



USAID | **GUATEMALA**
FROM THE AMERICAN PEOPLE

TRANSPARENCY AND INTEGRITY PROJECT

MONITORING AND EVALUATION PLAN

SEPTEMBER 2010

This publication was produced for review by the United States Agency for International Development.

Prepared for the United States Agency for International Development, USAID Contract Number DFD-I-00-08-00067-00, Task Order 02, Guatemala Transparency Project, under the Encouraging Global Anticorruption and Good Governance Effort (ENGAGE) Indefinite Quantity Contract (IQC)

Implemented by:
ARD, Inc.
P.O. Box 1397
Burlington, VT 05402

TRANSPARENCY AND INTEGRITY PROJECT

MONITORING AND EVALUATION PLAN

SEPTEMBER 2010

DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

TABLE OF CONTENTS

- TABLE OF CONTENTS I**
- ACRONYMS AND ABBREVIATIONS..... III**
- INTRODUCTION V**
- 1.0 PTI CAUSAL CHAIN AND LEVELS OF MEASUREMENT..... 1**
- 2.0 PTI M&E SYSTEM 5**
 - 2.1 SELECTED PERFORMANCE INDICATORS 5
 - 2.2 DATA COLLECTION METHODS AND TOOLS 7
 - 2.2.1 INFORMATION-GATHERING METHODS 8
 - 2.2.2 Outputs 9
 - 2.2.3 Subjective and Objective Information 9
 - 2.2.4 Ad-Hoc Information 10
 - 2.3 DATA QUALITY 10
 - 2.4 DATA ANALYSIS 11
 - 2.5 DATA MANAGEMENT 11
 - 2.6 ROLES AND RESPONSIBILITIES 12
 - 2.6.1 PTI Management Team 12
 - 2.6.2 Implementing Partners 14
- 3.0 PTI PERFORMANCE MONITORING MATRIX..... 14**
- APPENDIX 1: PERFORMANCE MONITORING MATRIX FOR PTI..... 15**
- APPENDIX 2: M&E TRACKING FORM..... 24**

ACRONYMS AND ABBREVIATIONS

AC	Acción Ciudadana
AG	Attorney General
ALAC	Asistencia Legal Anticorrupción
CG	Comptroller General
CICC	Coalition for the International Criminal Court
CNUCC	United Nations Convention against Corruption
CSO	Civil Society Organization
DCOP	Deputy Chief of Party
DEC	Development Experience Clearinghouse
DQA	Data Quality Analysis
FACTS	Foreign Assistance Coordination and Tracking System
FGD	Focus Group Discussion
FOIA	Freedom of Information Act
FOIL	Freedom of Information Law
GOG	Government of Guatemala
GTIP	Guatemalan Transparency and Integrity Project
IR	Intermediate Result
LLR	Lower Level Result
NGO	Non-governmental Organization
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
OCAT	Organizational Capacity Assessment Tool
M&E Plan	Monitoring and Evaluation Plan
PSC	Private Sector Counterpart
PMM	Performance Monitoring Matrix
PMP	Performance Monitoring Plan
TI	Transparency International
UAI	Unidades de Acceso a la Información Pública
USAID	United States Agency for International Development
USG	United States Government
WBI	World Bank Institute
WDI	World Development Indicator
WGI	World Governance Indicator
VP	Vice President

INTRODUCTION

The USAID / Guatemala Transparency and Integrity Project (PTI) is a two year, \$4,088,679 contract (with option period of three additional years) between the United States Agency for International Development (USAID) and ARD, Inc. of Burlington, Vermont, USA.

The estimated Base period of performance for this task order is from August 25, 2009 through July 31, 2011. The Option I period is estimated to begin on August 1, 2011 through March 13, 2014. The Option I period may be exercised, subject to USAID's approval.

The objective of the PTI is to support the GoG to combat impunity and strengthen systems of transparency and accountability, contributing to more transparent, responsive government, and democratic Guatemalan state. TIP will support efforts to increase the demand for transparency working with civil society (CSOs, media, and private sector), strengthen the capacity of key government institutions to promote a more transparent and accountable public sector ("supply side"), strengthen control entities of the Guatemala state to combat corruption, and support the modernization of regulations related to political parties finance.

The project will contribute to USAID's Intermediate Result 2 (IR2): Greater transparency and accountability of governments through four interrelated components (Sub-Intermediate Results) defined by USAID:

- Sub-IR 2.1 Citizens better informed and capable to oversee and fight corruption.
- Sub-IR 2.2 Key Executive Branch Institutions with increased capacity to oversee and implement anti-corruption measures.
- Sub-IR 2.3 A more active role of Key Oversight Entities promoted.
- Sub-IR 2.4 A more transparent political party financing system established and working.

PTI will utilize a results-based approach to monitoring and evaluation (M&E) that emphasizes the use of monitoring information by managers to make decisions about the direction of the Project. This M&E Plan, derived from the project work plan, outlines an efficient strategy to obtain reliable, timely, and cost-effective data that will be used to assess progress, make informed management decisions, and ensure the achievement of proposed project results with project resources.

The PTI M&E system has been designed with two purposes in mind:

1. Provide timely information to PTI management on Project results so as to guide management decision making and maximize Project effectiveness; and
2. Provide evidence of Project effectiveness to USAID/Guatemala and other stakeholders by collecting and reporting a set of key performance indicators.

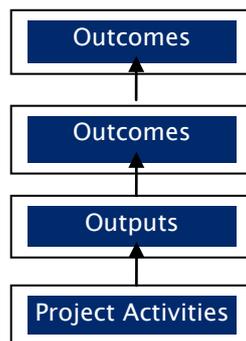
The M&E system achieves its purposes by tracking and documenting Project activities and results and by generating information on the changes occurring over time among relevant sector actors. The M&E system captures information both continuously and at distinct points in time. It promotes frequent and routine interactions between the PTI management team, implementing partners, and other sector actors so as to ensure that critical information about Project performance is captured, disseminated, discussed, and used to improve Project effectiveness. (Note: Implementing partners are civil society organizations or other sector actors that collaborate with PTI to implement selected Project activities within a sector. The roles and responsibilities of the implementing partners are specified in a formal agreement, such as a Memorandum of Understanding [MOU], between the implementing partner and the Project.)

This M&E Plan consists of three main components. Section 1.0 is a theoretical discussion of the casual chain that underpins the plan. This section includes a brief introduction to the various levels of results measured in the project and explains the casual linkages between them. Section 2.0 describes the selected project indicators and the primary data collection methods proposed for the PTI. It also includes a discussion of the steps to ensure data quality and describes the reporting requirements and key steps in detail. In addition, this section presents a simple proposed management information plan to ensure proper storage and use of project data. Section 3.0 contains the Performance Monitoring Matrix, which includes selected performance indicators and definitions, as well as a planning that highlights baseline and target data.

1.0 PTI CAUSAL CHAIN AND LEVELS OF MEASUREMENT

The PTI M&E system tracks key performance indicators at the output and outcome levels representing critical links in the Project causal chain. The causal chain is the cause-and-effect logic that underlies Project design. It begins with sector activities, which lead through a series of cause-and-effect relationships to outputs, outcomes, and, finally, impacts (Figure 1).

Figure 1. The Causal Chain



Outputs are the direct and immediate results of Project activities carried out by the Project itself or by its implementing partners that measure the level and intensity of Project activities and their outreach. Outputs are under the direct control of the Project and its implementing partners, occur continuously with Project activities, and are recorded as they occur. Examples include the number of organizations and people participating or reached in trainings, capacity development, or communication/dissemination activities.

Outcomes measure the Intermediate Results (IRs) of Project activities that typically occur in the medium and long terms. Outcomes are IRs in the sense that they are considered necessary preconditions, according to the Project's causal logic, to achieve impacts. Outcomes typically measure changes in the behavior of sector participants or in the structure of institutions and institutional relationships within the sector that are sought by Project activities. Unlike outputs, outcomes are not under the control of the Project or its implementing partners but represent the

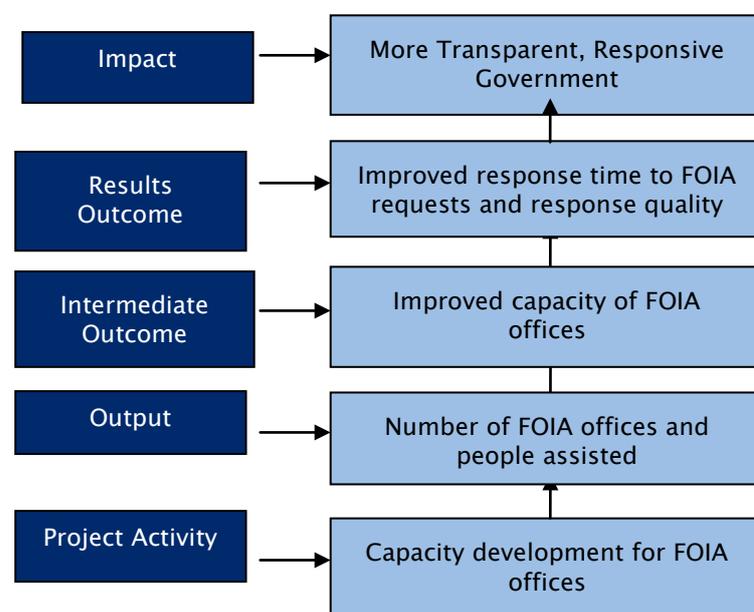
independent actions taken by sector actors; ideally, independent actions facilitated by the Project.

Outcomes in the PTI M&E system are further divided into two levels: intermediate outcomes and results outcomes. Intermediate outcomes are generally short- to medium-term outcomes indicating whether sector actors have adopted the desired behaviors or whether the desired changes in institutional structure and relationships have occurred. Results outcomes are medium- to long-term results indicating changes in sector results that occur as a result of the changes in behavior, institutions, and institutional relationships.

Impacts are the final results sought by PTI as described in USAID Guatemala’s strategic objective: More Transparent, Responsive Governance.

Figure 2 presents a simplified causal chain showing the cause-and-effect logic and corresponding performance indicators at the output, intermediate outcome, results outcome, and impact levels pertaining to the Project’s planned activity to strengthen the capacity of the Government of Guatemala (GoG) Freedom of Information Act offices (FOIAs).

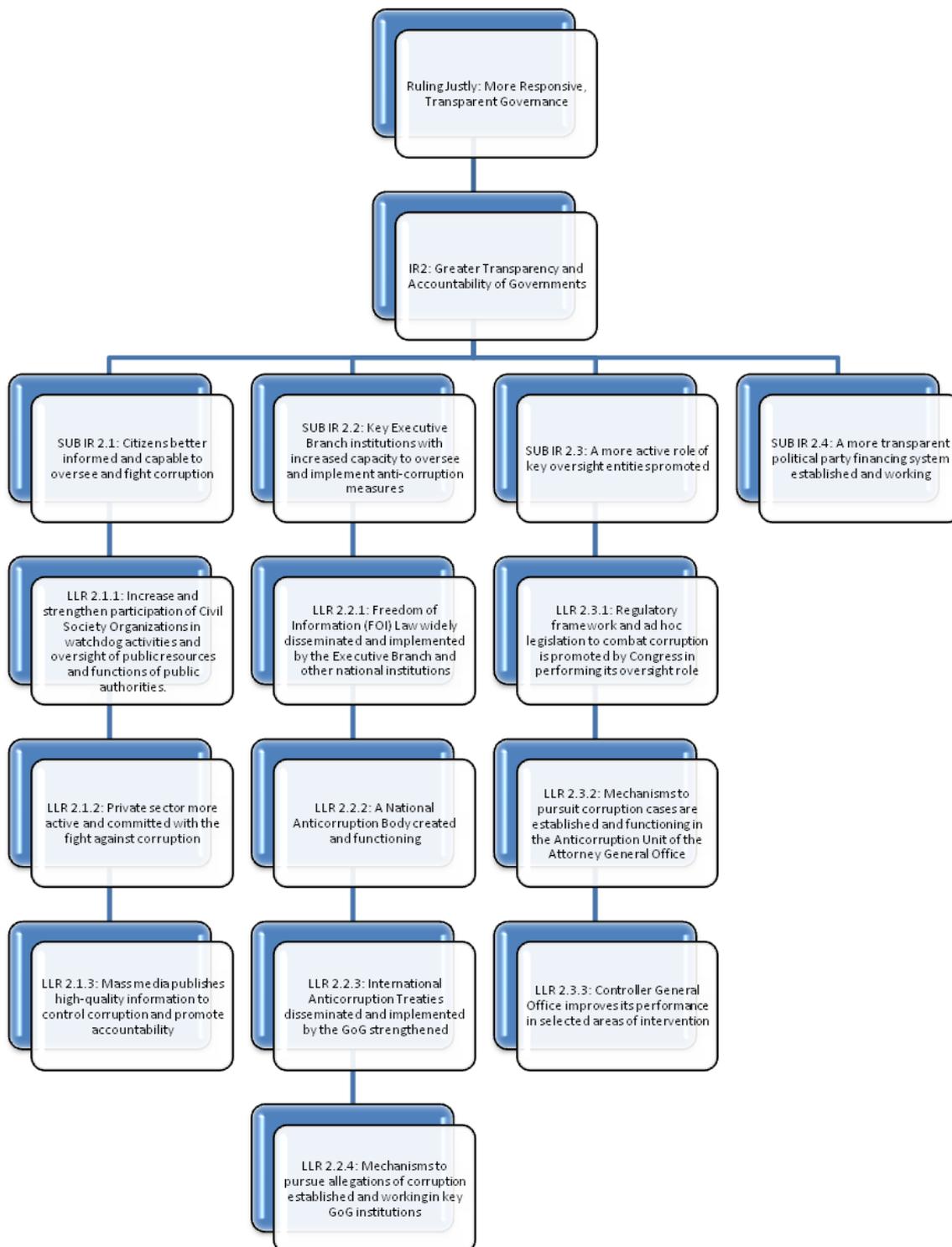
Figure 2. Illustrative GTIP Causal Chain



The PTI M&E system will focus on tracking intermediate and results outcomes representing “critical links” in the Project’s causal chain. Critical links represent outcomes that (1) the Project believes are most critical in achieving the Project’s Strategic Objective, and (2) can feasibly be measured given the Project’s technical capacity and resources.

Figure 3 presents the Project Results Framework, which shows the relationships among the Project’s LLRs, Sub-IRs, and USAID’s Strategic Objective which is consistent with the Mission’s PMP.

Figure 3: Project Results Framework



2.0 PTI M&E SYSTEM

PTI will utilize a results-based approach to monitoring and evaluation (M&E) that emphasizes the use of monitoring information by managers to make decisions about the direction of the Project. This M&E Plan, derived from the project work plan, outlines an efficient strategy to obtain reliable, timely, and cost-effective data that will be used to assess progress, make informed management decisions, and ensure the achievement of proposed project results with project resources.

PTI M&E Plan Purposes Statements:

- To enable strong decision-making regarding project activities, ensuring effective implementation, proper resource use, and progress toward achievement results.
- To inform and influence policy-makers about the implications of project findings.
- To enhance learning regarding ARD and USAID programs in the areas of transparency and anticorruption.

The M&E Plan provides a roadmap for systematic monitoring that will enable project decision makers to periodically gauge progress toward the achievement of LLRs and Sub-IRs. Using the M&E Plan, TIP staff will monitor results throughout the life of the project through systematic, periodic, and timely data collection and analysis.

2.1 SELECTED PERFORMANCE INDICATORS

In this M&E Plan, we strike a balance between the need to provide rigorous, accurate, and objective data for decision-making and management and the need to work within budget and human resource constraints. Through the use of this plan, We will: 1) limit data collection to a set of carefully selected and minimal number of key performance indicators based on the principle that less is more, 2) assign the primary responsibility for capturing the results to local implementing partners; 3) limit formal data collection and outcome reporting (LLRs and progress toward Sub-IRs) to once a year, and 4) integrate activity and output data collection – to the extent possible – into day-to-day PTI activities.

The PTI team has selected a total of 18 key indicators for the project – including relevant standardized Foreign Assistance Tracking and Coordination System (FACTS) indicators – to measure outputs and outcomes that are directly attributable to USG

programs. The number of indicators presented captures well the overall expected impact and results of the project and most FACTS included are consistent with USAID/Guatemala PMP under Intermediate Result 2. These key indicators measure all Sub-IRs and most LLRs identified in the result framework.

Table 2.1 SELECTED INDICATORS BY SUB-IR

SO and SUB-IR LEVEL	INDICATORS
SO: Ruling Justly: More Responsive, Transparent Governance	<ul style="list-style-type: none"> • Guatemala percent change on the Transparency International (TI) Corruption Perception Index (CPI).
Sub-IR 2.1: Citizens better informed and capable to oversee and fight against corruption	<ul style="list-style-type: none"> • Number of concrete changes in government processes resulting from social audit activities. • Number of Social Auditing Activities carried out with Project support. • USG FACTS: Number of People affiliated with non-governmental organizations receiving USG supported anti-corruption training. • Number of Activities carried out in alliance with Private Sector entities that promote GoG transparency. • Number of articles/media productions published as result of journalist/media training activities.
Sub-IR 2.2: Key Institutions of the Executive Branch increase capacity to oversee and implement anticorruption measures	<ul style="list-style-type: none"> • USG FACTS: Number of USG-supported anti-corruption measures implemented by the Executive Branch. • Access to Information Index in the Executive Branch. • Number of UAIs receiving technical assistance from the Project. • Law initiative for the creation of a National Anti-corruption Body. • Number of recommendations of the IACC Committee of Experts addressed by GoG. • Number of Government Officials receiving Project supported anti-corruption training, specifically related to areas of intervention derived from International Anticorruption Treaties. • Number of existing mechanisms (Units) to pursue allegations of corruption that receive Project technical assistance.

Table 2.1 SELECTED INDICATORS BY SUB-IR

SO and SUB-IR LEVEL	INDICATORS
SUB-IR 2.3: A more active role of Key Oversight Entities promoted	<ul style="list-style-type: none"> • USG FACTS: Number of USG-supported anti-corruption measures implemented by the Key Oversight Entities. • Number of transparency /anticorruption bills promoted by Congress receiving Project assistance. • Number of executed arrest warrants in corruption related cases increases. • The new elected Comptroller General adopts a work plan that includes an operational transparency / anticorruption component.
SUB-IR 2.4: A more transparent political party financing system established and working	<ul style="list-style-type: none"> • Number of Electoral Audit Mechanisms strengthened as result of project intervention.

2.2 DATA COLLECTION METHODS AND TOOLS

This section describes the attributes of the PTI M&E system, including those related to information gathering and reporting, data analysis and management, training, roles and responsibilities, and management features. A particularly important criterion in designing the PTI M&E system is feasibility. Creating an effective and sustainable M&E system requires that it be designed to correspond with PTI’s limited human and financial resources. It achieves this result in the following ways.

- It restricts information collection to a limited set of key performance indicators;
- Its assigns implementing partners the primary responsibility for capturing the results related to the Project activities that they implement;
- It utilizes, where appropriate, measurement tools developed by implementing partners, including the Access to Information Index developed by Acción Ciudadana. Where such tools do not exist, the Project will develop the appropriate tools and share them with the implementing partner;
- It limits formal collection and reporting of results outcomes and selected intermediate outcomes to once each year corresponding to its annual reporting obligation to USAID/Guatemala;
- It integrates ongoing information gathering, to the extent possible, into the day-to-day activities of the PTI management team and its routine interactions with implementing partners and other sectors actors; and

- It uses rapid, targeted information-gathering activities administered to small (purposive) samples of system actors to answer specific questions of interest to management and USAID.

The PTI M&E system described below is designed to incorporate learning loops in which information is continuously fed into the management decision making and planning process, which in turn feeds back into ongoing M&E activities. The primary feedback mechanisms are the monthly M&E Tracking Form and the Monthly M&E Meetings. This process creates multiple opportunities during the year for experience to be shared among members of the management team so as to form a learning venue in which potential improvements or adjustments in Project design or operations are discussed and agreed-on.

The PTI learning loop takes the approach of double learning. It first looks at what is happening in the field compared to what was expected by looking at the activity and outcomes with the aim of adjusting the former where it seems necessary or desirable. It next looks at more fundamental type of changes that occur in the sector so as to encourage thinking and acting beyond the daily routine and the Project causal logic in addition to examining and questioning the assumptions used to design the sector intervention.

The double learning loop requires all members of the PTI management team to remain involved in sector activities to develop an awareness of discrepancy between what people should do and what they actually do and an understanding of how perceptions, assumptions, and values inform what people do and think. The lessons generated by the double learning loop will be documented as part of the M&E system and will be used to advise management where changes or improvements can be made.

2.2.1 INFORMATION-GATHERING METHODS

The PTI M&E system uses diverse information-gathering methods which complement and mutually reinforce each other and enable PTI management to triangulate to a greater understanding of Project effectiveness. Information-gathering methods are divided into two general types: end-of-period methods that are implemented in conjunction with the Annual Report to USAID/Guatemala, and ongoing methods that are implemented throughout the year.

Ongoing information-gathering methods include three specific types of information: (1) outputs, (2) subjective and objective information created through the management team's routine interactions with implementing partners and other sector actors, and (3) ad-hoc information on questions of interest to PTI management and USAID.

2.2.2 Outputs

Information on outputs is collected at the time the activity is implemented by the implementing entity using an Activity Report to be prepared by PTI. The Activity Report uses a standardized reporting format capturing essential details of the activity as specified in the Project Task Order (e.g., names, affiliations, date, place, purpose, and outcomes). It also includes room for Project staff and implementing partners to make qualitative observations about the activity or other related issues and to make related recommendations.

2.2.3 Subjective and Objective Information

Subjective information is the observations, opinions, informed judgments, etc., held by individuals, whereas objective information is specific and verifiable information. The PTI M&E system feeds both subjective and objective information to PTI management on a routine basis using the monthly M&E Tracking Form (Appendix 2). The M&E Tracking Form is a management tool intended for internal Project use only; information recorded on the M&E Tracking Form is not reported to USAID but instead serves as a formalized and ongoing mechanism to capture, report, and consider subjective and objective information from the field on Project results. Its purpose is to encourage the routine consideration and discussion of Project results among members of the management team as an input into the management decision making and planning process.

Members of the management team are to submit the completed M&E Tracking Form electronically to the M&E Officer at the conclusion of each month. The M&E Officer analyzes and summarizes the findings from the tracking forms (in addition to any findings from ad hoc information-gathering activities) in a report, which he/she distributes to each member of the management team in preparation for the Monthly M&E Meeting.

At the conclusion of each month, the management team will convene a Monthly M&E Meeting to review the information reported in the M&E Tracking Forms. During the meeting, managers will review activities carried out in each sector over the past quarter, discuss sector trends and Project achievements, and, based on this discussion, plan activities and related objectives for the coming quarter. At the meeting, managers are expected to justify the information in their monthly reports and respond to noted deficiencies and information gaps. Similarities and variances in observations and conclusions are noted and discussed. Detailed minutes¹ are kept at each meeting, which are summarized and reported back to the management team by the M&E Officer.

¹ The M&E Officer has double duty as the Grants Manager for the Project as well. For simplicity's sake, the position is referred to in this document as the "M&E Officer."

2.2.4 Ad-Hoc Information

Ad-hoc information is gathered on an as-needed basis using rapid assessment methods to answer specific questions of interest to the Project and USAID. Rapid assessments are quick investigations (ranging from a few hours to a couple of days) carried out by Project staff and implementing partners using a diverse set of quantitative and qualitative information-gathering tools. Methods include key informant interviews, focus group discussions, short and targeted questionnaires, satisfaction surveys, and other methods as deemed appropriate.

Rapid assessments are not intended to be representative but rather are designed to get “quick and dirty” answers to important questions from a small sample of sector actors over a short period of time at a reasonable cost. Rapid assessments may be implemented to follow up on information generated through other means, such as the M&E system, staff observations, and media reports. They might also be implemented to identify the factors underlying adverse trends in Project outcomes, to gain a greater understanding of the causal mechanisms linking Project activities to observed outcomes, to examine issues related to the implementation of sector activities, or to create a clearer picture of what is happening among sector actors. Important findings from the rapid assessments are discussed during the Quarterly M&E Meeting.

2.3 DATA QUALITY

Project data collection instruments and reporting templates will be traceable to verifiable data sources. To the extent possible, project data will adhere to the four data quality standards of integrity, precision, reliability, and timeliness.

In order to ensure high quality data, staff, partners and key stakeholders will receive training in the M&E Plan and its corresponding systems and tools as well as in the proper use of data verification processes and collection and reporting templates. The project’s dedicated M&E Officer and Deputy Chief of Party (DCOP) will conduct spot checks of data collection and reporting activities and provide ongoing capacity building support for the PTI staff, and partners.

Through rigorous qualitative and quantitative analysis, project data will be converted into information for the use in planning, management, and scheduled USAID reporting.

2.4 DATA ANALYSIS

The M&E Officer analyzes quantitative results coming from the M&E system using simple descriptives and frequencies, such as mean response values, response ranges, and the number and percentage of people belonging to selected categories (particularly women and ethnic groups). The quantitative findings are then presented in summary tables with descriptive headings and narrative content summarizing the findings and providing additional contextual information acquired through staff observations or other complementary information-gathering activities.

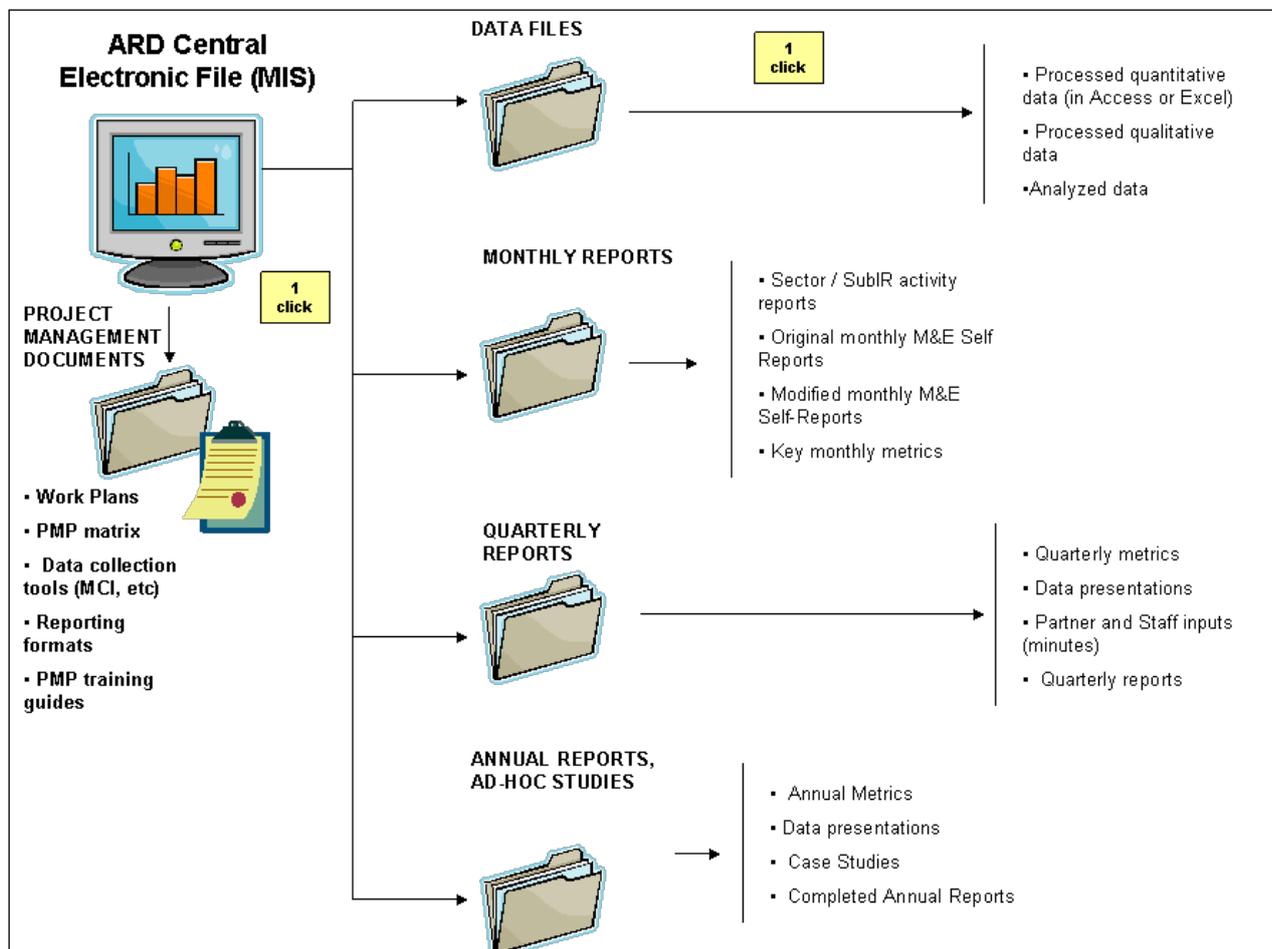
All quantitative and qualitative information coming from the M&E system undergoes a second level of analysis in the Quarterly M&E Meeting via group discussion and consensus building. The multiple sources of monitoring information and multiple levels of analysis are used to validate information coming from the different information sources and provide needed context, thus providing a stronger basis for decision making and action.

2.5 DATA MANAGEMENT

Over time, information from the M&E system creates a valuable repository of institutional knowledge that PTI can access to inform its decision making and operations, and which USAID/Guatemala and other Project stakeholders can access to inform their future Programming decisions. It is thus important that this information is captured and stored in a safe and accessible manner with enforceable protocols regulating access and revisions to stored documents.

The Project will develop a suitable computerized data management system to store and organize M&E data along with protocols governing access and use of the data so as to guarantee its safety and integrity. Given the relatively low level of sophistication of the PTI M&E system, an Excel-based system for storing and organizing quantitative data is adequate. Original copies of all data forms and files should be stored in a separate file, and any changes to existing data forms and files should be recorded, including the date, the person making the changes, and the changes made.

FIGURE 2.5 SAMPLE MIS FOR THE PTI



2.6 ROLES AND RESPONSIBILITIES

Persons involved in the implementation and administration of the M&E system include the PTI management team and implementing partners. Their roles and responsibilities are described below.

2.6.1 PTI Management Team

All members of the PTI Management team who are responsible to manage/oversee activities under specific intermediate results (IRs) are also responsible for implementing the M&E system. Specific M&E responsibilities include:

- Interacting with relevant sector actors and carrying out active, informal, and formal market scanning;

- Completing the monthly M&E Tracking Form for the activities under his/her responsibility;
- Participating in the Monthly M&E Meeting; and
- Participating in ad-hoc information gathering as appropriate.

The DCOP and M&E Officer have additional responsibilities for M&E under the M&E system, as follows:

DCOP

- Supervising the overall operation of the M&E system, while ensuring that any identified deficiencies are addressed;
- Developing policies governing the design, implementation, and administration of the M&E system;
- Negotiating agreements with implementing partners that specify the partners' obligations for data collection and reporting and the Project's obligations for training in data collection;
- Developing training plans and training resources;
- Supervising the day-to-day activities of the Grants Manager and M&E Assistant;
- Contracting with external entities as appropriate for research activities and supervising their work; and
- Contributing to, approving, and submitting M&E reports to USAID/Guatemala.

Grants Manager and M&E Assistant

- Developing training plans and training resources;
- Training implementing partners and other external entities responsible for data collection and reporting;
- Planning data collection activities and supervising their implementation in conjunction with implementing partners, including both routine and ad-hoc data collection activities, and any other external entities;
- Ensuring timely submission of all M&E reports, including the monthly M&E Tracking Form;
- Analyzing M&E data;
- Preparing M&E reports to be submitted to the Project management team and to USAID/Guatemala;
- Preparing M&E summaries for the Monthly M&E Meeting;

- Advising the COP and DCOP on decisions taken in response to M&E information; and
- Implementing a Data Quality Analysis (DQA) of the PTI M&E system.

2.6.2 Implementing Partners

- Collecting and reporting on key output and outcome indicators linked to Project activities;
- Reporting on the use of funds disbursed for Project implementation;
- Facilitating Project visits by PTI staff and other stakeholders;
- Facilitating external reviews mandated by PTI or donors; and
- Facilitating regular exchange of information on Project progress with the PTI management team.

3.0 PTI PERFORMANCE MONITORING MATRIX

The PTI Performance Monitoring Matrix – PMM (see Appendix 1) is presented in this section. One impact indicator is presented at the Strategic Objective level—“Ruling Justly: More Responsive, Transparent Governance” —to provide USAID with information to report on the Mission Performance Monitoring Plan (PMP). Seventeen (17) outcomes and outputs indicators are presented, with one indicator for each Sub-IR or LLR in most cases, and exceptionally up to two indicators when relevant (see Table 1 below, which presents a summary of the 18 indicators presented in the PMM). Wherever relevant, results indicators in the PMM are drawn from the Foreign Assistance Coordination and Tracking System (FACTS) and include 3 of such indicators.

It is important to note that this M&E Plan covers only the first two years of the Project during which time the objective of the work plan is to lay the foundation for higher-level results during the final years of the Project. It is expected that the M&E Plan for Years 3 to 5, if option period is to be exercised, will include a greater focus on results outcomes.

APPENDIX 1: PERFORMANCE MONITORING MATRIX FOR PTI

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2		Responsible	
SO: Ruling Justly: More Responsive, Transparent Governance	Guatemala's percent change on the Transparency International (TI) Corruption Perception Index (CPI)	3.4 (2009)	3.5		3.5				Transparency International's webpage: www.transparency.org	Annually	<p>DEFINITION:</p> <p>Degree to which corruption is perceived to exist in society. Transparency International's (TI) Corruption Perception Index (CPI) ranks countries by their perceived levels of corruption, as determined by expert assessments and opinion surveys. A higher score on a scale from 0 to 10 means less (perceived) corruption.</p> <p>COMMENTS:</p> <p>This is a context indicator about which the GTIP will report in its M&E Annual Report, but for which the Project cannot be held directly accountable due to the large number of factors besides USAID Guatemala assistance which affect the corresponding performance and score reported by each source.</p> <p>Transparency International's (TI) Corruption Perception Index (CPI) was first released in 1995. Baseline for this exercise will be the 2009 Score of 3.4 points over a maximum of 10. Transparency International Corruption Perception Index methodology does not establish yearly target scores; the methodology only provides yearly actual scores. In order to be consistent with USAID's criteria of establishing Performing targets to measure commitments to focus on a result, a target of 3.5 points was determined. Although a modest increase, it does represent a positive change in expected transparency performance of GoG. Annual Scores reflect country data from a given calendar year, not necessarily equal to USAID fiscal year.</p>
										M&E Expert	
SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption	Number of concrete changes in government process resulting from social audit activities	0 (2009)	5		8				Project Records and Reports	Annually	<p>DEFINITION:</p> <p>Citizen's capability to effectively fight against corruption is measured through whether their oversight actions result in desired change. Civil society organizations and their affiliates will be the vehicles for social auditing and oversight activities.</p> <p>COMMENTS:</p>
										Technical Staff Team	

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities	Number of Social Auditing Activities carried out with Project support.	0 (2009)	5		5				Project Records and Reports	Quarterly	DEFINITION: "Social auditing" activities are those activities undertaken by citizens to intervene in the supervision, follow-up, and monitoring of public affairs, for the purpose of verifying that the principles of transparency, efficiency, effectiveness, equity, soundness, execution, and quality, among others, are adhered to. Citizen participation in these activities is a means to prevent and control corruption by rendering public actions subject to citizen scrutiny. "Activities" are defined as a specific action, function, or sphere of action.
										Technical Staff Team	COMMENTS:
LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities	Number of People affiliated with non-governmental organizations receiving USG supported anti-corruption training. (USG FACTS - GJD 2.4 "F" List indicator)	1634 (2008)	430 172W/25 8M		500 250W/25 0M				Project Records and Reports, List of participants, and training agendas	Quarterly	DEFINITION: Persons may not be from government. Training refers to all training or education events, whether short-term or long-term, in country or abroad. Data will be disaggregated by Gender.
										Technical Staff Team	COMMENTS: USG FACTS - GJD 2.4 "F" List indicator. FY2009 Baseline is established in 1,634 (726 F908 M). Baseline data corresponds to achieved outputs for FY2009 under former USAID Guatemala Transparency and Anticorruption Program (contract DFD-1-03-03-00139-00).
LLR 2.1.2 Private sector more active and committed with the fight against corruption	Number of Activities carried out in alliance with Private Sector entities that promote GoG transparency.	0 (2009)	0		3				Project Records and Reports	Quarterly	DEFINITION: "Private sector" refers to firms, chambers and/or other groups of the corporate sector whose ownership is private and whose shares may not be offered for public subscription. The private sector is that part of the economy which is both run for private profit and is not controlled by the state. Activities are defined as a specific action, function, or sphere of action.
										Technical Staff Team	COMMENTS:

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.1.2 Private sector more active and committed with the fight against corruption	Number of Activities carried out in alliance with Private Sector entities that promote GoG transparency.	0 (2009)	0		3				Project Records and Reports	Quarterly	DEFINITION: "Private sector" refers to firms, chambers and/or other groups of the corporate sector whose ownership is private and whose shares may not be offered for public subscription. The private sector is that part of the economy which is both run for private profit and is not controlled by the state. Activities are defined as a specific action, function, or sphere of action.
										Technical Staff Team	COMMENTS:
LLR 2.1.3 Mass media publishes high quality information to control corruption and promote accountability	Number of articles / media productions published as result of journalist/media training activities.	0 (2009)	0		12				Project Records and Reports, Copy of published media productions (piece presented in a print or Internet medium such as a newspaper, newsletter, news magazine, radio program, TV program, etc)	Quarterly	DEFINITION: A media/news production on transparency and/or anticorruption is a piece presented in a print, Internet or other mass media such as newspaper, newsletter, news magazine, radio, TV, etc. Training refers to the acquisition of knowledge, skills, and competencies as a result of the teaching of vocational or practical skills and knowledge that relates to specific useful skills.
										Technical Staff Team	COMMENTS: Published media productions to be counted are those resulting from Project direct intervention (journalist/media training activities).
SUB-IR 2.2 Key Executive Branch Institutions with increased capacity to oversee and implement anti-corruption measures	Number of USG-supported anti-corruption measures implemented by the Executive Branch (USG FACTS - GJD 2.4 F list Indicator / Disaggregated)	0 (2009)	3		3				Project Records and Reports	Quarterly	DEFINITION: Anticorruption measures may include new laws, regulations, procedures, consultative mechanisms, oversight mechanisms, investigative/prosecutorial initiatives, public information initiatives, civil society initiatives, and other measures taken -in any sector- with the objective of increasing transparency about public decision making, conflicts of interest, resource allocation, etc; decreasing impunity for corrupt acts; increasing demand for reform or awareness of the problem; increasing knowledge about corruption and its costs; and reducing opportunities for corruption. Only anticorruption measures implemented in the Executive Branch will be counted.
										Technical Staff Team	COMMENTS: Disaggregation of USG FACTS - GJD 2.4 "F" List Indicator.

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions	Access to Information Index in the Executive Branch	.52 (2008)	0.60		N/A				Acción Ciudadana Access to Information Index. Project Records and Reports.	Annually	DEFINITION:
											Access to Information Index measures degree of compliance of Access to Information Law by Executive Branch Institutions in Guatemala. Universe of this study involve 38 institutions that compose the Executive Branch. Methodology for the development of Access to Information Index involves the evaluation of six main areas. This evaluation will measure compliance with the law regarding the information to be made public on the internet and/or to have readily accessible in Access Information Units, and the information to be made available upon public request. The six main areas of are: 1) Transparency obligations, specifically the publicity of information required to be presented through institutional web page (articles 10 and 11); 2) General dispositions, specifically regarding the update of information (article 7); 3) Access to Information Units existence and operation (articles 19 and 20); 4) Performance in responding Access to Information Requests, and information delivery (articles 18, 20, 25, 26, 38, 39, 40, 41, 42, 43 y 44); 5) Compliance and Quality of Reports to be presented before the Ombudsman Office (article 48); and 6) Implementation of Training programs (article 51). The Unit of Measure: Score that ranges from 0 to 1, where one reflects the highest degree of compliance.
											COMMENTS:
											The Access to Information Index for the Executive Branch in Guatemala is carried out bi annually.
LLR 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions	Number of UAIs receiving technical assistance from the Project	0 (2009)	3		6				Project Records and Reports	Quarterly	DEFINITION:
											Accesses to Information Units (UAIs) are formal offices specifically constituted for the implementation of FOIL in each public institution. This indicator refers to the number of UAI agencies that have received technical assistance and/or training provided by the Project. "Technical Assistance" is defined as a relationship in work or education settings in which an expert with specific technical/content knowledge provides information to address an identified need. Specific goals are designed to utilize recognized 'best practices' by organizations or individuals seeking answers to specific questions. Technical Assistance is customized to meet the needs of the client, and offers solutions to a specific identified challenge.
											COMMENTS:

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.2.2 A National Anti-corruption Body created and functioning	Law initiative for the creation of a National Anti-corruption Body	No (2009)	NO		YES				Project Records and Reports	Quarterly	<p>DEFINITION:</p> <p>Development of Legal framework by which a national anticorruption body of Guatemala is proposed to be created. This anticorruption body is expected to replicate the Secretary of the Public Function in Mexico model. Legal framework proposal will be in the form of a Law to be approved by Congress.</p>
										Technical Staff Team	<p>COMMENTS:</p> <p>The Transparency and Integrity Project will provide technical assistance to GoG Commission for Transparency and against Corruption under the responsibility of the Vice President in the development of the legal framework proposal by which a national anticorruption body is created.</p>
LLR 2.2.3 International Anticorruption Treaties disseminated and implementation by GoG strengthened	Number of recommendations of the IACC Committee of Experts addressed by the GoG	11 (2008)	6		15				Project Records and Reports	Quarterly	<p>DEFINITION:</p> <p>The Committee of Experts recommendations are limited to only a few of the areas covered by the IACC. Recommendations are intended to improve specific areas identified as a weakness of IACC compliance. Recommendations addressed are those that have been undertaken or are in process of being implemented by the GoG. In September 2005, the OAS Committee of Experts identified 15 recommendations for Guatemala in connection with the first round of implementation of the Inter-American Convention against Corruption. More recently, in June 2008 the OAS Committee of Experts on the Inter-American Convention against Corruption issued a second set of recommendations, adding 11 new recommendations to the 15 preexisting ones, 26 in total.</p>
										Technical Staff Team	<p>COMMENTS:</p> <p>A new set of recommendations is expected as outcome of the third round evaluation.</p>

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.2.3 International Anticorruption Treaties disseminated and implementation by GoG strengthened	Number of Government Officials receiving Project supported anti-corruption training, specifically related to areas of intervention derived from International Anticorruption Treaties	0 (2009)	75 30W/45M		75 25W/25M				Project Records and Reports, List of participants, and training agendas	Quarterly	<p>DEFINITION:</p> <p>Persons must be from government. Training refers to all training or education events, whether short-term or long-term, in country or abroad. Data will be Disaggregated by Gender.</p>
										Technical Staff Team	<p>COMMENTS:</p> <p>Anti-corruption conventions and instruments are of key importance. These texts, agreed by governments, recognize corruption as a worldwide and cross-border problem, and express a high-level political commitment to address the problem collectively. The conventions/instruments establish rules and standards (many of them binding) that promote domestic action and facilitate international cooperation. Many of them adopt a comprehensive approach to corruption, calling for a wide range of measures to prevent it, measures to punish it when it occurs, measures to check corruption-related money laundering and facilitate the return of assets acquired through corrupt means; and measures to provide assistance to countries where required. The most comprehensive of them is also the most recent, the landmark United Nations Convention against Corruption (UNCAC) from 2003, global in its reach and with the most extensive approach to addressing the corruption problem.</p>
LLR 2.2.4 Mechanisms to pursue allegations of corruption established and working in key GoG institutions	Number of existing mechanisms (Units) that pursue administrative felonies, and allegations of corruption that receive Project technical assistance	0 (2009)	0		3				Project Records and Reports	Quarterly	<p>DEFINITION:</p> <p>A "mechanism that pursues administrative felonies, and allegations of corruption" is a process undertaken- through its completion- to investigate and/or process administrative felonies and corruption allegations. The indicator refers to existing mechanisms adopted in institutions of the Executive Branch that are to be supported by the Project.</p>
										Technical Staff Team	<p>COMMENTS:</p> <p>Projects intervention will be limited to strengthening existing mechanisms (units), new mechanisms (units) are not expected to be created.</p>

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
SUB-IR 2.3 A more active role of Key Oversight Entities promoted	Number of USG-supported anti-corruption measures implemented by the Key Oversight Entities (USG FACTS - GJD 2.4 Anti-corruption Reforms - F list Indicator / Disaggregated)	0 (2009)	2		2				Project Records and Reports	Quarterly	DEFINITION: Anticorruption measures may include new laws, regulations, procedures, consultative mechanisms, oversight mechanisms, investigative/prosecutorial initiative, public information initiatives, civil society initiatives, and other measures taken (in any sector) with the objective of increasing transparency about public decision making, conflicts of interest, resource allocation, etc; decreasing impunity for corrupt acts; increasing demand for reform or awareness of the problem; increasing knowledge about corruption and its costs; and reducing opportunities for corruption. Only refers to anticorruption measures implemented in the Key Oversight Entities.
										Technical Staff Team	COMMENTS: Disaggregation of USG FACTS - GJD 2.4 "F" List Indicator.
LLR 2.3.1 Regulatory framework and ad hoc legislation to combat corruption is promoted by the Congress in performing its oversight role	Number of transparency /anticorruption bills promoted by Congress receiving Project assistance	1 (2009)	0		4				Project Records and Reports	Quarterly	DEFINITION: "Bill" is a draft of a legislative proposal, which, when it has been passed by the Legislative Assembly becomes law.
										Technical Staff Team	COMMENTS: The Project expects to support Congress in the "promotion" of transparency / anticorruption bills. "Promotion" activities are all of which urge the adoption of the abovementioned bills.
LLR 2.3.2 Mechanisms to pursue corruption cases are established and functioning in the Anticorruption Unit of the Attorney General Office	Number of executed arrest warrants in corruption related cases increases	15 (2009)	20		22				Anticorruption Unit of Attorney General's Office and/or Project Records and Reports	Quarterly	DEFINITION: A warrant for arrest is typically issued by a judge after a request by the police or other law enforcement agency. Arrest warrants must include evidence of probable cause that a specific crime was committed by a specific person. Increment in executed arrest warrants is directly proportional to effective criminal investigation.
										Technical Staff Team	COMMENTS: FY2011 will be 2 months shorter. Rate of apprehension will increase from 1.7 per month in FY 2010 to 2 per month in FY2011. The Transparency and Integrity Project expects to strengthen the Anticorruption Unit capacity by providing targeted technical assistance, training programs, and promoting institutional development and interinstitutional coordination mechanisms.

USAID/Guatemala Transparency and Integrity Project Performance Monitoring Matrix

Result Level	Performance Indicators	Baseline Value	Y1 FY10 (Oct 2009 - Sept 2010)		Y2 FY11 (Oct 2010 - Jul 2011)		VARIANCE		SOURCE	Frequency for Collecting Data	DEFINITION/COMMENTS
		Baseline YR	Target	Actual	Target	Actual	Y1	Y2			
LLR 2.3.3 Controller General improves its performance in selected areas of intervention	The new elected Comptroller General adopts a work plan as result of project intervention that includes an operational transparency / anticorruption component	0 (2009)	0		1				Project Records and Reports	Quarterly	<p>DEFINITION:</p> <p>A "work plan" is a strategic management tool used to improve performance by outlining direction, priorities, and resources by the Office of the Comptroller General to implement a series of activities. The work plan must include an "operational" component of transparency and anticorruption measures to be undertaken. "Operational" refers to specific and quantifiable actions for which resources- material, personnel, work space, etc- are allocated.</p>
										Technical Staff Team	<p>COMMENTS:</p> <p>The Comptroller General Election Process begins four months before the new elected Comptroller General takes office in October 2010. During this period of time, the Project will support Civil Society Organizations to advocate for the development of a Transparency component/section to be included into the work plan of whichever candidate becomes the Comptroller General.</p>
SUB-IR 2.4 A more transparent political party financing system established and working	Number of Electoral Audit Mechanisms strengthened as result of project intervention	10 (2009)	0		2				Project Records and Reports	Quarterly	<p>DEFINITION:</p> <p>The word "audit" is derived from the Latin <i>auditus</i> (hearing) and is defined by the Oxford English Dictionary as an "official examination of accounts with verification by reference to witnesses and vouchers. To make an official systematic examination of (accounts) so as to ascertain their accuracy." From the earliest citations until the present epoch there is a close relationship between the concepts of audit, accountability, accounting, and accuracy. An "audit mechanism" is a process undertaken- through its completion for the systematic examination of data as to ascertain its accuracy. An "audit mechanism" may be manual or electronic.</p>
										Technical Staff Team	<p>COMMENTS:</p>

APPENDIX 2: M&E TRACKING FORM

Annual Performance Plan and Report Indicator for Reporting Period FY2010

Q1	Q2	Q3	Q4
October 09 – December 09	January 10 – March 10	April 10 – June 10	July 10 – September 10

SUB IR	
LLR	
Indicator:	
Definition:	
Unit of Measure:	
Disaggregated by:	

Data Report	
Data reported:	
Data source:	
Data collection method:	
Narrative Data Analysis:	

**Narrative Data
Analysis:**

Individual responsible for reporting data:	
Date of report:	
Person responsible for reviewing data:	
Date of review:	
Location of Data Storage:	
List of supporting data documents and/or information:	

U.S. Agency for International Development

Guatemala

Km 6.5 Final Boulevard Los Proceres

Santa Catarina Pinula

Guatemala, C.A.

Tel: (+502) 2422-4000; Fax: (+502) 2422-4585

<http://www.usaid.gov/gt>