Municipio San Pedro Pinula / Técnico Forestal Municipal	Darwin Portillo	
	Jalapa	Jalapa	11:30	12:30	MARN JALAPA	Byron Orozco	
	Jalapa	San Manuel Chaparrón	14:30	15:30	Municipio San Manuel Chaparrón / Técnico Forestal Municipal	Héctor Pérez	
	San Manuel Chaparrón	Jalapa	16:30	18:00	--	HOSPEDAJE	
Miércoles 25/07/2018	Jalapa	Monjas	8:00	8:30	Municipio Monjas / Técnico Forestal Municipal	Ricardo Palma	Día 3. Visita a vivero municipal; Hospedaje en Jutiapa
	Monjas	Santa Catarina Mita	10:00	10:40	Municipio Santa Catarina Mita / Técnico Forestal Municipal	Manuel Rossil	
	Santa Catarina Mita	Asunción Mita	13:00	13:30	Municipio Asuncion Mita / Técnico Forestal Municipal	Miguel Palma	
	Asunción Mita	El Progreso	15:00	15:30	Municipio El Progreso / Técnico Forestal Municipal	Marvín Valdez	
	El Progreso	Jutiapa	17:00	17:30	--	HOSPEDAJE	
Jueves 26/07/2018	Jutiapa	Jutiapa	7:45	8:00	CONAP	Rony Espinoza	Día 4. Hospedaje en Jutiapa
	Jutiapa	Jutiapa	8:45	9:00	MARN JUTIAPA	Gustavo Fabian	
	Jutiapa	Jutiapa	11:15	11:30	INAB JUTIAPA	Hugo Flores	
	Jutiapa	Quesada	14:00	14:30	Municipio Quesada / Técnico Forestal Municipal	Jorge Galicia	
	Quesada	Jutiapa	16:00	16:30	--	HOSPEDAJE	
Viernes 27/07/2018	Jutiapa	Jutiapa	7:45	8:00	Asesor municipal	Sergio Moreno	FINALIZACIÓN DE GIRA
	Jutiapa	Cuilapa	9:30	11:00	MARN	José de la Rosa	
	Cuilapa	Guatemala	12:00	16:00	--	Traslado Guatemala	

FECHA	LUGAR DE SALIDA	LUGAR DE LLEGADA	HORA SALIDA	HORA LLEGADA	Institución/ puesto	Entrevista	Observación
Domingo 29/07/2018	Guatemala	Huehuetenango	10:00	18:00	--	--	Hospedaje 1: en Huehuetenango. Viaje a Huehuetenango, alrededor de 7 horas. Incluida una hora de almuerzo
Lunes 30/07/2018	Huehuetenango	Santa Eulalia	6:00	11:00	Técnico de la Oficina Municipal de Recursos Naturales y Ambiente	Nicolás Mateo Tomas	Hospedaje 2. en San Pedro Soloma
	Santa Eulalia	San Pedro Soloma	12:00	14:00	Técnico de la Oficina Municipal de Recursos Naturales y Ambiente	Henry David Hernández Camposeco	
	San Pedro Soloma	San Juan Ixcoy	15:00	15:30	Coordinador de la Oficina Municipal de Ambiente y Recursos Naturales / Técnico forestal	Miguel Ángel Lucas / Antonia Angélica Domingo Montejo	
	San Juan Ixcoy	San Pedro Soloma	17:00	18:00	--	HOSPEDAJE	
Martes 31/07/2018	San Pedro Soloma	Chiantla San Francisco La Floresta /Chiantla	7:30	9:00	Gerente /Tecnico forestal ICUZONDEHUE	Juan Figueroa Herrera/ Ronal Martínez	Hospedaje 3: Chiantla/Huehuetenango
	Chiantla San Francisco La Floresta /Chiantla	Todos Santos Cuchumatan	10:00	12:00	Coordinador de la Oficina Municipal de Recursos Naturales y Ambiente	Juan Baudilo Ortiz	
	Todos Santos Cuchumatan	Chiantla Asilvochancol	14:00	15:30	Técnico Forestal Local	Alvaro Tomas tomasalvarog@gmail.com - asilvo16@gmail.com-31612196	
	Chiantla Asilvochancol	Chiantla	16:30	18:00	--	HOSPEDAJE	
Miércoles 01/08/2018	Chiantla/Huehuetenango	Chiantla		9:00	Coordinador de La Oficina Municipal de Recursos Naturales y Guardabosques Municipal	Pablo García y Juan López	Hospedaje 4: Huehuetenango
	Chiantla	Huehuetenango	10:30	10:00	Director Regional CONAP y Técnico Forestal.	Enrique Merida y Julio Aguilar	
	Huehuetenango	Huehuetenango		14:00	Director Subregión VII-2 INAB	Jesús Abelardo Monjaras Sánchez /Nery Tello	
	Huehuetenango	Huehuetenango		15:30	MARN	Rolando Rodríguez	
	Huehuetenango	Huehuetenango			--	HOSPEDAJE	
Jueves 02/08/2018		Huehuetenango		8:30	FUNDAECO	Rolando Gomez	Viaje a Huehuetenango, alrededor de 7 horas. Incluida una hora de almuerzo. Fin
Viernes 03/08/2018	Huehuetenango	Guatemala	10:00	18:00			
	Guatemala	Oficinas PNUD Guatemala	8:00	11:00	Europlaza PNUD	Flor Bolaños, Nely Herrera e Ivanova Beteta	Entrevista
Lunes 06/08/2018	Guatemala	Oficinas PNUD Guatemala	14:30		Europlaza PNUD	Flor Bolaños, Nely Herrera e Ivanova Beteta	Presentacion final viaje de campo (Debriefing)

5.3 List of documents reviewed

- Project Identification Form (PIF)
- UNDP Initiation Plan
- Policy and report on the results of the Diagnosis of Environmental and Social Protection of UNDP
- UNDP project document (PRODOC)
- Report of the project Start-up Workshop
- Results-Oriented Annual Reports (ROAR)
- Project Implementation Review (PIRs)
- Quarterly Reports (QPRs)
- Medium Term Revision (MTR)
- Project Logical Framework (Annex C of the ToR) and Management Response
- Annual Operating Plans and Budget (AOPs), manuals and systems
- Work plans of various task execution teams
- Audit Reports
- Financial and management guidelines used by the Project Team
- Project Implementation Reports (PIRs)
- Project Products
- National Legislation relevant to the project.
- ATLAS Reports
- Project Results and Mission Supervision Document
- Quarterly Reports of Progress and Lessons Learned
- Follow-up tool of the project used for the baseline and progress (scorecard, institutional capacity and METT cards)
- Minutes of the meetings of the Project Board and other meetings (such as those of the Evaluation Committee) n Preliminary Project when applicable)
- Maps of the sites where the project operates
- Contracts of Micro-Alliances Agreements
- Progress report on Micro-Alliances
- Update of scorecards and Tracking Tools

5.4 Matrix of assessment questions

Assessment Matrix

CRITERIOS DE EVALUACIÓN	PREGUNTAS	INDICADORES	FUENTES	METODOLOGÍA
Relevancia: ¿Cómo se relaciona el proyecto con los objetivos principales del área de interés del FMAM y con las prioridades ambientales y de desarrollo a nivel local, regional y nacional?				
¿Es relevante el proyecto para los objetivos del área focal de biodiversidad, degradación de la tierra y mitigación al cambio climático, así como el manejo sostenible del bosque/REDD+ y para las prioridades estratégicas del FMAM?	¿Cómo respalda el proyecto al área de interés sobre biodiversidad del FMAM y las prioridades estratégicas?	Existencia de una clara relación entre los objetivos del proyecto y el área focal de biodiversidad del FMAM.	Documentos del proyecto. Estrategias y documentos del área focal biodiversidad, degradación de la tierra, mitigación al cambio climático y manejo sostenible de la tierra/REDD+ del FMAM.	Análisis de documentos. Sitio Web del FMAM. Entrevistas con personal del PNUD y del proyecto.
¿Es relevante el proyecto para el ambiente y los objetivos de desarrollo sostenible de Guatemala? ¿El proyecto ha tomado en consideración las realidades (culturales, socio-económicas etc.) de la zona de intervención tanto en su diseño como implementación?	¿Cómo el proyecto apoya las prioridades ambientales y de desarrollo a nivel nacional? ¿Cuál ha sido el nivel de participación de los interesados en el diseño del proyecto? ¿El proyecto toma en consideración las realidades nacionales (marco de políticas e institucional) tanto en su diseño como en su implementación? ¿Cuál ha sido el nivel de participación de los interesados en la implementación del proyecto?	Existencia de una clara relación entre los objetivos del proyecto y el objetivo de manejo sostenible del medio ambiente de las respectivas políticas y estrategias nacionales. Apreciación de interesados clave con respecto al nivel de adecuación del diseño e implementación del proyecto a las realidades nacionales y capacidades existentes. Coherencia entre las necesidades expresadas por los interesados nacionales y el criterio PNUD-GEF. Nivel de involucramiento de funcionarios gubernamentales y otros socios en el proceso de diseño del proyecto.	Estrategia para la Restauración del Paisaje Forestal. Ley PROBOSQUE. Política y Estrategia Nacional de Diversidad Biológica (CONAP, 2013). Política Nacional de Desarrollo (Segeplán, K'atun 2023). Documentos del Proyecto. Socios e interesados clave del proyecto.	Análisis de documentos. Entrevistas con personal del PNUD y del proyecto. Entrevistas con interesados clave.
¿El proyecto es internamente coherente en su diseño?	¿Existen vínculos lógicos entre resultados esperados del proyecto y el diseño del proyecto (en términos componentes del proyecto, elección de socios, estructura, mecanismos de implementación, alcance, presupuesto, uso de recursos, etc.)? ¿Es la duración del proyecto suficiente para alcanzar los resultados propuestos?	Nivel de coherencia entre los resultados esperados y el diseño de la lógica interna del proyecto. Nivel de coherencia entre el diseño del proyecto y su enfoque de implementación. Nivel de coherencia entre las áreas de intervención y los resultados esperados.	Documentos del proyecto. Socios e interesados clave del proyecto.	Análisis de documentos. Entrevistas con personal del PNUD y del proyecto. Entrevistas con interesados clave.

	¿Las áreas de intervención del proyecto presentan las características necesarias para alcanzar los resultados propuestos?			
¿El Proyecto proporciona lecciones y experiencias relevantes para otros proyectos similares en el futuro?	¿La experiencia del proyecto ha brindado la posibilidad de obtener lecciones relevantes para otros proyectos futuros destinados a objetivos similares?		Datos recolectados en toda la evaluación	Análisis de datos
Efectividad: ¿En qué medida se han logrado los resultados y objetivos previstos del proyecto?				
¿Ha sido el proyecto efectivo en alcanzar los resultados esperados?	¿Se alcanzaron los resultados previstos?	Indicadores en el marco de resultados estratégicos/marco lógico del proyecto.	Documentos del proyecto. Reportes de avance trimestral y anual.	Análisis de documentos. Entrevistas con interesados clave. Entrevistas con el equipo del proyecto.
¿Cómo se manejaron los riesgos y supuestos del proyecto?	¿En qué medida se gestionaron adecuadamente los riesgos? ¿Cuál ha sido la calidad de las estrategias de mitigación desarrolladas? ¿Existen estrategias claras para la mitigación del riesgo relacionadas con la sostenibilidad a largo plazo del proyecto?	Integridad de la identificación de riesgos y supuestos durante la planeación y el diseño del proyecto. Calidad de los sistemas de información establecidos para identificar riesgos emergentes y otras cuestiones. Calidad de las estrategias de mitigación del riesgo que se desarrollaron.	Documentos del proyecto. Reportes de avance trimestral y anual. Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.
Eficiencia: ¿El proyecto se implementó de manera eficiente en conformidad con las normas y los estándares internacionales y nacionales?				
¿El proyecto estuvo respaldado de manera suficiente?	¿Se utilizó o necesitó el manejo adaptativo para asegurar un uso eficiente de los recursos? ¿Han sido utilizados como herramientas de gestión durante la implementación del proyecto el marco lógico, los planes de trabajo o cualquier cambio realizado a estos? ¿Han sido los sistemas financieros y contables adecuados para la gestión del proyecto y para producir información financiera precisa y a tiempo? ¿Han sido los reportes de progresos adecuados? ¿Responden a los requerimientos de reporte?	Disponibilidad y calidad de los reportes financieros y de progreso. Puntualidad y adecuación de los reportes entregados. Cofinanciamiento planeado vs real. Cuán adecuadas han sido las opciones seleccionadas por el proyecto en función del contexto, la infraestructura y el costo. Costo asociado al mecanismo de delivery y estructura de gestión, en comparación con otras alternativas.	Documentos del proyecto. Equipo del proyecto. PNUD.	Análisis de documentos. Entrevistas claves.

	¿Ha sido la ejecución del proyecto tan efectiva como fue propuesta originalmente (planeado vs. real)? ¿El cofinanciamiento ha sido según lo planeado? ¿Los recursos financieros han sido usados eficientemente? ¿Cómo ha sido usado el enfoque de gestión basada en resultados durante la implementación del proyecto?			
Sostenibilidad: ¿En qué medida hay riesgos financieros, institucionales, socioeconómicos o ambientales para sostener los resultados del proyecto a largo plazo?				
¿Las cuestiones de sostenibilidad se encuentran adecuadamente integradas en el diseño del proyecto?	¿Han sido integradas estrategias de sostenibilidad en el diseño del proyecto?	Evidencia/ calidad de la estrategia de sostenibilidad.	Documentos del proyecto.	Análisis de documentos.
¿Han sido integradas estrategias de sostenibilidad en la implementación del proyecto?		Evidencia/ calidad de las acciones llevadas a cabo para asegurar la sostenibilidad. Evidencia de compromiso de socios internacionales, gobiernos y otros interesados para apoyar financieramente sectores/actividades relevantes luego de la finalización del proyecto.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.
Sostenibilidad financiera	¿Han sido integradas estrategias de sostenibilidad financiera? ¿Son sostenibles los costos recurrentes luego de la finalización del proyecto?	Nivel y fuente de respaldo financiero futuro que debe proporcionarse a actividades y sectores relevantes luego de la finalización del proyecto. Compromisos de socios internacionales, gobierno u otros interesados en respaldar financieramente.	Documentos de respaldo de acuerdos. Socios e interesados clave del proyecto.	Entrevistas
Sostenibilidad institucional y gubernamental	¿Existe evidencia de que los socios y beneficiarios del proyecto darán continuidad a las actividades más allá de la finalización del proyecto? ¿Cuál es el grado de compromiso político para continuar trabajando sobre los resultados del proyecto? ¿Es adecuada la capacidad existente a nivel nacional y local para garantizar la sostenibilidad de los resultados alcanzados?	Grado en que las actividades del proyecto y los resultados han sido asumidos por las contrapartes y beneficiarios.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas

Sostenibilidad ambiental	¿Existen riesgos para los beneficios ambientales que fueron ocasionados que se espera que ocurran? ¿Existen amenazas ambientales que el proyecto no haya abordado?	Pruebas de las posibles amenazas. Evaluación de las amenazas	Documentos y evaluaciones del proyecto Evaluaciones de amenazas Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos Entrevistas
Desafíos a la sostenibilidad del proyecto	¿Cuáles son los principales desafíos que pueden dificultar la sostenibilidad de los esfuerzos? ¿Se han abordado durante la gestión del proyecto? ¿Qué potenciales medidas podrían contribuir a la sostenibilidad de los esfuerzos logrados por el proyecto?	Cambios que podrían significar desafíos al proyecto.	Equipo del proyecto, PNUD e interesados clave.	Análisis de documentos. Entrevistas.
Impacto: ¿Hay indicios de que el proyecto haya contribuido a reducir el estrés ambiental o a mejorar el estado ecológico, o que haya permitido avanzar hacia esos resultados?				
¿Se prevé que el proyecto alcance su objetivo de fortalecer los procesos de gestión del suelo y los bosques, y la conservación de la BD para asegurar el flujo de servicios ecosistémicos múltiples a la vez que se asegura la resiliencia al CC?		Cambios en los marcos regulatorios e institucionales, integrando los principios de manejo sostenible del bosque (SFM) y manejo sostenible de tierras (SLM), y las capacidades fortalecidas para la gestión integrada ambiental y de suelos. Reducción de la degradación del suelo, mejoran las reservas de C y se fortalece la conservación de la Biodiversidad en el suroriente y occidente de Guatemala a través de prácticas SFM/REDD+ y SLM Cambio en las capacidades técnicas del personal del MARN, MAGA, CONAP, SEGEPLAN, Municipalidades, comunidades locales y otros socios.	Equipo del proyecto, PNUD e interesados clave. Tracking Tools (METT y ScoreCards)	Análisis de documentos. Entrevistas.

Criteria/Question of assessment	Indicators	Sources of Information	Methodology
Project Strategy			
Project Design			
Does the problem addressed coincide with the priorities in the area of intervention?	Relationship between priorities of the region and objectives of the project	PRODOC Theory of Change, Representatives of the MARN, UNDP, CONAP FA	Document review and interviews
Has the project strategy provided the most effective route toward the anticipated/expected results?	Consistency between the project strategy and expected results Analysis of achievements by the respondents	Project strategy, PRODOC, Logical Framework, Theory of Change	Document Review
Were the lessons of other relevant projects adequately incorporated in the project design?	Lessons learned on the design of similar projects (e.g. target groups, consultations, social and environmental considerations, selected indicators, etc.)	Project strategy, PRODOC, Logical Framework, Theory of Change, Lessons of other relevant projects	Document Review
Does the project address the country's priorities in environmental and climate change?	Priorities in environmental issues and climate change adaptation in national strategies and legislation	National adaptation strategies to climate change Stakeholders of MARN, CONAP, UNDP, INAB, Academia, FA, participating institutions	Document review, interviews, consultations during field visit
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?	Approaches of stakeholders consulted on possible damages as a result of decisions of the project	Reports on consultations Workshop Start-Up Report Stakeholders interviewed	Document review and interviews
To what extent were relevant gender issues raised in the project design?	Gender strategy in the project	PRODOC UNDP representatives/gender specialists	Document review, interviews, consultations during field visit
Results Framework / Logical Framework:			

Did the Results Framework undergo modifications or adjustments during the project execution?	Adjustments in the results framework, modifications of targets or indicators.	Results Framework, Report of the Start-Up Workshop Responsible for Monitoring and Evaluation	Document review, interviews, consultations during field visit.
What is your assessment of the achievement of objectives, and project results?	Consistency between what was presented in the theory of change/PRODOC and what was verified	Theory of Change, PRODOC Stakeholders interviewed	Document review and interviews
Project implementation and Adaptive Management			
Management Arrangements			
What is your assessment of the overall effectiveness of the project management? How is PRODOC described?	Lessons learned on obstacles/catalysts of the 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
· Is decision-making transparent and undertaken in a timely manner?	Clarity of organizational management	PRODOC Organizational Manuals	Document review and interviews
What is your assessment on the role of the Executing Agency/ Implementing Partner?	Effectiveness and efficiency in the execution	PRODOC Organizational Manuals Progress Reports	Document review and interviews
Work Planning:			
· Were the work planning processes based on results?	Consistency between strategic/operational plans and logical /results framework	Operational Plans /Results Framework	Document review and interviews

Have you ever used the framework of work / framework of the project results as a management tool and review any changes that have been made since the initiation of the project?	Consistency between strategic/operational plans and logical /results framework	Operational Plans /Results Framework	Document review and interviews
Finance and Cofinancing:			
How do you evaluate the efficiency of the project's financial administration?	Efficiency of budgetary execution and its relationship with the product/result indicators	Operational Plans /results framework Financial progress reports	Document review and interviews
Were there changes in the allocations of funds as a result of budget revisions?	Efficiency of budgetary execution and its relationship with the product/result indicators	Operational Plans /results framework Financial progress 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? Has an external audit been conducted?	Audit Reports	Document review and interviews
Was the co-financing (if any) used strategically to help the project's objectives?	Relationship between co-financing and the results	Table of co-financing Follow-up	Document review and interviews
Does the project team meet regularly with all cofinancing partners to align funding priorities and annual work plans?	Relationship between co-financing and the results	Table of co-financing Follow-up	Document review and interviews
Monitoring and assessment systems at the project level			
Do the M&E tools offer the necessary information?	Arrangements/monitoring and assessment processes versus standards/national/international good practices/ Do the indicators measure what they are intended to measure? Are there unnecessary indicators?	M&E Reports PPR Actors responsible for M&E	Document review and interviews
Do M&E tools involve key partners?	Arrangements/monitoring and assessment processes versus standards/national/international good practices/	M&E Plan M&E processes PPR	Document review and interviews

	Existence of an M&E coordinator, M&E officers		
· Are they aligned or integrated with the national systems?	Arrangements/monitoring and assessment processes versus standards/national/international good practices/	Documentation that demonstrates the integration of M&E arrangements, the project, and the national systems in this area	Document review and interviews
· Does the set of M&E reports of respond to the needs of the project?	Arrangements/monitoring and assessment processes versus standards/national/international good practices/ What are the information needs of the project team? What are the information needs of the internal and external clients of the project?	M&E Reports Stakeholders involved in the M&E Project Coordinator	Document review and interviews
· Is the decision-making process is supported by the reports of M & E?	Arrangements/monitoring and assessment processes versus standards/national/international good practices/	M&E Reports Stakeholders involved in the M&E Project Coordinator	Document review and interviews
· Are sufficient resources allocated for monitoring and assessment? Are these resources being allocated in an effective way?	Percentage of funds for M&E as part of the total budget. Good practices indicate that M&E should be between 5% and 10% of the total budget.	M&E budget as part of the total project budget	Document review and interviews

· What are the 3 main weaknesses of the Project's M&E processes?	Aspects that create bottlenecks for the role of the M&E	Monitoring and assessment reports Stakeholders directly involved in monitoring and assessment.	Document review and interviews
· What are the 3 main strengths of the Project's M&E processes?	Aspects that catalyze the processes of the M&E function	Monitoring and assessment reports Stakeholders directly involved in monitoring and assessment.	Document review and interviews
· Is the window of M & E from Atlas systematically used to track the project activities?	Effectiveness and frequency of use of the M&E window in ATLAS	ATLAS Reports ATLAS system Stakeholders involved in M&E	Document review and interviews
Stakeholder participation:			
· Project Management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?	Benefits of partnerships and alliances	Actors of the institutions	Document review and interviews
· Participation and processes promoted by the countries: 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 participation/support of government stakeholders	Stakeholders in local and national governments	Document review, interviews, consultations during field visit
Reporting:			
What has been the role of the project board? Has it been effective?	Changes in adaptive management	Actors in the Project Board Implementers of the project Reports of the Project Board	Document review, interviews, consultations during field visit

• • Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.	Documentation of the lessons of adaptive management	Key partners	Document review and interviews
Communications:			
• Review the project's internal communication with stakeholders: Is communication regular and effective?	Regularity and effectiveness of internal communication	Project team and partners	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?	Effectiveness of communication and feedback	Project team and partners	Document review and interviews
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?	Effectiveness of external communication Web presence and social networks	Project team	Document review and interviews
Did the key stakeholders receive periodic information of the project during its implementation? Such information may include programmatic, financial, and management information.	Information shared with key stakeholders.	Project team Actors	Document review and interviews
What is the project's progress toward results in terms of contribution to sustainable development benefits, as well as to global environmental benefits?	Contribution to sustainable development benefits, as well as to global environmental benefits	Project team	Document review and interviews
Institutional Effectiveness			
What are the main strengths of procurement processes of the project?	Aspects that create bottlenecks to the procurement function	Responsible for acquisitions	Document review and interviews
What are the main weaknesses of procurement processes of the project?	Aspects that catalyze processes for the procurement function	Responsible for acquisitions	Document review and interviews
• Is there evidence of stability of the team?	Gaps in the team since the commencement of the project	Project team	Document review and interviews
• Is there any administrative obstacle that impedes the progress of the project?	Administrative bottlenecks	Project team	Document review and interviews

Sustainability			
Does the project have an exit strategy?	Actions to be performed after the end of the project.	The Project Team UNDP Team FA representatives Government institutions	Document review and interviews
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 Identified	PRODOC PPR ATLAS Risk Management Module	Document review and interviews
Financial Risks for Sustainability:			
What is the likelihood of financial and economic resources not being available once the FA 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)	Financial and economic risks to the implementation of activities	The Project Team UNDP Team FA representatives PRODOC Exit Strategy	Document review and interviews
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?	Changes in national governments and local changes in public policy agendas.	The Project Team Team of UNDP FA representatives Government Institutions PRODOC Exit Strategy	Document review and interviews
• 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 the benefits continuity of the project	The Project Team Team of UNDP FA representatives Government Institutions PRODOC Exit Strategy	Document review and interviews

· Lessons learned are being documented by the Project Team on a continual basis and shared	Lessons learned about sustainability in similar projects	Project team	Document review and interviews
<i>Institutional framework and governance risks to 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 mechanisms for accountability, transparency and the transfer of technical knowledge	Legal frameworks Public policies Exit Strategy	Document review, interviews, consultations during field visit
<i>Environmental risks to sustainability:</i>			
· Are there any environmental risk that could jeopardize the sustainability of the project outcomes?	Environmental risks to the sustainability of activities	Project MARN UNDP team Team stakeholders	Document review, interviews, consultations during field visit

5.5 Consulting Agreement form

Evaluator agreement form

Agreement to comply with the Code of Conduct for assessment in the UN System

Name of the evaluator/a	Javier Jahnsen Gutierrez
The name of the consulting services organization (when appropriate)	N/A

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

Signed In: Guatemala City

On the date: 20 July 2018

Signature:



Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____