



**USAID**  
FROM THE AMERICAN PEOPLE

**GUATEMALA**

# LOCAL GOVERNANCE PROJECT

## ANNUAL MONITORING AND EVALUATION REPORT

(OCTOBER 1, 2012 – SEPTEMBER 30, 2013)

OCTOBER 2013

This publication was produced for review by the United States Agency for International Development.  
It was prepared by ARD, Inc.

Prepared by the Guatemala Local Government Project for the United States Agency for International Development, under the Sustainable Urban Management II Indefinite Quantity Contract (No. EPP-I-04-04-00035-00).

ARD Principal Contacts:

Jessica Britt  
Project Manager

Tetra Tech  
Burlington, VT  
Tel.: 802-658-3890  
[jessica.britt@tetrattech.com](mailto:jessica.britt@tetrattech.com)

Thomas Reilly  
Senior Technical  
Advisor/Manager

Tetra Tech  
Burlington, VT  
Tel.: 802-658-3890  
[thomas.reilly@tetrattech.com](mailto:thomas.reilly@tetrattech.com)

# LOCAL GOVERNANCE PROJECT

## ANNUAL MONITORING AND EVALUATION REPORT

OCTOBER 1, 2012 – SEPTEMBER 30, 2013

OCTOBER 2013

### **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.

# CONTENTS

<b>Contents</b>	1
<b>Acronyms and Abbreviations</b>	4
<b>Resumen Ejecutivo</b>	7
<b>Executive Summary</b>	14
<b>1.0 Background, Strategic Objective, Intermediate Results and Indicators</b>	21
1.1 LGP Background	21
1.2 LGP Strategic Objective and Intermediate Results	21
1.3 Amendments to the M&E Plan	22
1.4 LGP Indicators	23
1.5 Amendments to the Project	24
<b>2.0 Methodology and Tools</b>	26
2.1 Work Plans	26
2.2. Citizen satisfaction level Survey	26
2.3. Pre and Post Training Testing	27
<b>3.0 M&amp;E Reporting by Sub-IR and Indicator</b>	29
<b>EASTERN REGION OF GUATEMALA</b>	
3.1 Sub IR 2.1 More Transparent Systems for Management of Public Resources by Local Governments	29
3.1.1 Indicator 1: Number of municipalities with budgets and expenditure reports available to public within three months of completion	29
3.1.2 Indicator 2: USG facts 2.1: Number of sub-national governments receiving USG assistance to increase their annual own source revenues	31
3.1.3 Indicator 3: fiscal independency of “targeted” municipalities (IR level Indicator) (USAID Guatemala PMP custom indicator)	34
3.1.4 Indicator 4: Level of citizens’ satisfaction with public service delivery at time of payment	36

3.1.5 Indicator 5: Number of strategic or development plans strengthened through participatory means	39
3.2 SUB IR 2.2 More Effective Advocacy of Municipalities for Local Citizen Priorities with National Government	41
3.2.1 Indicator 6: USG FACTS 2.2: Number of individuals who received USG assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization	41
3.2.2 Indicator 7: Number of reform initiatives supported by ANAM that incorporate demands to strengthen local government and decentralization	46
3.2.3 Indicator 8: Number of services provided by ANAM to its members	49
3.3 SUB IR 2.3 More Inclusive and Transparent Political Processes	51
3.3.1 Indicator 9: Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government (USAID Guatemala PMP custom indicator)	51
3.3.2 Indicator 10: USG FACTS 2.5: people reached by USG assisted voter education	55
<b>WESTERN REGION OF GUATEMALA (FtF)</b>	
3.4 Sub IR 2.1 More Transparent Systems for Management of Public Resources by Local Governments	55
3.4.1 Indicator 1: Number of Municipalities with budget and expenditure reports available to public within three months of completion	55
3.4.2 Indicator 2: Fiscal Independency of “targeted” Municipalities	57
3.4.3 Indicator 3: Number of strategic or development plans strengthened through participatory means	57
3.4.4 Indicator 4: Number of public-private partnerships formed as a result of FtF assistance	59
3.4.5 Indicator 5: Number of urban and rural water suppliers who chlorinate water for domestic consumption.	60
3.4.6 Indicator 6: USG FACTS 2.2: Number of individuals who received USG assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization	64
3.4.7 Indicator 7: Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government	68
3.4.8 Indicator 8: Number of people trained in child health and nutrition through USG-supported programs	70

3.4.9 Indicator 9: Number of individuals who have received USG supported Short-term agricultural sector productivity or food security training	73
<b>4.0 Summary Assessment</b>	76
<b>5.0 Performance Indicator Reference Sheets Eastern Region of Guatemala</b>	78
<b>6.0 Performance Indicator Reference Sheets Western Region of Guatemala</b>	90
<b>7.0 Annexes</b>	101

# ACRONYMS AND ABBREVIATIONS

AFIM	<i>Administración Financiera Integrada Municipal</i>
ANAM	<i>Asociación Nacional de Municipalidades</i>
CAM	Commission of Municipal Affairs
CMM	<i>Comisión Municipal de la Mujer</i>
COCODE	<i>Consejo Comunitario de Desarrollo</i>
CODEDE	Departmental Development Council
CODESAN	<i>Concejo Departamental de Seguridad Alimentaria y Nutricional</i>
COMUDE	Municipal Development Council
COMUSAN	<i>Comisión Municipal de Seguridad Alimentaria y Nutricional</i>
COP	Chief of Party
COR	Contracting Officer's Technical Representative
CSO	Civil Society Organization
DEL	<i>Desarrollo Económico Local</i>
DICABI	<i>Dirección de Catastro y Bienes Inmuebles</i>
DGO	Democracy and Governance Office
DMP	<i>Dirección Municipal de Planificación</i>
FtF	Feed the Future
FY	Fiscal Year
GIS	Geographic Information Systems
GOG	Government of Guatemala
HO	Home Office
HDC	Human Development Capacity
IMARE	Innovative Market Alliance for Rural Entrepreneurs
IR	Intermediate Result
IUSI	<i>Impuesto Único Sobre Inmuebles</i>

LAIP	<i>Ley de Acceso a la Información Pública</i>
LED	Local Economic Development
LED/SAN	Local Economic Development/Food Security and Nutrition
LG	Local Government
LGP	Local Governance Project
LLR	Lower Level Result
MCI	Municipal Capacity Index
MFP	Ministry of Public Finance
MPD	Municipal Development Plan
MINFIN	Ministry of Public Finance
MO	Mission Order
MOU	Memorandum of Understanding
M&E	Monitoring and Evaluation
NIM	Municipal Identification Number
NGO	Non-governmental Organization
OMM	Municipal Office for Women
OMP	Municipal Planning Office
OSPM	Municipal Public Services Office
OSR	Own-source Revenue
PDM	<i>Plan de Desarrollo Municipal</i> (Municipal Development Plan)
PGL	<i>Proyecto Gobernabilidad Local</i>
PGL/UCADE-TSE	<i>Proyecto Gobernabilidad Local/ Unidad de Capacitación, Divulgación y Educación Cívica- Electoral del Tribunal Supremo Electoral</i>
PIMA	<i>Plan de Inversión Multianual</i>
PIRS	Performance Information Reference Sheets
PMP	Performance Monitoring Plan
POA	<i>Plan Operativo Annual</i>
PROFIL	<i>Proyecto para el Fomento de las Industrias Locales</i>
RAS	<i>Red de agua y saneamiento</i> (Urban and rural water and sanitation Networks)
RI	Reform Initiatives
SAN	Food and Nutritional Security

SCEP	<i>Secretaría de Coordinación de la Presidencia</i>
SEGEPLAN	<i>Secretaría General de Planificación y Programación de la Presidencia</i>
SESAN	<i>Secretaría de Seguridad Alimentaria Nutricional</i>
SIAF	<i>Sistema Integrado de Administración Financiera</i>
SIAF-Muni	<i>Sistema Integrado de Administración Financiera Municipal</i>
SICOFIM	<i>Sistema de Certificaciones de Oficiales Financieros Municipales</i>
SICOIN-GL	<i>Sistema de Contabilidad Integrado de Gobiernos Locales</i>
SIG	Geographic Information System of Guatemala
SO	Strategic Objective
TO	Task Order
TSE	<i>Tribunal Supremo Electoral</i>
UCADE-TSE	<i>Unidad de Capacitación, Divulgación y Educación Cívica-Electoral del Tribunal Supremo Electoral</i>
USAID	United States Agency for International Development
USG	United States Government
Y1	Year one
Y2	Year two
Y3	Year three
Y4	Year four

# RESUMEN EJECUTIVO

Este es el cuarto informe Anual de Monitoreo y Evaluación del Proyecto Gobernabilidad Local (PGL) de la Agencia de los Estados Unidos para el Desarrollo Internacional USAID/Guatemala, ejecutado por Tetra Tech ARD. Este informe reporta el nivel de cumplimiento de las metas para el Año cuatro en la región Oriente y Año tres en la región Occidente, (en ambos casos el período reportado comprende del 1 de octubre de 2012 al 30 de septiembre de 2013), conforme a los 19 indicadores contenidos en el Plan de M&E del PGL (10 indicadores región oriente y 9 indicadores de la región occidente). La diferencia entre ambas regiones (Año 3 y Año 4) consiste en que la actividad especial FtF (región occidente) inició un año después que la región oriente.

La implementación del PGL durante el Año 4, continuó contribuyendo al Objetivo Estratégico de USAID: *More Responsive, Transparent Governance*; y Resultado Intermedio 2 (IR2): *Greater transparency and accountability of governments* a través de los subresultados intermedios (Sub-IRs): Sub-IR 2.1 Sistemas más transparentes para la gestión de los recursos públicos de los gobiernos locales; Sub-IR 2.2 Incidencia más efectiva de las Municipalidades ante el gobierno central para atender las prioridades de sus ciudadanos locales; y Sub-IR 2.3 Más oportunidades para la participación ciudadana y auditoría social en la toma de decisiones de los gobiernos locales.

## Aspectos principales del contexto del Año 4

El primer trimestre del Año 4, se desarrolló en el contexto de dos crisis externas, una política y la otra, un desastre natural, que afectaron negativamente tanto las actividades del Proyecto como las comunidades que éste atiende.

La crisis política se originó con una manifestación que implicó carreteras bloqueadas en el occidente del País (lo que impidió la movilización del equipo durante varias semanas) y causó agitación social general, en buena parte, en relación al costo de la electricidad. Conocida como “la crisis del alumbrado público”, los enfrentamientos del 4 de octubre entre el ejército y organizaciones indígenas que manifestaban dejaron un saldo de ocho muertos y varios heridos.

El desastre natural fue el terremoto de 7.4 grados en la escala de Richter que golpeó el occidente del País el 7 de noviembre a las 10:35 a.m. Fue el sismo más grande que se ha registrado en el país en más de 35 años; se sintió en toda Centroamérica y dejó 44 muertos. La región de San Marcos fue la más afectada, con daños materiales en 11 de las municipalidades atendidas por el Proyecto, siendo la de San Pedro Sacatepéquez una de las más golpeadas.

Por un período prudencial que garantizara la seguridad del equipo técnico y diera espacio a que tanto autoridades como funcionarios de las municipalidades afectadas atendieran las necesidades de la población afectada, las actividades programadas debieron quedar en suspenso. Además de las pérdidas humanas, un aspecto negativo sumado a la crisis fue que el gobierno central no tomó en cuenta a los gobiernos locales en la búsqueda de soluciones. No consultó con ellos sobre la ayuda de emergencia ni las tareas de reconstrucción.

Como respuesta a la crisis política, el gobierno central buscó reasignar la responsabilidad del alumbrado público, trasladándola de los gobiernos municipales a las distribuidoras de energía, propiamente (ENERGUATE). En ambos casos el Proyecto trabajó con la Asociación Nacional de Municipalidades – ANAM – para encontrar una solución más efectiva. La ANAM argumentó que transferir la responsabilidad del alumbrado público a un tercero podría producir un conflicto más amplio, ya que las municipalidades usan parte del ingreso proveniente del alumbrado público para subsidiar el costo de proveer agua potable a las comunidades. Hacia el final del Año 4, los actores continúan negociando para encontrar una solución. La ANAM con la colaboración del Proyecto, desarrolla una propuesta de metodología para la fijación de la tasa de alumbrado público aprobada por la Junta Directiva y presentada al Presidente de la República dándole el respaldo político necesario.

De esta manera, la empresa distribuidora de energía eléctrica brindó el apoyo financiero a la ANAM para que esta metodología fuera presentada a las municipalidades del País. El sentido de esta propuesta, es permitir un cobro escalonado según el consumo de los usuarios y dar respuesta a la insistencia de algunas bancadas del Congreso de la República de crear un arbitrio (impuesto municipal) para financiar el alumbrado público, así como a la acción constitucional de amparo presentada por el Procurador de los Derechos Humanos en contra de 50 municipalidades por tener un cobro muy alto del alumbrado público. Para dar seguimiento a este tema, la ANAM, con el apoyo del Proyecto, UNICEF y ENERGUATE, programaron la realización de las mesas regionales de diálogo en las que además de socializar esta propuesta se lograrán identificar los temas a ser tratados en la próxima Asamblea General y Congreso de Alcaldes a realizarse el próximo año.

El segundo trimestre de 2013, correspondió al último período de trabajo de campo del equipo técnico de PGL en la región del oriente del país. Este trimestre transcurrió sin acontecimientos externos mayores.

El PGL realizó una actividad de cierre el 20 de marzo de 2013 en Estanzuela, Zacapa, a la que fueron invitados alcaldes, autoridades y funcionarios municipales. Durante esta reunión, el PGL presentó los resultados de la segunda encuesta a los usuarios del servicio de agua y el contenido de la nueva Ley contra la Corrupción. Ambos temas resultaron de interés para los asistentes, generando preguntas especialmente el segundo de ellos.

Al finalizar el evento, se tuvo la oportunidad de conversar con algunos alcaldes, otros miembros de concejos municipales, así como con representantes de las Oficinas Municipales de la Mujer, quienes coinciden en el beneficio que la intervención del PGL representó para sus municipalidades. La apreciación que estas personas hicieron de la asistencia técnica que recibieron es positiva, como se evidencia en este testimonio.

*“Mi nombre es Jorge Lemus, alcalde del municipio de Olopa, Chiquimula.*

*La verdad es que este proyecto vino a mejorar la recaudación, los controles internos, también qué es lo que debe hacer la corporación, cada uno con sus funciones y sus atribuciones. Para nosotros fue un éxito el Proyecto. Cuando yo llegué a la municipalidad, recaudaba Q75,000 al año y con las capacitaciones y los controles que se han manejado, este año pasado, llegamos a un millón de quetzales de recursos propios. También aprendimos cómo venderles a las personas la idea de que había que tributar a la municipalidad, sin pelear con nadie”.*

Sin duda, lo más importante del tercer trimestre fue la asistencia técnica y financiera que el Proyecto brindó a la ANAM para que realizara una gira nacional de capacitación de autoridades, funcionarios y empleados municipales.

La Junta Directiva de la ANAM, en su última reunión indicó que los temas prioritarios para los cuales deseaban apoyo del PGL eran La Ley contra la Corrupción y el fortalecimiento de los ingresos propios municipales. Para lograr la mayor participación posible de autoridades y funcionarios municipales, se planificó una gira nacional para acercar la capacitación a las municipalidades más alejadas.

Esta capacitación posicionó a la ANAM como la primera institución a nivel nacional que capacitó sobre la Ley contra la Corrupción, al extremo que a los talleres asistieron diputados, trabajadores del organismo judicial, gobernadores y otros empleados del organismo ejecutivo.

Durante el último trimestre, USAID solicitó a Tetra Tech (5 de julio de 2013) la presentación de una propuesta para modificar el PGL para extender por un año más la ejecución del Proyecto a septiembre 30, 2014; obligar \$ ; y continuar actividades en las 12 municipalidades seleccionadas de San Marcos y Quetzaltenango, así como, expandir actividades en las ocho municipalidades del departamento de Quiché. La propuesta fue presentada a USAID el 29 de julio de 2013. USAID aprobó la modificación del PGL el 19 de septiembre de 2013.

### **Modificaciones al Plan de M&E del Proyecto**

En este período se realizó la enmienda No.3 al Plan de Monitoreo y Evaluación del PGL para incorporar dos nuevos indicadores de capacitación para monitorear actividades de capacitación en: 1) sector productivo agrícola o seguridad alimentaria, y 2) salud infantil y nutrición en las 12 municipalidades de la región occidente. Esta modificación también incluyó la actualización de la definición del indicador No.5 de FtF, correspondiente a Asociaciones de usuarios de agua recibiendo asistencia del Gobierno de Estados Unidos. Esta modificación fue aprobada por USAID el 4 de junio de 2013.

### **Cumplimiento de las metas**

Durante el Año 4 del PGL, se monitoreó el progreso por medio de 19 indicadores que forman parte del Plan de M&E del Proyecto, de acuerdo a su enmienda No.3. En la región oriente: el indicador 5 se monitoreó durante los años 1 al 3; y el indicador 10 se monitoreó únicamente durante el Año 2 (año electoral). Con respecto a la región occidente, no hay meta establecida en este período para el indicador 2 debido a la finalización de actividades en el área. El desempeño de los indicadores se resume de la siguiente manera:

### **Reportes públicos de ejecución presupuestaria.**

En este período los 25 municipios atendidos por el Proyecto en las dos regiones oriente (13 municipalidades) y occidente (12 municipalidades) cumplieron con subir al Portal de Gobiernos Locales del Ministerio de Finanzas Públicas sus reportes de ejecución presupuestaria para el año fiscal 2012, como lo establece la Constitución de la República de Guatemala. (Indicador 1, oriente y occidente).

### **Municipalidades que reciben asistencia para incrementar sus ingresos propios.**

Las 13 municipalidades atendidas en el oriente participaron activamente en las actividades de asistencia técnica proporcionadas por el Proyecto. Este fue el último año de implementación de actividades del PGL en la región oriente del país, motivo por el cual el proyecto IUSI concluyó su asistencia en marzo 2013,

en las 4 municipalidades seleccionadas: Estanzuela (Zacapa), San Cristóbal Acasaguastlán (El Progreso), y Concepción Las Minas y San Jacinto (Chiquimula). Los logros obtenidos, muestran un mejoramiento en la recaudación del IUSI, así como en los ingresos provenientes del pago de canon de agua, drenaje y los principales arbitrios. (Indicador 2, oriente).

En la región occidente/FtF, también se continuó replicando la asistencia del proyecto IUSI en San Antonio Sacatepéquez, San Pedro Sacatepéquez, San Rafael Pie de la Cuesta y San Pablo, todos en San Marcos, con resultados positivos y una respuesta favorable por parte de las municipalidades. Los datos disponibles a junio 2013, comparado con los ingresos totales durante el 2012, en estas 4 municipalidades, muestran una tendencia favorable en mejorar la recaudación de ingresos propios en el cobro de agua, IUSI y arbitrios. La tendencia es incierta para IUSI en San Antonio Sacatepéquez debido a que aún no cuentan con la autorización para la administración del impuesto por parte de la DICABI. Asimismo, en San Pedro Sacatepéquez la información con respecto a lo recaudado por concepto de IUSI aún se encuentra en proceso, debido al alto volumen de registros inscritos (10,850 usuarios).

### **Independencia fiscal.**

La independencia fiscal de las 13 municipalidades atendidas en la región oriente, durante el ejercicio fiscal 2012 fue de 14.16%, excediendo la meta establecida de 12.36%. (Indicador No.3, oriente). En la región occidente no se reporta este indicador en este período, de acuerdo a lo establecido en el Plan de M&E (Indicador No.2 occidente).

### **Satisfacción de usuarios del servicio de agua potable en el área urbana.**

La meta establecida para el Año 4, era que los niveles de satisfacción de los usuarios se incrementaran 5 puntos porcentuales sobre la línea base (63.2%), para alcanzar el 68.2%.

De acuerdo a lo estipulado en el Plan de M&E, en el Año 4, el PGL contrató una firma consultora para realizar la segunda encuesta de satisfacción entre los usuarios del servicio de agua potable a una muestra de 3,426 usuarios en el área urbana, asegurando una exactitud estadística del 95%, en los 13 *municipios* de la región oriente del país. En términos de las cuatro variables que fueron evaluadas en el Año 4, los resultados de la consultoría establecieron el nivel de percepción de los usuarios del servicio de agua potable de 62.7%, en los 13 municipios atendidos

A pesar de que la meta del indicador unificado global no se alcanzó, la asistencia técnica y financiera proporcionada por el PGL a las 13 *target municipalities* en la región oriente del país para fortalecer las variables de ***cobertura de los servicios y calidad del agua potable*** contribuyeron a incrementar dichas variables, comparado con los resultados de la primer encuesta realizada en el 2011 (Año 2 del PGL). En el Año 4 la variable *de cobertura* alcanzó el 68.1%, comparado con el 65.1%, según datos de la primer encuesta. Asimismo, en el Año 4 la variable *de calidad* muestra el 68.5%, comparado con el 60.6% del Año 2. El nivel de incidencia del Proyecto fue limitado, a que a pesar de la asistencia técnica que se proporcionó, la toma de decisiones sobre las acciones específicas para incrementar la satisfacción de los usuarios del servicio de agua potable dependía directamente de las autoridades municipales, dependiendo del nivel de compromiso de las corporaciones municipales, la disponibilidad de recursos económicos y humanos, así como de la rotación de personal y la complejidad de la situación en cada municipio. Aspectos que afectaron para alcanzar la meta establecida para este año. Los resultados individuales se compartieron con cada municipalidad, de esta manera las autoridades podrían decidir en las políticas requeridas para mejorar los servicios reportados. (Indicador 4, oriente).

### **Planes de Desarrollo Municipal diseñados o actualizados.**

La meta para este año, en la región occidente, de diseñar, modificar, o actualizar dos planes de desarrollo estratégico fue excedida. El Proyecto fortaleció tres planes de gobierno local en este período: San Rafael Pie de la Cuesta, San Cristóbal Cucho y San Lorenzo. (Indicador 3, occidente).

En la región oriente, el Plan de M&E no establece una meta en el Y4 para este indicador, debido a la finalización de la asistencia en marzo del 2013. Sin embargo, es importante mencionar que la meta acumulada de diseñar, modificar, o actualizar 10 PDM durante los tres años de vida del Proyecto fue alcanzada. El PGL proporcionó asistencia técnica y financiera para fortalecer y publicar los PDM de: Estanzuela (Zacapa); Esquipulas, Concepción Las Minas, Camotán, Olopa, San Jacinto, San José La Arada, and San Juan Ermita (Chiquimula); and Sansare and San Cristóbal Acasaguastlán (El Progreso). (Indicador 5, oriente).

### **Alianzas público-privadas.**

La estrategia de intervención de la iniciativa Feed the Future del PGL, ha incluido como uno de sus principales enfoques la coordinación y trabajo interinstitucional por medio de alianzas y coordinaciones como base para el logro de resultados integrales en cada uno de los componentes del Proyecto. Lo anterior es evidente en la consecución de la meta para el Año 3, de apoyar en la creación de 8 alianzas público-privadas: 2 alianzas público-privadas, 2 alianzas privadas, y 4 coordinaciones. (Indicador 4, occidente).

### **Asociaciones de usuarios de agua recibiendo asistencia del Gobierno de Estados Unidos.**

Se excedió la meta acumulada de 32 sistemas de cloración requerida para dos años, ya que en total se instalaron 37 sistemas de cloración de agua: 32 sistemas producto de la pequeña donación con CADISNA y 5 sistemas de cloración de la alianza con CADISNA/AVINA/PGL. Es importante resaltar que se beneficiaron un total de 25,807 habitantes, correspondientes a 6,795 viviendas en 43 centros poblados. (Indicador 5, occidente).

### **Personas capacitadas con asistencia técnica o financiera del PGL.**

El Plan de M&E del PGL no contemplaba capacitaciones durante el Año 4 en la región oriente del país, debido a la finalización de actividades en dicha área. Sin embargo, el Proyecto detectó la necesidad de capacitar a autoridades municipales y oficiales de Petén, Zacapa, Izabal, Chiquimula, Guatemala y El Progreso sobre la Ley Anti-corrupción. Como resultado, el Proyecto capacitó en este período a 696 personas (53% mujeres). (Indicador 6, oriente).

En la región occidente, la meta para el Año 4, era capacitar 760 personas (304m/456h), incluyendo habilidades de gestión y administración fiscal para fortalecer los gobiernos locales y/o la descentralización. En este período, se capacitaron 3,818 individuos (64% mujeres).

La meta se sobrepasó considerablemente debido a la capacitación intensiva proporcionada a las PROLOSAN y OMM (2,094 personas, 84% mujeres). De estos participantes, el 75% fueron capacitados por el Instituto Tulán, en 9 municipalidades. Así mismo, en el marco de la asistencia con ANAM, se capacitaron a 1,147 autoridades municipales y oficiales (18% mujeres). Los temas incluyeron incremento de los ingresos propios, ejecución presupuestaria y la Ley Contra la Corrupción. (Indicador 6, occidente).

### **Personas capacitadas en Salud infantil y nutrición.**

Este indicador fue agregado por medio de la enmienda No.3 al Plan de M&E, aprobada en junio 4 de 2013 para monitorear específicamente las capacitaciones en salud infantil y nutrición. La meta para el Año 3 era capacitar a 460 personas (184m/276h) sobre estos temas. El Proyecto excedió la meta, capacitando a 692 personas (69% mujeres). (Indicador 8, occidente).

### **Sector agrícola o seguridad alimentaria.**

Este indicador también fue agregado por medio de la enmienda No.3 al Plan de M&E, para monitorear las capacitaciones en el sector agrícola o seguridad alimentaria específicamente. La meta para el Año 3 era capacitar a 300 personas (120m/180h). En este mismo período, el PGL realizó actividades de capacitación dirigidas a 474 personas (57% mujeres). (Indicador 9, occidente).

Es importante mencionar que todas las capacitaciones realizadas en los indicadores de capacitación mencionados anteriormente, fueron evaluadas por medio de boletas pre y post capacitación para evaluar la efectividad de los eventos, aplicabilidad de los conocimientos y nivel de satisfacción de las capacitaciones. Los resultados de las evaluaciones forman parte de este informe.

### **Iniciativas Promovidas por la ANAM o Instancia Municipalista.**

La meta para el Año 4 era apoyar a la ANAM en presentar 9 iniciativas de reformas legales. Durante este período, el Proyecto proporcionó asistencia técnica a la Asociación para preparar 15 iniciativas de reforma legales. Dentro de la asistencia cabe destacar que la asesoría brindada por el Proyecto permitió a la ANAM incidir ante el Ministerio de Finanzas para que emitiera la Resolución 264-2013, que aclara sobre las obligaciones de los miembros de los concejos municipales para el cobro de sus dietas. El análisis elaborado por el Proyecto sobre la Ley contra la Corrupción, contenido en la *Guía para municipalidades: Cómo interpretar la Ley contra la Corrupción*, permitió a la ANAM capacitar a las 334 municipalidades sobre el tema, posicionándose con ello como una entidad que promueve la transparencia y brinda servicios de capacitación a las municipalidades sobre la legislación que les aplica. (Indicador 7, oriente).

### **Servicios brindados por la ANAM a sus miembros.**

La meta para el Año 4 de ANAM de proporcionar 250 servicios a sus miembros fue excedida. Durante este año, bajo el subcontrato del Proyecto con la Asociación, ANAM proporcionó 732 servicios a sus miembros, de los cuales 269 fueron legales, 297 de comunicaciones y 166 financieros. El subcontrato con ANAM finalizó en abril 2013, cuatro asesores estaban financiados bajo el mismo. La Asociación consciente de la ventaja competitiva de proporcionar estos servicios a sus miembros, decidió, a partir de mayo del presente año, pagar por estos servicios profesionales directamente. Esperan celebrar una asamblea extraordinaria para asegurar la continuidad de estos servicios que contribuyen al fortalecimiento de los gobiernos locales. (Indicador 8, oriente).

### **Mecanismos locales apoyados por el PGL.**

En el año 4, el Proyecto atendió 118 mecanismos locales de participación ciudadana de una meta de 40. El PGL proporcionó asistencia técnica y financiera para fortalecer los mecanismos de participación ciudadana a nivel departamental, municipal y comunitario. El 78% de mecanismos atendidos corresponde a apoyo en temas de seguridad alimentaria y nutricional en la región occidente del país, y el 22% restante, corresponde a apoyo brindado en la región oriente para fortalecer la participación

ciudadana. (Indicadores 9 oriente y 7 occidente).

En resumen, en su cuarto año de implementación, el **PGL excedió 12 de las 16 metas planificadas para el período y obtuvo resultados conforme lo previsto en 3 indicadores. Así mismo, no se alcanzó la meta en un indicador**, como se indica en la siguiente tabla:

<b>CUARTO REPORTE DE M&amp;E LGP</b>				
<b>Resumen del Cumplimiento de Metas en el Año 4</b>				
No.	Resumen del indicador	Meta	Resultado	Nivel de cumplimiento
<b>REGIÓN ORIENTE (Año 4)</b>				
1	Reportes públicos de ejecución presupuestaria	13/13	13/13	Cumplida
2	Municipalidades que reciben asistencia para aumentar sus ingresos propios	13/13	13/13	Cumplida
3	Independencia Fiscal	12.36%	14.16%	Excedida
4	Satisfacción de usuarios del servicio de agua potable en el área urbana	68.2%	62.7%	No alcanzada
5	Planes de Desarrollo Municipal diseñados o actualizados	10	10	Cumplida *
6	Personas capacitadas con asistencia técnica o financiera del PGL	0	696 (370 w/326m)	Excedida
7	Iniciativas promovidas por ANAM o la Instancia Municipalista	9	15	Excedida
8	Servicios brindados por la ANAM a sus miembros	250	732	Excedida
9	Mecanismos locales apoyados por el PGL	25	26	Excedida
10	Personas alcanzadas durante el proceso electoral	40,000 (20,000m/20,000h)	45,494 (23,639m/21,855h)	Excedida **
<b>REGIÓN OCCIDENTE (FtF) (Año 3)</b>				
1	Reportes públicos de ejecución presupuestaria	8/12	12/12	Excedida
2	Independencia Fiscal	N/A	N/A	***
3	Planes de Desarrollo Municipal diseñados o actualizados	2	3	Excedida
4	Alianzas Público-privadas	8	8	Cumplida
5	Asociaciones de usuarios de agua recibiendo asistencia del Gobierno de Estados Unidos	Incrementar 16 sobre el año anterior	29	Excedida
6	Personas capacitadas con asistencia técnica o financiera del PGL	760 (304m/456h)	3,818 (2,433m/1,385h)	Excedida
7	Mecanismos locales apoyados por el PGL	15	92	Excedida
8	Personas capacitadas en salud infantil y nutrición	460 (184m/276h)	692 (481m/211h)	Excedida
9	Personas capacitadas en sector productivo agrícola o seguridad alimentaria	300 (120m/180h)	474 (270m/204h)	Excedida

Fuente: PGL records

\* M&E Plan cumulative goal. Data collection took place only in Years 1, 2, and 3 of LGP due to completion of the Project's technical assistance in the Eastern region of Guatemala.

\*\* 2011 was an election year in Guatemala. Data collection took place only in Year 2 of LGP.

\*\*\* According to LGP M&E Plan, there is no goal for Year 3, due to completion of LGP/FtF special activity.

# EXECUTIVE SUMMARY

This is the fourth Annual Monitoring and Evaluation (M&E) Report of the Local Governance Project (LGP) of the United States Agency for International Development (USAID)/Guatemala, prepared by Tetra Tech ARD. This report describes the level of achievement of the goals set for the fourth year in the Eastern region and the third year in the Western region. In both cases, the reported period is October 1, 2012 to September 30, 2013 and provides a status on the 19 indicators included in the PGL M&E Plan (10 indicators in the Eastern region and 9 indicators in the Western region). The difference between both regions (Year 3 and Year 4) is explained by the fact that the FtF special activity in the Western region started a year later than the Eastern region.

The implementation of the LGP during Year 4 supported USAID's Strategic Objective: *More Responsive, Transparent Governance*; Intermediate Result 2 (IR2): *Greater transparency and accountability of governments* through the Intermediate Sub-Results (Sub-IRs): Sub-IR 2.1 More transparent systems for management of public resources by local governments; Sub-IR 2.2 More effective advocacy of municipalities for local citizen priorities with national government; and Sub-IR 2.3 More inclusive and transparent political processes.

## **Highlights of the Context in Year 4**

A political crisis and a natural disaster marked the first quarter of Year 4, which had an adverse impact on project activities and the communities served by them.

The political crisis, known as “The Public Electricity Crisis”, was stemmed from a demonstration that blocked roads in the Western region of the country which prevented the mobilization of the team for several weeks and citizen protests at the cost of electricity. On October 4<sup>th</sup>, there was a confrontation between the Army and indigenous organizations, which resulted in eight people killed and several people injured.

A devastating 7.4 magnitude earthquake hit the Western region of the country on November 7th at 10:35 a.m. It was the strongest earthquake to hit the country in over 35 years. The effects of the earthquake reached all of Central America and left 44 people dead. The region of San Marcos was the most severely affected. There was material damage in 11 of the municipalities served by the Project, with the Municipality of San Pedro Sacatepéquez sustaining the most damage. Scheduled activities were suspended for a reasonable period of time to guarantee the safety of the technical team and allow the authorities of the affected municipalities to meet the needs of the affected population.

An issue that arose in the wake of the earthquake was that the central government did not consult local governments in determining solutions as part of the disaster response or in reconstruction activities. As for the political crisis, the central government reassigned responsibility of public street lighting from the municipal governments to the power distribution company, ENERGUATE. LGP worked with the National Association of Municipalities (ANAM) to determine a more effective solution. ANAM responded that transferring the responsibility of public lighting to a third party might lead to a more significant conflict because the municipalities use part of the revenue from public electricity to subsidize

the cost of delivering potable water to the communities. At the end of Year 4, stakeholders are still in negotiations to find a resolution. In coordination with the Project, ANAM is preparing a proposal for an approach to set public electricity rates to be approved by the Board of Directors and to be submitted to the President to secure the required political support.

The power distribution company provided the financial resources to ANAM to present the proposed proposal to the municipalities in the country. The plan proposes tiered payments tied to user consumption. The plan is in response to the demand of several parties of the National Congress to create a municipal tax to finance public electricity. It also responds to a complaint filed by the Prosecutor for Human Rights against 50 municipalities of charging excessive public electricity rates. ANAM, with the assistance of the Project, UNICEF and ENERGUATE, organized regional round tables to introduce the proposal and determine the agenda in the upcoming Assembly General and the Mayors' Conference.

The second quarter of 2013 was the last working period in the field for the LGP technical team in the Eastern region of the country. There were no significant external events affecting the Project during this quarter.

LGP organized a close-out meeting on March 20, 2013 in Estanzuela, Zacapa, and invited mayors and municipal officials. LGP presented the results of the second survey administered to water service users and the new Anticorruption Law. Participants were interested in both topics, especially the law that generated many questions.

The LGP team had the opportunity to talk to several mayors, Town Council members, and representatives of the Municipal Offices of Women. They all agreed that the LGP intervention benefited their municipalities. In their opinion, the technical assistance was positive, as this testimonial demonstrates:

*“My name is Jorge Lemus, Mayor of the Municipality of Olopa, Chiquimula.*

*The truth is that this project helped improve revenue and internal controls and provide information about what the local authority should do, with their relevant roles and duties. The Project was a success for us.*

*When I started my term in the municipality, revenue was Q75,000 every year whereas we had one million Quetzales in own-source revenue last year because of the training and the controls provided. We also learned how to sell the idea to people that taxes should be paid to the municipality, without having an argument with anyone.”*

The highlight of the third quarter was the technical and financial assistance that the Project provided to ANAM to execute a national training course for municipal authorities, officials and employees.

The ANAM Board of Directors stated previously in a meeting that the Anticorruption Law and increasing municipal own-source revenue were priority issues that required assistance from LGP. To ensure maximum participation from municipal authorities and officials, a national tour was organized to provide training in the most remote municipalities.

As a result of the training, ANAM positioned itself as the first national institution to provide training on the Anticorruption Law. The training even attracted the participation of judicial employees, governors, and Executive Branch employees.

On July 5, 2013, USAID requested Tetra Tech to present a proposal to modify LGP; extend the Project to an additional year to September 30, 2014; bind \$ ; extend the activities to 12 selected municipalities in San Marcos and Quetzaltenango; and expand the activities to eight municipalities in the Department of Quiché. Tetra Tech submitted a proposal to USAID on July 29, 2013. USAID approved the modification of LGP on September 19, 2013.

### **Modifications to the M&E Plan of the Project**

In this period, Amendment No. 3 was made to the LGP Monitoring and Evaluation Plan to include two new training indicators for activities: 1) agricultural productive sector or food security and 2) child health and nutrition in 12 municipalities in the Western region. This amendment also updated the definition of FtF Indicator #5, corresponding to water user associations assisted by the USG. This amendment was approved by USAID on June 4, 2013.

### **Achievement of Goals**

During Year 4 of LGP, progress was monitored utilizing 19 indicators from the LGP M&E Plan, per Amendment No. 3. In the Eastern region, Indicator #5 was monitored from Years 1 to 3 while Indicator #10 was only monitored during Year 2 which was an election year. In the Western region, no goal has been set in this period for Indicator #2 because activities were completed. The performance of the indicators is summarized as follows:

### **Budget Execution Public Reports**

In this period, the 25 municipalities assisted by the Project in the Eastern (13 municipalities) and Western (12 municipalities) regions uploaded their budget execution reports for the fiscal year 2012 to the Local Government Portal, established by the Constitution of the Republic of Guatemala. (Indicator #1, Eastern and Western regions)

### **Municipalities that receive assistance to increase own-source revenue**

The 13 municipalities in the Eastern region actively participated in the technical assistance activities organized by the Project. This was the last year of implementation of LGP activities in the Eastern region of the country. For this reason, the assistance provided by the IUSI Project concluded in March 2013 in the 4 targeted municipalities: Estanzuela (Zacapa), San Cristóbal Acasaguastlán (El Progreso) and Concepción Las Minas and San Jacinto (Chiquimula). The outcomes indicate that there was an improvement in the revenue of the IUSI due to water and sewage payments and municipality taxes. (Indicator #2, Eastern region.)

In the Western region/FtF, the IUSI Project approach was replicated in San Antonio Sacatepéquez, San Pedro Sacatepéquez, San Rafael Pie de la Cuesta, and San Pablo, in San Marcos. Positive results were produced, and there was a favorable response from the municipalities. According to the data available as on June 2013, these four municipalities improved own-source revenues due to water fees and the IUSI

and municipal taxes in comparison to total revenue in 2012.<sup>1</sup> The trend is uncertain for the IUSI in San Antonio Sacatepéquez because they still have not received the authorization of the DICABI to administer the tax. Likewise, in San Pedro Sacatepéquez, the IUSI revenue data is still being processed due to a high number of records on file (10,850 users).

### **Fiscal independence**

The fiscal independence of the 13 municipalities in the Eastern region during the fiscal year 2012 was 14.16%, exceeding the established goal of 12.36%. (Indicator #3, Eastern region.) According to the M&E Plan, this indicator is not reported in the Western region in this period (Indicator 2, Western region).

### **User satisfaction of the drinking water service in the urban area**

According to the goal set for Year 4, it was expected that the levels of user satisfaction might increase 5 percentage points over the baseline (63.2%) to reach 68.2%.

In line with the M&E Plan in Year 4, the LGP executed a consultancy to administer a second user satisfaction survey of the drinking water service to a sample size of 3,426 users in the urban area, with a statistical reliability of 95%, in the 13 municipalities in the Eastern region. In regards to the four variables that were evaluated in Year 4, the results of the consultancy indicated a user perception index of the drinking water service of 62.7% in the 13 municipalities.

Even if the goal of the unified global indicator was not met, the technical and financial assistance provided by LGP to the 13 target municipalities in the Eastern region to strengthen the *service coverage* and *drinking water quality* variables helped to increase them, compared to results of the first survey in 2011 (Year 2 of the LGP). In Year 4, the *coverage* variable was 68.1%, compared to 65.1%, according to first survey data. Similarly, in Year 4, the *quality* variable was 68.5%, compared to 60.6% in Year 2.

The impact of the Project was limited in spite of the technical assistance provided. The decisions made about specific actions to increase user satisfaction of the drinking water service depended directly on municipal authorities, the level of commitment of municipal agencies, the availability of human and financial resources, the rotation of personnel and the complexity of the situation in each *municipality*. These factors had an impact on the fulfillment of the goal set for this year. The individual results were shared with each municipality. With this feedback, authorities were able to make decisions about the policies required to improve the reported services. (Indicator #4, Eastern region.)

### **Designed or updated municipal development plans**

The goal set for this year in the Western region for the design, modification or updating of two strategic development plans was exceeded. The Project strengthened three local government plans in this period: San Rafael Pie de la Cuesta, San Cristóbal Cucho, and San Lorenzo. (Indicator # 3, Western region.)

In the Eastern region, the M&E Plan does not set a goal in Year 4 for this indicator because assistance was completed in March 2013. It is important to mention, however, that the cumulative goal to design, modify or update 10 PDMs during the three years of life of the Project was reached. The LGP provided

---

<sup>1</sup> See Graph 3, indicator 2, Own-source revenue included in the IUSI Project, Accumulated collection as of March 2013. Page 35

technical and financial assistance to strengthen and publish the PDMs of: Estanzuela (Zacapa); Esquipulas, Concepción Las Minas, Camotán, Olopa, San Jacinto, San José La Arada, and San Juan Ermita (Chiquimula); and Sansare and San Cristóbal Acasaguastlán (El Progreso). (Indicator #5, Eastern region)

### **Public-Private Alliances**

One of the main approaches of the intervention strategy has been inter-institutional coordination through alliances and coordinated efforts, as the basis to achieve comprehensive results in each component of the Project. This is reflected in the accomplishment of the goal for Year 3 to support the creation of eight public-private alliances: 2 public-private alliances, 2 private alliances and 4 coordinated actions. (Indicator #4, Western region.)

### **Associations of water users that receive assistance from the United States**

The cumulative goal of 32 chlorination systems in two years was exceeded as a total of 37 water chlorination systems were installed: 32 systems as a result of a small donation to CADISNA and 5 chlorination systems from the CADISNA/AVINA/LGP alliance. A total of 25,807 inhabitants were benefited, corresponding to 6,795 houses in 33 populated centers. (Indicator #5, Western region.)

### **People who were trained as a result of LGP technical or financial assistance**

The LGP M&E Plan did not involve any training activities during Year 4 in the Eastern region because activities were completed. However, the Project ascertained the need to train municipal and official authorities in Petén, Zacapa, Izabal, Chiquimula, Guatemala and El Progreso on the Anticorruption Law. As a result, the Project trained 696 people, of which 53% were women, in this period. (Indicator #6, Eastern region)

In the Western region, the goal in Year 4 was to train 760 people (304 women/456 men) on topics such as fiscal management and administration to strengthen local governments and/or decentralization. In this period, 3,818 individuals were trained, of which 64% were women.

The goal was significantly exceeded because of the intense training provided to PROLOSAN and OMM (2,094 people, 84% women). 75% of the participants were trained by the *Instituto Tulán* in 9 municipalities. Additionally, within the framework of ANAM assistance, 1,147 municipal and official authorities (18% women) were trained. The topics included increasing own-source revenue, budget execution, and the Anticorruption Law. (Indicator #6, Western region)

### **People trained in child health and nutrition**

This indicator was added as a result of Amendment No. 3 to the M&E Plan, approved on June 4, 2013, to monitor child health and nutrition training. The goal in Year 3 was to train 460 people (184 women/276 men) in these topics. The Project exceeded this goal because 692 people (69% women) were trained. (Indicator #8, Western region)

### **Agricultural sector or food security**

This indicator was also an addition from Amendment No. 3 of the M&E Plan to monitor agricultural or food security training. The goal in Year 3 was to train 300 people (120 women/180 men). In this same period, LGP trained 474 people (57% women). (Indicator #9, Western region)

All the courses organized for the above training indicators were evaluated by means of pre- and post-surveys that measure the effectiveness of the courses, the applicability of the information, and the level of satisfaction of the participants. The results from the evaluations are part of this report.

### **Initiatives promoted by ANAM or the *Instancia Municipalista***

A goal was set in Year 4 to help the ANAM introduce 9 legal reform initiatives. During this period, the Project provided technical assistance to the Association to prepare 15 legal reform initiatives. The Project supported ANAM in influencing the Ministry of Finance in issuing Resolution 264-2013 for Town Council members that they are to be reimbursed for their expenses.

The Project analyzed the Anticorruption Law and the “How to Interpret the Anticorruption Law” guidebook for municipalities guided ANAM in its training of 334 municipalities. Consequently, it has helped position ANAM as a promoter of transparency and capacity builder of municipalities on applicable legislation. (Indicator #7, Eastern region)

### **Services rendered by the ANAM to its members**

ANAM’s goal in Year 4 to provide 250 services to its members was exceeded. As a Program subcontractor, ANAM rendered 732 services to its members, including 269 legal services, 297 communications services, and 166 financial services. The subcontract with ANAM was finalized in April 2013, in which four consultants were financed. ANAM became aware of the competitive advantage its services presented to its members. As a result, ANAM members decided to pay directly for these professional services, as of May 2013. ANAM will hold an extraordinary meeting to guarantee the continuity of these services to strengthen local governments. (Indicator #8, Eastern region)

### **Local mechanisms supported by the LGP**

In Year 4, the LGP assisted 180 local citizen participation mechanisms, exceeding the initial goal of 40. The LGP provided technical and financial assistance to strengthen citizen participation mechanisms at the departmental, municipal, and community level. It involved 78% in food security and nutrition mechanisms in the Western region and the remaining 22% in the strengthening of citizen participation in the Eastern region. (Indicators #9, Eastern region and #7, Western region)

In conclusion, in its fourth year of implementation, the **LGP exceeded 12 out of the 16 planned goals for the period and produced results in 3 indicators. The goal was not reached, however, for one indicator.**

**A summary of results is shown in the table below:**

<b>FOURTH LGP M&amp;E REPORT</b>				
<b>Summary of Accomplishment of Goals in Year 4</b>				
<b>#</b>	<b>Summary of the Indicator</b>	<b>Goal</b>	<b>Result</b>	<b>Level of Accomplishment</b>
<b>EASTERN REGION (YEAR 4)</b>				
1	Budget Execution Public Reports	13/13	13/13	Reached
2	Municipalities that receive assistance to increase their own-source revenue	13/13	13/13	Reached
3	Fiscal independence	12.36%	14.16%	Exceeded
4	User satisfaction of the drinking water service in the urban area	68.2%	62.7%	Not reached
5	Designed or updated Municipal Development Plans	10	10	Reached *
6	People trained with the technical or financial assistance of the LGP	0	696 (370 w/326m)	Exceeded
7	Initiatives promoted by ANAM or the <i>Instancia Municipalista</i>	9	15	Exceeded
8	Services rendered by the ANAM to its members	250	732	Exceeded
9	Local mechanisms supported by the LGP	25	26	Exceeded
10	People reached out during the electoral period	40,000 (20,000 w/20,000 m)	45,494 (23,639 w/21,855 m)	Exceeded **
<b>WESTERN REGION (FtF) (Year 3)</b>				
1	Budget Execution Public Reports	8/12	12/12	Exceeded
2	Fiscal independence	N/A	N/A	***
3	Designed or updated Municipal Development Plans	2	3	Exceeded
4	Public-Private alliances	8	8	Reached
5	Associations of water users that receive assistance from the Government of the United States	An increase of 16 compared with the previous year	29	Exceeded
6	People trained with the technical or financial assistance of the LGP	760 (304 w/456 m)	3,818 (2,433 w/1,385 m)	Exceeded
7	Local mechanisms supported by the LGP	15	92	Exceeded
8	People trained in child health and nutrition	460 (184 w/276 m)	692 (481 w/211 m)	Exceeded
9	People trained in the agricultural productive sector or food security	300 (120 w/180 m)	474 (270 w/204 m)	Exceeded

Source: LGP records

\* M&E Plan cumulative goal. Data collection took place only during Years 1, 2, and 3 of LGP due to completion of the Project's technical assistance in the Eastern region of Guatemala.

\*\* 2011 was an election year in Guatemala. Data collection took place only during Year 2 of LGP.

\*\*\* According to LGP M&E Plan, there is no goal for Year 3, due to completion of LGP/FtF special activity.

# 1.0 BACKGROUND, STRATEGIC OBJECTIVE, INTERMEDIATE RESULTS AND INDICATORS

## 1.1 LGP BACKGROUND

The USAID-funded Guatemala Local Governance Project (LGP) is a four-year effort awarded to ARD, Inc. with an initial budget of USD \$ . As described under Task Order No. EPP-I-04-04-00035-00, the life of the Project was originally scheduled from October 1, 2009 to September 30, 2011. Amendment #3 dated March 29, 2011 extended the Project through September 30, 2013 to accommodate the Feed the Future (FtF) Special Activity. The extension included an increase to the Project budget for a total of US\$ . Modification #8 dated September 19, 2013 extended the Project for an additional year through September 30, 2014. This amendment expanded activities to eight municipalities in the Department of Quiché, and also increased the Project budget to a total of US\$ .

The main objective of the Project is to improve accountability and confidence in democratic governance in Guatemala by increasing the capacity of local governments to provide services, promote economic development, and increase participation for more inclusive and transparent decision making at the local level. LGP also seeks to decentralize authority, to place more decision making in the hands of the public, and work with municipal associations, in order to voice municipal needs at the national level.

LGP continued working at the sub-national level with selected Municipalities, *mancomunidades*, and municipal development councils (COMUDEs) to strengthen their institutional capacity for good public management. LGP also coordinated some activities at the departmental level through departmental development councils (CODEDEs), to leverage additional resources and promote participatory planning.

## 1.2 LGP STRATEGIC OBJECTIVE AND INTERMEDIATE RESULTS

The Project contributes to the USAID Strategic Objective: *More Responsive, Transparent Governance*; and Intermediate Result 2 (IR2): *Greater transparency and accountability of governments* through the following sub-intermediate results (Sub-IRs): Sub-IR 2.1 More transparent systems for management of public resources by local governments; Sub-IR 2.2 More effective advocacy of municipalities for local citizen priorities with national government; and Sub IR 2.3 More opportunities for citizen participation in and oversight of local government decision-making.

According to the M&E Plan, LGP implemented and monitored three Intermediate Results (Sub-IR 2.1, 2.2 and 2.3) plus 11 Lower Level Results (LLR):

*Under Sub-IR 2.1: More transparent systems for management of public resources by local governments.* LGP strengthens the capacity of selected local governments and *mancomunidades* through technical assistance, training, and peer-to-peer exchanges to: improve the financial management capacity of municipalities; increase the level of own-source revenue (OSR) in selected Municipalities; improve the credit worthiness and capacity of selected Municipalities; improve the capacity of target municipalities to deliver basic services, and improve the environment for economic development by working through *mancomunidades* and municipalities.

LGP also supports implementation of the USG Feed the Future (FtF) activities in Guatemala. The purpose is to strengthen local governments' (LG) economic development strategies to reduce poverty and chronic malnutrition, improve the capacity of LGs to deliver water and sanitation, and support community-based advocacy, to ensure that local authorities address food security and rural development. LGP provides support to achieve these objectives by building capacity in selected Municipalities in the western highlands, replicating and expanding the knowledge, methodologies, and capacity of the *corredor seco* located municipalities.

*Under Sub-IR 2.2: More effective advocacy of municipalities for local citizen priorities with national government.* LGP works with the National Association of Municipalities (ANAM) with the following goals: to provide training and technical assistance to support the Municipal Association's capability to effectively represent their constituency; strengthen its financial capability to carry out its mission; and improve ANAM's capability to provide improved services to its members.

*Under Sub-IR 2.3: More inclusive and transparent political processes.* LGP designs and provides technical assistance to increase citizen participation in and oversight of local government decision-making to: strengthen mechanisms for citizen participation; improve public communication mechanisms at the local level regarding municipal processes; and increase participation of women and indigenous people in selected municipalities.

LGP also works with citizens, civil society organizations (CSOs) and non-governmental organizations (NGOs) to increase their participation in public decision-making and oversight. LGP seeks the participation of the private sector to promote public-private partnerships for public service management and local economic development. At the national level, the Project works primarily with the National Association of Municipalities (ANAM) and other municipal associations to replicate LGP's best practices and models.

### **1.3 AMENDMENTS TO THE M&E PLAN**

Throughout Year 4 of the Project, progress was monitored using the 19 key indicators described in the M&E Plan, as per amendment No.3, approved on June 4, 2013. This amendment incorporates two new indicators to monitor and evaluate training activities on: 1) agricultural sector productivity or food security, and 2) child health and nutrition in the 12 municipalities in the western highlands region. Additionally, the description of Indicator No. 5 of FtF was modified (Number of food security private enterprises, producers organizations, water users associations, women's groups, trade and business associations, and community-based organizations receiving USG assistance) so that it describes better the assistance given by the LGP and is compatible with the FtF Indicator Handbook.

This amendment also updated the target for Indicator No.6 in the Western region (Number of individuals who received USG assisted training, including management skills and fiscal management to strengthen local government and/or decentralization). (See Table 1)

## 1.4 LGP INDICATORS

As per amendment No.3 to the M&E Plan, throughout Year 4, a total of 19 indicators were monitored and evaluated as follows:

**TABLE 1  
SELECTED INDICATORS BY SUB-IR**

<b>SUB-INTERMEDIATE RESULT</b>	<b>INDICATORS</b>
<b>Eastern region of Guatemala</b>	
<p><b>Sub-IR 2.1: More transparent systems for management of public resources by local governments</b></p>	<ol style="list-style-type: none"> <li>1. Number of municipalities with budgets and expenditure reports available to public within three months of completion (of the fiscal year).</li> <li>2. <b>USG FACTS 2.1:</b> Number of Sub-National Governments receiving USG assistance to increase their annual own-source revenue.</li> <li>3. Fiscal Independence of “targeted” municipalities (IR level indicator) [<i>USAID Guatemala PMP Custom Indicator</i>].</li> <li>4. Level of citizen satisfaction with public service delivery at the time of payment.</li> <li>5. Number of strategic or development plans strengthened through participatory means.</li> </ol>
<p><b>Sub-IR 2.2: More effective advocacy of Municipalities for local citizen priorities with national government</b></p>	<ol style="list-style-type: none"> <li>6. Number of individuals who received USG assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization.</li> <li>7. Number of reform initiatives supported by ANAM that incorporate demands to strengthen local government and decentralization.</li> <li>8. Number of services provided by ANAM to its members.</li> <li>9. Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government.</li> </ol>
<p><b>Sub-IR 2.3: More opportunities for citizen participation in and oversight of local government decision-making</b></p>	<ol style="list-style-type: none"> <li>10. USG FACTS 2.5: People reached by USG-assisted voter education.</li> </ol>

## Western Region of Guatemala

**Sub-IR 2.1: More transparent systems for management of public resources by local governments**

1. Number of municipalities with budget and expenditure reports available to public within three months of completion (of the fiscal year), disaggregated by municipality, expenditure and income reports.
2. Fiscal Independence of “targeted” municipalities (IR level indicator, disaggregated by municipality).
3. Number of strategic or development plans strengthened through participatory means (disaggregated by municipality).
4. Number of public-private partnerships formed as a result of FtF assistance.
5. Number of food security private enterprises (for profit), producers organizations, water users associations, women’s groups, trade and business associations, and community-based organizations (CBOs) receiving USG assistance.
6. Number of individuals who received USG assisted training, including management skills and fiscal management to strengthen local government and/or decentralization.
7. Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government.
8. Number of people trained in child health and nutrition through USG-supported programs.
9. Number of individuals who have received USG supported short-term agricultural sector productivity or food security training.

### 1.5 AMENDMENTS TO THE LOCAL GOVERNANCE PROJECT

On July 5, 2013, USAID asked Tetra Tech to present a proposal for the modification of the LGP for the purpose of: 1) extending the implementation of the Project one more year, from September 30, 2013 to September 30, 2014; 2) binding \$ ; and 3) continuing activities in the 12 targeted municipalities of San Marcos and Quetzaltenango as well as expanding activities in the eight municipalities of the Department of Quiché.

The proposal was presented to USAID for its approval on July 29, 2013. USAID approved the modification of the LGP on September 19, 2013 (See Annex 1)

The activities included in the expansion in the municipalities of San Marcos, Quetzaltenango. and Quiché would be started on October 1, 2013.

The 20 updated target municipalities for the Western Highlands that would be benefited by the Project expansion are summarized in the following table.

**TABLE 2  
UPDATED TARGET MUNICIPALITIES  
WESTERN HIGHLANDS**

<b>NUMBER</b>	<b>DEPARTMENT</b>	<b>MUNICIPALITY</b>
1	San Marcos	San Pedro Sacatepéquez
2	San Marcos	San Antonio Sacatepéquez
3	San Marcos	San Rafael Pie de la Cuesta
4	San Marcos	San Cristóbal Cucho
5	San Marcos	Río Blanco
6	San Marcos	San Lorenzo
7	San Marcos	San Pablo
8	San Marcos	San José El Rodeo
9	Quetzaltenango	Palestina de los Altos
10	Quetzaltenango	San Juan Ostuncalco
11	Quetzaltenango	San Carlos Sija
12	Quetzaltenango	Sibilia
13	Quiché	Cunen*
14	Quiché	Santa María Nebaj*
15	Quiché	Sacapulas*
16	Quiché	Uspantán*
17	Quiché	Chajul*
18	Quiché	San Juan Cotzal*
19	Quiché	Zacualpa *
20	Quiché	Chichicastenango*

\*New municipalities.

Source: LGP records

# 2.0 METHODOLOGY AND TOOLS

LGP developed data collection methods and tools to measure the following: 1) Work Plans (LGP and FtF) which identify specific needs for each municipality and planning activities in coordination with municipal officers; 2) citizen perceptions regarding municipal service delivery through the application of citizen satisfaction surveys (FtF); and 3) effectiveness of the training provided by the Project through the pre- and post- training testing, and post-training evaluation tools.

## 2.1 WORK PLANS

On September 4, 2012, USAID approved LGP Year 4 and Special Activity FtF Year 3 Work Plans for the October 1, 2012 to September 30, 2013 period.

## 2.2 CITIZEN SATISFACTION LEVEL SURVEY

In LGP's Year 2 (2011), the Project hired a consultancy to conduct the first satisfaction survey among potable water users to establish a baseline for Indicator 4: "Level of citizen's satisfaction with water service delivery". The results established the level of user satisfaction in the 13 municipalities at 63.2%. This number became the baseline against which progress was assessed in the M&E Plan.

As stipulated in the Project M&E Plan, in Year 4, LGP hired a consultancy to conduct a second satisfaction survey among potable water users. The Project signed a contract with Sepmarketing from February 4 through March 17, 2013. The consultancy made a survey to a sample of 3,426 users in the urban area, with a statistical reliability of 95%, in the 13 municipalities of the eastern region of the country. For the sake of consistency with the first survey made to establish a baseline, Sepmarketing utilized the same instrument, the ordinal scale and the methodology used in 2011 for the second survey.

The study reported user perceptions of the drinking water service in four variables and thirteen indicators, as follows:

1. Service coverage
  - ✓ Continuous flow
  - ✓ Frequency
2. Water Quality
  - ✓ Pressure
  - ✓ Color
  - ✓ Odor
  - ✓ Taste
3. User Services

- ✓ Assistance when paying bills
  - ✓ Prompt response to problems or complaints
  - ✓ Providing information in cases of service interruption
  - ✓ General comments regarding service
4. Price of water fees (measurement unit =*canon* in Spanish)
- ✓ Price relative to service
  - ✓ Reason for delayed payment
  - ✓ Type of billing

The survey methodology was based on the following:

- ✓ Forms for data collection
- ✓ Data validation
- ✓ Data extraction
- ✓ Information analysis
- ✓ Individual reports for each municipality, and
- ✓ A consolidated report

The Project expected in Year 4 that user satisfaction levels would have increased by five percentage points over the baseline, equaling 68.2%. In terms of the four variables that were evaluated in Year 4, the results from the consultancy established the level of user satisfaction in the 13 municipalities at 62.7%.

Even if the goal of the unified global indicator was not met, the technical and financial assistance provided by the LGP to the 13 target municipalities in the Eastern region of the country to strengthen the *service coverage* and *drinking water quality* variables helped to increase them, compared with the results of the first survey made in 2011 (Year 2 of the LGP). In Year 4, the *coverage* variable was 68.1%, compared with 65.1%, according to the data of the first survey. Likewise, in Year 4, the *quality* variable was 68.5%, compared with 60.6% in Year 2 (See Section 3.1.4)

## 2.3 PRE- AND POST-TRAINING TESTING

During Year 4, LGP continued conducting two types of training events:

1. Long-term training (2 days or 16 intermittent hours), and
2. Short-term training of at least two hours.

During Year 4, LGP followed the procedures described below in order to monitor, assess and evaluate effectiveness of Human Development Capacity (HDC) interventions for long-term training events:

1. **Pre-training testing:** A pre-training test will be administered before the training activity. The participant should review the objectives and indicate how she/he intends to use the new knowledge on the job and will determine what she/he already knows about the subject.

2. **Post-training testing:** A post-training test will be administered immediately upon completion of the training. It will determine what knowledge the participant (s) acquired. The post- test may be oral, an individual written exercise, or any other format appropriate for the participant(s).
3. **Post-training evaluation:** A three-month post-training evaluation form will be required to be completed by a percentage of the participants in the training activity. This would include, for example, recommendations on how to better tailor future training activities to suit specific participant needs, as well as long-term feedback from LGP supervisors as to what impact the training has had in the work place. This survey or post-training evaluation might vary from a simple checklist to a face-to-face or virtual interview.

For short-term training events, tests 1 and 2, described above (pre- and post-training tests) shall be applied.

# 3.0 M&E REPORTING BY SUB-IR AND INDICATOR

## EASTERN REGION

### **3.1. SUB-IR 2.1: MORE TRANSPARENT SYSTEMS FOR MANAGEMENT OF PUBLIC RESOURCES BY LOCAL GOVERNMENTS**

#### **3.1.1. INDICATOR 1: NUMBER OF MUNICIPALITIES WITH BUDGET AND EXPENDITURE REPORTS AVAILABLE TO PUBLIC WITHIN THREE MONTHS OF COMPLETION**

To comply with M&E Plan Amendment No. 3 (approved by USAID on June 4, 2013), the result for Year 3 requires that 13 target municipalities should have posted their budget implementation reports on the Ministry of Finance website: <http://portalgl.minfin.gob.gt>.

In order for the indicator to be considered complete, the web postings should include both the revenue and expenditures in the budget, regardless of the final outcome (surplus or deficit). The National Constitution of Guatemala stipulates that budget implementation reports be available to the public no later than March 31 of the year following the end of the Guatemalan fiscal year (January through December). Based on the latter, the M&E Plan establishes the date for compliance with this indicator as of April 1, of each year in accordance with the data posted on the Local Government Portal.

As summarized in the following table, 13 of the 13 LGP target municipalities had complied with posting their budget implementation data for FY 2013, as required. The target for this indicator was met. It is important to mention that this was the last year of implementation of the LGP activities in the eastern region. For this, the M&E Plan establishes a goal for the Life of Project (LOP) of 13 municipalities with posting their budget implementation data. The goal for the life of Project was also reached.

The targets for Year 3 and LOP were met.

**TABLE 3  
INDICATOR 1  
LGP YEAR 3**

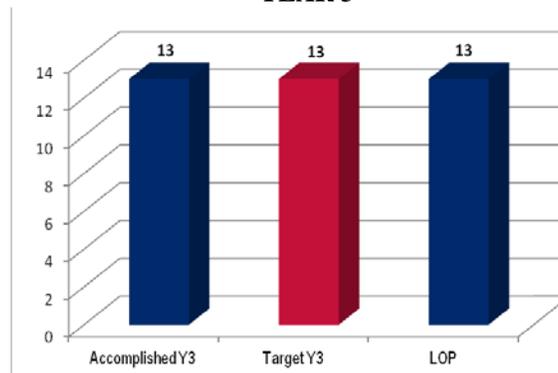
Municipality	Expenditures	Income	Deficit / Superavit	Date posted	Comments
ESQUIPULAS, CHIQUIMULA	31.989.690,43	36.446.556,31	4.456.866	April 1, 2013	Met
JALAPA, JALAPA	45.665.776,38	51.180.651,02	5.514.875	April 1, 2013	Met
MONJAS, JALAPA	19.060.063,70	18.980.910,97	(79.153)	April 1, 2013	Met
SANSARE, EL PROGRESO	19.626.073,17	19.312.371,98	(313.701)	April 1, 2013	Met
SAN CRISTOBAL ACASAGUASTLAN, EL PROGRESO	14.336.025,68	14.884.912,05	548.886	April 1, 2013	Met
CONCEPCION LAS MINAS, CHIQUIMULA	15.885.178,44	16.789.419,56	904.241	April 1, 2013	Met
JOCOTAN, CHIQUIMULA	23.854.127,30	24.620.033,68	765.906	April 1, 2013	Met
CAMOTAN, CHIQUIMULA	14.582.500,91	18.832.880,30	4.250.379	April 1, 2013	Met
OLOPA, CHIQUIMULA	14.803.615,44	14.976.903,03	173.288	April 1, 2013	Met
SAN JACINTO, CHIQUIMULA	12.990.354,19	20.600.532,59	7.610.178	April 1, 2013	Met
SAN JUAN LA ERMITA, CHIQUIMULA	10.857.768,89	13.465.202,02	2.607.433	April 1, 2013	Met
ESTANZUELA, ZACAPA	15.964.641,69	17.023.686,23	1.059.045	April 1, 2013	Met
SAN JOSÉ LA ARADA, CHIQUIMULA	11.859.370,50	13.913.085,82	2.053.715	April 1, 2013	Met

\*2012 data

Source: <http://portalgl.minfin.gob.gt>.

The data used to measure performance under this indicator and the Year 3 target information was available on March 31, 2013. The following Graph shows the compliance of the goal for Year 3 of the LGP as well as for the life of the Project of thirteen municipalities, regarding budget execution reports posted in the Ministry of Finance website.

**GRAPH 1  
LGP INDICATOR 1  
YEAR 3**



Source: LGP records

LGP provided technical assistance to DAFIMs to fulfill planning, budgeting, reporting, and accountability duties: a) trained target municipalities' DAFIM staff on the proper use of the local government portal, and b) assisted in preparing Annual Operation Plans and budgets in LGP target municipalities

LGP also provided technical assistance to strengthen the prevention role of municipal internal audit units and help provide tools to improve transparency in municipal financial administration: a) promoted accountability reports and training workshops to ensure compliance with the Access to Public Information Act (LAIP), b) trained municipalities on how to reduce the number of audit findings, how to strengthen the prevention role of municipal internal auditors, and how to apply the anticorruption law; and c) prepared a transparency guide (this guide analyzed and explained the scope of the recently passed Law Against Corruption and its implications for municipalities).

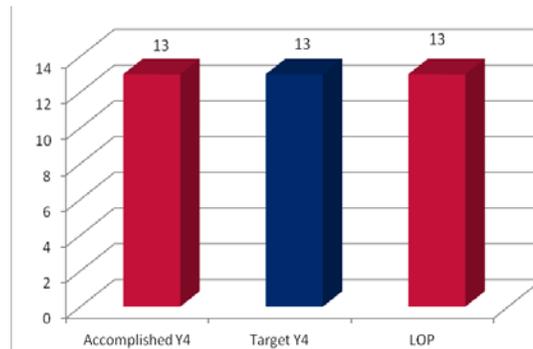
### **3.1.2. INDICATOR 2: USG FACTS 2.1: NUMBER OF SUB-NATIONAL GOVERNMENTS RECEIVING USG ASSISTANCE TO INCREASE THEIR ANNUAL OWN-SOURCE REVENUE**

The Year 4 target for this indicator is set at the Project providing technical and financial assistance to 13 municipalities to increase their own-source revenue. As the Fiscal Year drew to a close, the M&E plan indicated that 13 of the 13 LGP target municipalities were actively participating in technical assistance activities to improve their own source revenue.

This was the last year of implementation of the LGP activities in the eastern region of the country. The M&E Plan establishes that during the Life of Project (LOP), there would be 13 municipalities that would receive technical and financial assistance at the end of the Project. This goal was also met, as shown in the graph below.

**LGP has met this target.**

**GRAPH 2  
LGP INDICATOR 2  
YEAR 4**



**Source: LGP records**

The LGP implemented the project: “Use of Geographic Information Systems for the Improvement of Municipal Own-Source Revenue,” called the “IUSI Project,” in 4 of the 13 target municipalities, Estanzuela (Zacapa), San Cristóbal Acasaguastlán (El Progreso), and Concepción Las Minas and San Jacinto (Chiquimula), to help them increase own-source revenues. The four municipalities were selected based on the political will shown by the municipal authorities, the previously installed capacity for the use of the required technology and the quality of “small” municipalities. These factors would help obtain quick results.

During the preparatory phase of the project, the LGP financed the purchase of computer equipment, GIS, Microsoft Office and antivirus software, GPS navigators, multifunctional printers, and other components. Everything was donated to strengthen municipal offices.

The IUSI project started in January 2011 and ended in March 2013. The technical assistance focused on: (a) updating the database and eliminating inconsistent data; (b) creating a single NIM (municipal identification number) for users of more than one service; (c) developing and implementing collection policies; (d) strengthening municipal affairs courts’ capabilities; (e) promoting approval of service regulations together with LGP legal advisors (for construction, speakers, the municipal slaughterhouse, solid waste collection, registration and recognition of women development organizations, placement of billboards in urban and suburban areas, the municipal stadium, personnel, transportation and municipal solvency); (f) promoting the creation of a “municipal clearance;” and (g) implementing a GIS that provides various information overlays.

The following table shows the progress made in each municipality concerning the Features (points, lines, polygons) incorporated into the SIG in relation to the total users registered in the SIAF, as well as its progress at the end of March 2013, for the main information layers implemented in each municipality.

**TABLE 4**  
**INDICATOR 2**  
**Own-source revenue included in the IUSI Project**

Implemented Information Layer	Area	Concepción Las Minas	Estanzuela	San Cristóbal Acasaguastlán	San Jacinto
Water	Urban	415 out of 687 = 60%	1,891 out of 2,324 = 81%	2,145 out of 2,380 = 90%	488 out of 488 <sup>3</sup> = 100%
	Rural	a*	a*	b*	b*
IUSI	Urban	240 out of 2,168 <sup>3</sup> = 11%	812 out of 1,745 <sup>3</sup> = 47%	1,142 out of 1,461 <sup>3</sup> = 78%	330 out of 342 <sup>3</sup> = 96%
	Rural	b*	b*	b*	b*
Municipal taxes	Urban	96 out of 447 <sup>3</sup> = 21%	1,109 out of 1,229 <sup>3</sup> = 90%	176 out of 176 <sup>3</sup> = 100%	347 out of 409 <sup>3</sup> = 85%
	Rural	b*	b*	b*	b*
Drainage	Urban	0*	1,824 = 79% <sup>1</sup>	651 = 93% <sup>1</sup>	174=99% <sup>1</sup>
	Rural	a*	a*	a*	a*
Tributaries	Urban	100%	100%	100%	100%
	Rural	a*	a*	0*	0*
Piping	Urban	100% (water)	100% (water)	100% (water)	100% (water)
	Rural	a*	a*	0*	0*
Roads	Urban	100%	100%	100%	100%
	Rural	100%	100%	100%	100%
Lands	Urban and rural	100% <sup>2</sup>	100% <sup>2</sup>	100% <sup>2</sup>	90% <sup>4</sup>
		1,561 <sup>3</sup>	2,722 <sup>3</sup>	2,115 <sup>3</sup>	5,839 <sup>3,4</sup>
Sewage	Urban and rural	0*	75%	0*	0*
		a*	243	a*	a*
PipingD	Urban	0*	381=100% <sup>1</sup>	181=90% <sup>1</sup>	0*
	Rural	a*	a*	a*	a*

**Source:** LGP based on Local Governance Portal of the Ministry of Finance, 2013

**References:**

0\*= About to start

a\*= No coverage or no recorded or registered services for this area

b\*= The SIAF does not indicate any urban or rural area classification

<sup>1</sup>= Estimated progress made. Services individually inquired in the SIAF or in the field because the system does not have a module that generates such report

<sup>2</sup>= Blocks and lands in the municipal main area and the main populated centers

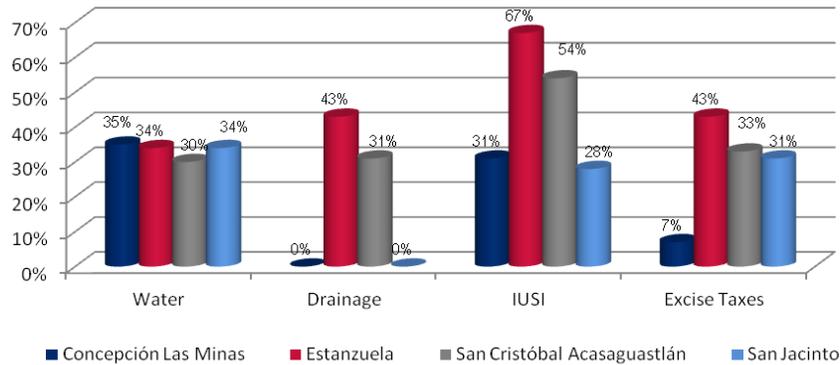
<sup>3</sup>= Digitalized Features corresponding to the urban and rural area

<sup>4</sup>= Information from the Property Registry (RIC, *in Spanish*).

The configuration of the SIG layers containing the location of the services helped link these points with the records of the SIAF cleansed tax lists in order to visualize better the covering and distribution of the services, establish their ownership and sectorize the areas with different ranges of past-due accounts.

The following graph shows the progress of the revenue reported at the end of each year and the accumulated collection of water and drainage services, the IUSI and the municipal taxes at the end of March 2013, compared with the total revenue reported the previous year, in each municipality served by the IUSI project.

**GRAPH 3  
INDICATOR 2  
Own-source revenue included in the IUSI Project  
Accumulated collection as of March 2013  
(% of increase with respect to December 2012)**



**SOURCE: LGP based on the Local Government Portal of the Ministry of Finance**

The results show an improvement of the IUSI revenue as well as the revenue of the payment of water fees, drainage and the main municipal taxes (businesses open to the public). In promoting the payment of the main services, some additional benefits were obtained, for example, payments made for excessive water consumption, the drainage service (related to the fees paid), fines for IUSI past-due payments and maintenance and landscaping fee (*boleto de ornato*).

According to data available as of March 2013, during the first quarter of the year, all four municipalities already show increased percentages that, if the trend were to continue, the reported collection for 2012 would be surpassed. A positive trend can also be observed in water collection. Results for drainage in Concepción Las Minas and San Jacinto, as well as excise taxes in Concepción Las Minas are inconclusive.

Positive IUSI results in the Eastern region of the country motivated LGP to replicate the experience in the Western region, where FtF operates. San Antonio Sacatepéquez, San Pedro Sacatepéquez, San Rafael Pie de la Cuesta, and San Pablo, all in San Marcos, were selected to implement IUSI interventions, based on existing favorable conditions.

### **3.1.3. INDICATOR 3: FISCAL INDEPENDENCE OF “TARGETED” MUNICIPALITIES (IR LEVEL INDICATOR) USAID GUATEMALA PMP CUSTOM INDICATOR**

The Project’s goal for Year 3 is to help all 13 target municipalities increase their fiscal independence by 0.25 percentage points.

**The target for Year 3 was exceeded by 1.8 percentage points. Fiscal independence of target municipalities is 14.16% for the 2012 fiscal year.** Target information for Y4 (2013) will become available in April 2014.

The following table summarizes results by municipality.

**TABLE 5  
INDICATOR 3  
YEAR 4  
(In Quetzales)**

#	Municipality	2012		
		Own-source revenue	Total Income	% fiscal independence (Own source /Total)
1	Estanzuela	2,158,465	16,023,686	13.47%
2	San Cristóbal Acasaguastlán	936,782	14,884,912	6.29%
3	Sansare	1,683,527	19,312,372	8.72%
4	Jalapa	11,931,458	51,180,651	23.31%
5	Monjas	3,059,347	18,980,911	16.12%
9	Camotán	693,649	18,832,880	3.68%
6	Concepción las Minas	1,220,544	14,257,012	8.56%
7	Esquipulas	11,443,020	35,246,556	32.47%
8	Jocotán	1,158,608	19,120,033	6.06%
10	Olopa	954,929	14,976,903	6.38%
11	San Jacinto	601,754	13,625,524	4.42%
12	San Juan Ermita	544,150	13,465,202	4.04%
13	San José La Arada	962,250	13,913,086	6.92%
<b>TOTALS</b>		<b>37,348,484</b>	<b>263,819,729</b>	<b>14.16%</b>

Source: <http://portalgl.minfin.gob.gt>

Own-source revenue of LGP target municipalities increased, altogether, 42% in 2012, with respect to 2010 (baseline). It is important to mention that large municipalities like Esquipulas (32.47%) and Jalapa (23.31%) had greater fiscal independence in 2012. The percentage of fiscal independence of smaller municipalities, like Concepción Las Minas, Olopa and San José La Arada, also had high performance, compared with 2010, as shown on Table 7. This suggests that the government incentive of allocating greater transfers to municipalities whose fiscal efforts result in higher own-source revenue is working.

**TABLE 6**  
**INDICATOR 3**  
**YEAR 4**  
**Changes in own-source revenue for 2012**  
**LGP Target municipalities**  
**(% of increase with respect to 2010)**

Municipality	Own-source revenue percentage of increase in 2012
Estanzuela *	69%
San Cristobal Acasaguastlán*	17%
Sansare	56%
Jalapa	22%
Monjas	70%
Camotán	28%
Concepción las Minas*	117%
Esquipulas	50%
Jocotán	39%
Olopa	40%
San Jacinto*	49%
San Juan Ermita	-12%
San José La Arada	155%
<b>TOTAL</b>	<b>42%</b>

\*IUSI Municipalities Project

**SOURCE:** LGP based on the Local Government Portal of the Ministry of Finance

As it is shown on the table above, the most significant increase took place in San José La Arada (155%), Monjas (70%), Concepción Las Minas (117%) and Estanzuela (69%). The last two municipalities have continued to make progress in the collection of the IUSI with the LGP technical assistance.

#### **3.1.4. INDICATOR 4: LEVEL OF CITIZENS' SATISFACTION WITH PUBLIC SERVICE DELIVERY**

In compliance with the LGP M&E Plan, this indicator's performance has to be measured in Year 4 through a new survey to assess urban citizens' level of satisfaction with water service delivery. In Year 4, the Project hired a consulting firm to conduct this survey in each of the 13 LGP target communities in the eastern region of Guatemala. The contract began on February 4 and concluded on March 17, 2013. The survey was conducted among a sample of 3,426 users in **urban areas**, with a reliability of 95% and a sample error of  $\pm 5\%$ . For the sake of consistency with the first survey made to establish a baseline, Sepmarketing utilized the same instrument, the ordinal scale and the methodology used in Year 2 of the LGP.

For the purpose of determining user satisfaction levels, the consultancy evaluated four variables: 1) coverage of drinking water service; 2) water quality; 3) customer services; and 4) cost of the service. The consolidated results of each evaluated variable, both in Year 2 and Year 4, are summarized in the table below.

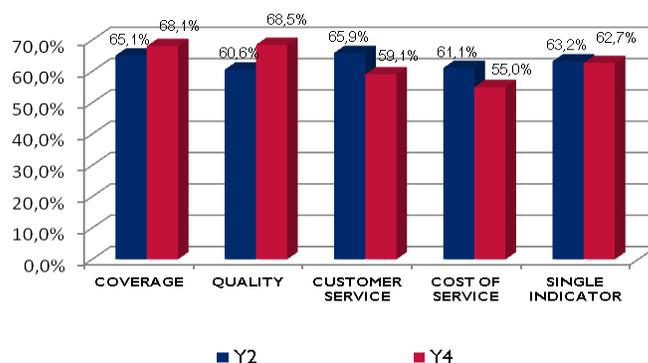
**TABLE 7  
INDICATOR 4  
YEAR 4**

Variables	Year 2	Year 4
Coverage of potable water service	65.1%	68.1%
Water quality	60.6%	68.5%
Customer service	65.9%	59.1%
Cost of service	61.1%	55.0%
Single indicator	63.2%	62.7%

**SOURCE:** LGP records

The Project expected that user in Year 4, satisfaction levels would have increased by five percentage points over the baseline (63.2%), equaling 68.2%. In terms of the four variables that were evaluated in Year 4, the results from the consultancy established the level of user satisfaction in the 13 municipalities at 62.7%, (see Annex 2) as shown in the following graph:

**GRAPH 4  
INDICATOR 4  
LGP YEAR 4**



**SOURCE:** LGP records

Even if the goal of the *unified global indicator* was not reached, it is important to emphasize that the *drinking water services coverage* and *water quality* variables that are part of the unified global indicator (see Table 8) show significant increases, compared with the results of the first survey made in Year 2 of the LGP (baseline). In Year 4, the *drinking water services coverage indicator* was 68.1%, compared with

65.1%, according to the data of the first survey. Likewise, in Year 4, the *water quality indicator* was 68.5%, compared with 60.6% of Year 2 of the LGP, as shown below.

The following table shows the results of the second survey in each municipality assisted by the LGP according to the four evaluated variables.

**TABLE 8. INDICATOR 4. YEAR 4**

#	MUNICIPALITY	COVERAGE %			QUALITY %				CUSTOMER SERVICE %					COST %			Satisfaction level %		
		Continuity	Frequency	Total Indicator	Water pressure	Color	Odor	Taste	Total Indicator	Customer service when paying the bill	Timely Response when reporting a problem with the service	Information on service interruption	General service issues	Total Indicator	Cost compared to quality of service provided	Reason for payment delays		Way in which service is billed	Total Indicator
1	Camotán	13.7	75.9	44.8	17.7	94.4	96.1	75.3	70.9	52.7	75.9	6.0	40.3	43.7	49.6	49.6	49.6	49.6	52.3
2	Concepción Las Minás	81.3	97.8	89.5	50.3	95.2	80.0	82.0	76.9	59.4	89.7	35.4	81.8	66.6	53.8	53.8	53.8	53.8	71.7
3	Esquipulas	49.3	86.3	67.8	43.1	91.7	88.1	86.8	77.4	52.9	79.8	32.1	65.4	58.4	65.6	65.6	65.6	65.6	67.3
4	Jocotán	20.0	73.2	46.6	26.6	49.0	75.6	60.9	53.0	48.1	81.2	32.1	49.7	52.8	51.9	51.9	51.9	51.9	51.1
5	Olopa	2.8	94.8	48.8	38.4	87.9	84.2	83.4	73.5	54.7	86.0	41.4	62.7	61.2	48.6	48.6	48.6	48.6	58.0
6	San Jacinto	1.1	95.9	48.5	34.1	98.3	65.0	60.3	64.4	54.6	82.6	37.3	53.2	56.9	34.0	34.0	34.0	34.0	51.0
7	San José la Arada	96.1	99.3	97.7	54.1	82.2	82.2	72.3	72.7	59.1	93.2	77.0	80.8	77.5	55.9	55.9	55.9	55.9	76.0
8	San Juan Ermita	33.4	99.5	66.4	48.7	97.3	90.4	92.7	82.3	59.1	95.6	61.7	75.2	72.9	52.5	52.5	52.5	52.5	68.5
9	San Cristóbal Acasaguatlán	85.3	99.8	92.5	79.8	95.3	76.1	56.7	77.0	59.2	93.6	44.3	85.9	70.8	84.2	84.2	84.2	84.2	81.1
10	Sansare	1.7	60.3	31.0	30.7	99.3	78.1	76.0	71.0	53.1	85.0	30.5	51.0	54.9	58.1	58.1	58.1	58.1	53.8
11	Jalapa	60.7	96.0	78.4	27.3	71.5	80.4	66.8	61.5	41.6	67.0	32.0	55.1	48.9	64.5	64.5	64.5	64.5	63.3
12	Monjas	75.9%	99.7%	87.8	21.9	55.9	70.4	64.3	53.1	51.9	81.6	26.7	54.6	53.7	41.9	41.9	41.9	41.9	59.1
13	Estanzuela	64.4%	91.6%	78.0	32.3	97.9	86.3	74.6	72.8	56.7	86.6	42.0	74.5	64.9	47.4	47.4	47.4	47.4	65.8

**SOURCE:** LGP records

The LGP provided the following assistance to the 13 targeted municipalities in the eastern region of the country in order to strengthen the coverage and quality variables:

- Provided technical and financial assistance to write, publish and disseminate a guide on hydraulic zoning for water systems to record LGP's experience in this field.
- Provided technical assistance to develop and implement hydraulic zoning plans in selected municipalities.
- Prepared or updated municipal regulations on water use.
- Set up macro-meters to measure well output.
- The assistance was given at a global level in the 13 municipalities but the LGP also provided technical assistance to solve some specific problems that were revealed during the first survey.

- Provided technical and financial assistance to selected municipalities to explain the benefits of hydraulic zoning to COMUDEs. It also stressed the need to use water meters in the process.
- Carried out a regional workshop on hydraulic zoning, attended by OMA members from Jalapa and Estanzuela.

The impact of the project was limited. The decisions made about specific actions to increase user satisfaction levels of the drinking water service depended directly on the municipal authorities, the level of commitment of municipal agencies, the availability of human and financial resources, the rotation of personnel, and the complexity of the situation in each municipality. These factors had an impact on the achievement of the goal set for this year. Individual results were provided to each municipality, so authorities could decide on the policies required to improve the reported service.

**The unified global indicator of user satisfaction levels of the water service according to the survey made in Year 4 was 62.7%, instead of the expected 68.2%. Consequently, the target for Year 4 was not met.**

### **3.1.5. INDICATOR 5: NUMBER OF STRATEGIC OR DEVELOPMENT PLANS STRENGTHENED THROUGH PARTICIPATORY MEANS**

The LGP M&E Plan does not set a goal for this indicator in Y4 because the assistance in the eastern region of the country was completed in 2013. The M&E Plan cumulative goal for Years 1, 2 and 3 is to design, modify, or update 10 municipalities' or *mancomunidades*' development plans.

During the first three years of LGP's life, the Project provided technical and financial assistance to design and print 10 Municipal Development Plans (PDM): Estanzuela (Zacapa); Esquipulas, Concepción Las Minas, Camotán, Olopa, San Jacinto, San José La Arada, and San Juan Ermita (Chiquimula); and Sansare and San Cristóbal Acasaguastlán (El Progreso).

**The cumulative goal of designing, modifying, or updating 10 PDMs during the first three years of the Project's life was met.**

**TABLE 9  
INDICATOR 5  
LGP YEAR 4**

Municipality	Y1	Y2	Y3
ESQUIPULAS,CHIQUIMULA		PDM reviewed and awaiting approval by Municipal City Council (CM in Spanish)	PUBLISHED
SANSARE,EL PROGRESO		PDM reviewed and awaiting CM approval	PUBLISHED
SAN CRISTOBAL ACASAGUASTLAN,EL PROGRESO		PDM reviewed and awaiting CM approval	PUBLISHED
CONCEPCION LAS MINAS,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
JOCOTAN,CHIQUIMULA		PDM reviewed and awaiting CM approval	
CAMOTAN,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
OLOPA,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
SAN JACINTO,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
SAN JOSE LA ARADA,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
SAN JUAN LA ERMITA,CHIQUIMULA		PDM reviewed and awaiting CM approval	PUBLISHED
ESTANZUELA, ZACAPA	Approved		PUBLISHED
<b>TOTAL</b>	<b>1</b>	<b>7 PDM reviewed and awaiting CM approval</b>	<b>10 PDM PUBLISHED</b>

Source: LGP records

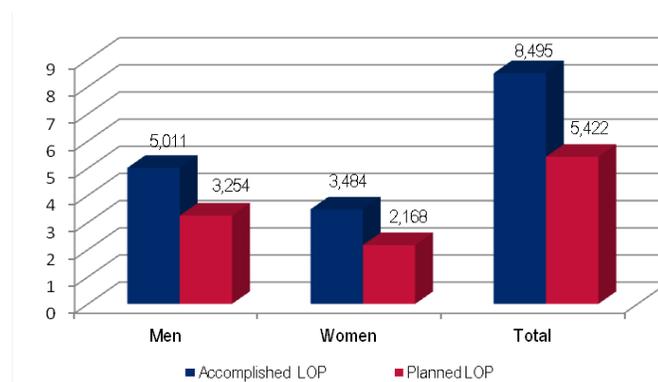
### 3.2. SUB IR 2.2: MORE EFFECTIVE ADVOCACY OF MUNICIPALITIES FOR LOCAL CITIZEN PRIORITIES WITH NATIONAL GOVERNMENT

#### 3.2.1. INDICATOR 6: USG FACTS 2.2: NUMBER OF INDIVIDUALS WHO RECEIVED USG ASSISTED TRAINING, INCLUDING MANAGEMENT SKILLS AND FISCAL MANAGEMENT, TO STRENGTHEN LOCAL GOVERNMENT AND/OR DECENTRALIZATION

According to the LGP M&E Plan, LGP did not expect to hold training activities during Year 4, given the end of field activities in the Eastern region of the country. However, during the second quarter, LGP identified the need to hold training workshops for women leaders from Concepción Las Minas, municipal officers from Río Hondo, Zacapa, and from the CMM of Jalapa. During the third quarter of Year 4, LGP developed four training workshops for municipal authorities and officers from Petén, Zacapa, Izabal, Chiquimula, Guatemala City and El Progreso on the Anticorruption Law. During Y4, the Project trained a total of 696 people (53% women).

The cumulative target for the Life of Project (LOP) in the Eastern region of the country was 5,422 individuals (2,168 women /3,254 men) who received USG assisted training to strengthen local government and/or decentralization. During LGP's LOP, a total of **8,495 individuals received USG assisted training** (3,484 women/5,011 men) as shown in the following graph.

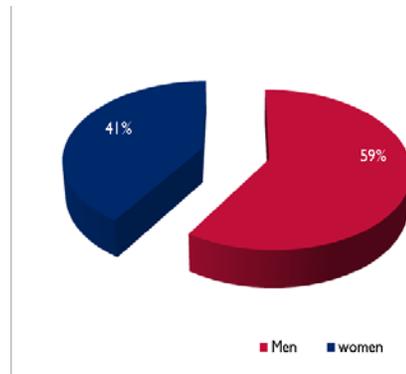
**GRAPH 5  
INDICATOR 6 USG FACTS 2.2:  
NUMBER OF INDIVIDUALS WHO RECEIVED USG ASSISTED TRAINING  
LGP LIFE OF PROJECT**



Source: LGP records

The participation of women during the life of Project was **41%**, as shown in the following graph.

**GRAPH 6**  
**PERCENTAGE OF WOMEN WHO RECEIVED USG ASSISTED TRAINING**  
**DURING LGP LIFE OF PROJECT**



Source: LGP records

The training goal for LOP was considerably exceeded for the following reasons:

1. Unexpected demand on training to explain the reforms to the Municipal Code, especially in changes to the formula for the distribution of central government's transfers. Of the total of 1,324 individuals trained during LGP's Year 1, 68% received training on the amended Municipal Code. LED training also affected the total of individuals trained, in particular, support to SEGEPLAN's workshop (147 trainees).
2. Strengthening the CMMs, OMMs and COCODEs. The number of training participants from these three types of local mechanisms amounts to 1,151 individuals (33% were women) which represents 59% of the total training in Y2.
3. An alliance between LGP and the Training, Dissemination and Civic-Electoral Education Unit from the Tribunal Supremo Electoral (TSE). The alliance was established to promote voter registration, increase voter turnout, foster participation on electoral boards, and to the greatest extent possible, encourage women to run for local office. It also sought to identify female leaders to make up a **Multiplier Network for Advocacy and the Political-Electoral Participation of Women** and create a cascade effect of trainers to reach other females in their communities. This alliance took place in two stages and trained 450 people, out of whom 98% were women, in Y2 and Y3 in the eastern region.
4. The transition period for new municipal authorities and officers. Guatemala's general elections on September 11, 2011 gave ANAM an opportunity to carry out an intensive nationwide orientation program. LGP prepared the "*Guía del Gobierno Municipal*" which ANAM agreed to use as the main training document. LGP technical staff was included among the facilitators in most regional workshops. This program alone contributed 46% of trainees (2,081 people, 339 women) for Year 3.

5. The Project “Promoting Citizen Participation with Gender Equity,” financed by the LGP small grants program and carried out by *Mancomunidad de Nor-Oriente*, in Year 3. Training activities took place in 6 municipalities, 4 of which were LGP targets (Esquipulas, San Jacinto, Estanzuela, and San Cristóbal Acasaguastlán). The project’s goal was to build and strengthen participative democracy in community affairs. This project contributed 38% of trainees (1,705 people, 732 women) for Year 3.
6. Reforms to the Anticorruption Law in Year 4, at the request of ANAM, the Project drafted the Guide for the Municipalities: How to Interpret the Reforms to the Anticorruption Law (“*Guía para municipalidades: cómo interpretar las reformas a la Ley contra la Corrupción*”). This assistance helped train 334 municipalities in the country. In the eastern region, 302 people were trained, 18% of them women. Training activities held in the western region are reported in the FtF training indicator.

The following table shows the number of individuals trained per year, during the four years of Life of Project in the Eastern region.

**TABLE 10**  
**INDICATOR 6**  
**LGP YEAR 4**  
**Number of individuals trained per year**

Year	Women	Men	Total
1	354	970	1,324
2	1,238	713	1951
3	1,522	3002	4524
4	370	326	696
<b>Total</b>	<b>3,484</b>	<b>5,011</b>	<b>8,495</b>

Source: LGP records

**Target for the Life of Project was exceeded by 3,073 individuals (1,316 women/1,757 men) based on the target described in the M&E Plan. The registered 41% women participation met the 40% goal for LOP.**

### **Training Evaluation**

LGP carried out 152 training workshops during the Life of Project with a total of 8,495 trainees (3,484 women). (See Annex 3). Of these, 44 long-term training workshops took place in Year 1 and 2 (two days long or 16 intermittent hours). These long-term assisted trainings were evaluated and reported in the corresponding M&E annual reports.

Taking into consideration the guidelines of Mission Order 2532, LGP evaluated the effectiveness of training workshops through a permanent monitoring system during Y1-Y4. The LGP Training Plan stipulates evaluating the knowledge level of participants before and after the training workshops.

## Survey Results

LGP carried out pre- and post-training surveys in 136 of the 152 training workshops it carried out during LOP, thus evaluating 89.5% of training activities. There were logistical limitations to conducting pre-and post-training surveys during the remaining events. Annual training results are shown in the table below.

**TABLE II  
INDICATOR 6  
LGP YEAR 4  
Training impact assessment for LOP**

Training workshop <sup>1/</sup>	Total Attendance (average) 1/	Female participants 1/	% Women	% of previous knowledge		% of applicability 3/		User satisfaction 4/	TOTAL OF PARTICIPANTS	
				Pre 2/	Post 2/	Pre 3/	Post 3/		Pre	Post
Year 1	195	84	43%	29%	85%	57%	91%	97%	195	195
Year 2	1557	924	59%	58%	90%	91%	90%	89%	1571	1531
Year 3	3563	1320	37%	24%	88%	93%	86%	89%	3631	3494
Year 4	394	142	36%	10%	92%	94%	86%	96%	394	394
<b>TOTAL</b>	<b>5709</b>	<b>2470</b>	<b>43%</b>	<b>32%</b>	<b>89%</b>	<b>91%</b>	<b>87%</b>	<b>90%</b>	<b>5791</b>	<b>5614</b>

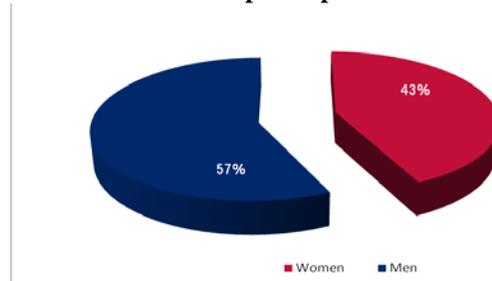
Source: LGP records

The difference between the number of trainees and the number of pre- and post-training evaluations may be explained by illiteracy and low schooling among indigenous populations addressed, particularly from Estanzuela, Esquipulas, Río Hondo, El Progreso, and Zacapa, where Mancomunidad de Nor-Oriente carried out the project funded by the LGP small grants program.

Of the 5,709 people who completed training evaluation forms, 43% were women, as shown in the graph below.

<sup>2</sup> USAID/Guatemala Mission Order (MO) 253<sup>2</sup> clarifies the roles and responsibilities for planning, implementing, and monitoring training/human capacity development (HCD) interventions. It also provides a summary of policy guidance and procedures for efficient design, implementation, monitoring, assessment, and evaluation of HCD programs conducted offshore or in-country in support of the Mission's Strategic Objectives (SOs). In compliance with MO 253, LGP has developed this Annual Training Plan attached to LGP's Year 2 Work Plan, which will be submitted for USAID/Guatemala's approval. MO 253 was delivered by USAID/Guatemala in April 2010.

**GRAPH 7. INDICATOR 6 USG FACTS 2.2:  
Training impact assessment for LOP  
Female participation**



*Source: LGP training evaluation forms*

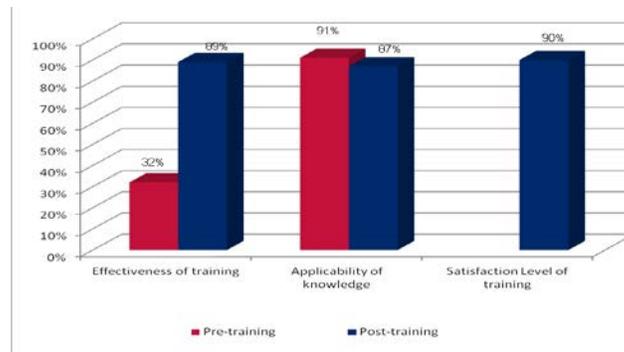
To evaluate the impact of training events, LGP included the following criteria: 1) women participation 2) effectiveness: previous knowledge versus knowledge obtained after the training event 3) relevance: applicability of acquired knowledge, and 4) satisfaction: possibility that trainees recommended to other people to take the training. Results of pre- and post- training events were analyzed as follows:

During the Life of Project, LGP measured the effectiveness of training activities, 32% of participants indicated they had “considerable” or “some” knowledge on the topic before training. By the end of the workshops, 89% indicated having improved their initial knowledge.

Applicability of acquired knowledge was also assessed. Participants were asked to express whether they expected to apply what they learned to their jobs. According to the pre- training survey, 91% of participants believed they would. The post-training survey showed that 87% of participants responded that they would use the new knowledge in their jobs. An overall success indicator for each workshop was participant satisfaction level. The assessment showed that 90% of participants expressed they would recommend the training workshops to other people.

The following graph shows total results, during the Life of Project.

**GRAPH 8. INDICATOR 6 USG FACTS 2.2:  
Assessed pre- and post-training effectiveness, applicability and  
satisfaction level LGP’s LOP**



*Source: LGP pre- and post-training forms*

During the four years of LGP, training topics included: promotion of citizen participation with gender equity; local economic development; social development laws; how to set up and strengthen COCODEs, CMMs, and COMUDEs; the Civic and Political Training School; democracy and empowerment; how to prepare the 2013 municipal budgets; the relationship between the POA (annual operation plan) and the budget; OMM duties; municipal planning; municipal public services; customer service; municipal finances; municipal legislation and management update; government purchase law and its regulations; community councils; IUSI experience exchange; operation, maintenance, and disinfection of water systems; providing safe drinking water for the municipality; implementing the Municipal Code reforms. Other topics were orientation program for new municipal authorities and officers to prepare them to take office; multiplier network for advocacy and the political electoral participation of women; anticorruption law; and SAN.

### **3.2.2. INDICATOR 7: NUMBER OF REFORM INITIATIVES SUPPORTED BY ANAM THAT INCORPORATE DEMANDS TO STRENGTHEN LOCAL GOVERNMENT AND DECENTRALIZATION**

The target set for Y4 was to support ANAM in presenting nine reform initiatives that include public policy, regulations, legislative revisions, legislative initiatives and requests for legislative interpretation filed by ANAM, the *Instancia Municipalista* or any other local government entity. The M&E Plan cumulative Life of Project goal was 32 reform initiatives supported to strengthen local government and decentralization.

During Year 4, LGP provided technical assistance to ANAM to prepare 15 legal reform proposals, as shown in the following table:

**TABLE 12  
INDICATOR 7  
LGP YEAR 4**

Number of reform initiatives supported by ANAM that incorporate demands to strengthen local government and decentralization					
#	Date	Description	LGP support	Presented by	Status
1	January 2013	Reform of Article 10 of the Added Value Tax Act (VAT), Order #27-92 of the National Congress	Technical assistance	ANAM	Completed
2	January 2013	Legal opinion about the way to prove the ownership or possession of real property in order to construct a building with public funds	Technical assistance	ANAM	Completed
3	February 2013	Legal opinion about the obligation or lack of obligation of the Town Council members to submit invoices for the reimbursement of expenses. Order 10-2012	Technical assistance	ANAM	Completed
4	March 2013	Legal analysis of the concessions made for IUSI collection as well its appropriate administration	Technical assistance	ANAM	Completed
5	April 2013	Legal analysis of resolution 64-2013 of the SAT, specifically whether the municipal Town Councils are obligated to pay the VAT tax	Technical assistance	ANAM	Completed
6	May, 2013	Legal opinion whether municipalities should charge public lighting rates	Technical assistance	ANAM	Completed
7	May, 2013	Legal opinion about whether the DMP may hire a private company or an individual to conduct a feasibility study	Technical assistance	ANAM	Completed
8	July 2013	The ANAM's proposal for the drafting of a municipal agreement that the Association presented to the municipalities in order to institutionalize a methodology to collect public lighting rates	Technical assistance	ANAM	Completed
9	July 2013	Legal opinion about the company SAEE GROUP/INGENIERIAS ASOCIADAS.	Technical assistance	ANAM	Completed
10	August 2013	A legal analysis about a reduction of the Vehicle Circulation Tax	Technical assistance	ANAM	Completed
11	August 2013	A Guide to/An analysis of the Anticorruption Law	Technical assistance	ANAM	Completed
12	August 2013	A legal opinion about the request of the National Congress to the ANAM	Technical assistance	ANAM	Completed
13	August 2013	A legal opinion about delegating the collection of the IUSI	Technical assistance	ANAM	Completed
14	August 2013	A legal opinion about the participation of the Secretary-General of the ANAM in the show "Primera Hora" of Emisoras Unidas and the content of the program	Technical assistance	ANAM	Completed
15	August 2013	A legal opinion about Article 69 of the Order 30-2012: "Annual Act of the General Revenue and Expenditure Budget of the State for the Fiscal Year 2013"	Technical assistance	ANAM	Completed

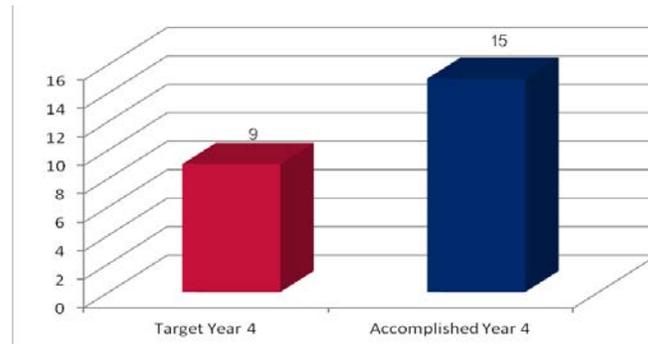
**Source:** LGP files

Concerning the assistance given in this period, it is worth mentioning the following:

- ✓ The consultancy of the Project helped the ANAM to request the Ministry of Finance to issue the Resolution 264-2013 describing the obligations of Town Council members to submit an invoice to collect their fees. (See initiatives 3 and 5.)
- ✓ The analysis made by the Project about the Anticorruption Law, contained in the Anticorruption Law Guide for Municipalities, helped ANAM to train the 334 municipalities on this subject. As a result, ANAM has positioned itself as a promoter of transparency and training service provider to municipalities on applicable legislation.

**The targets for Year 4 and LOP were exceeded.**

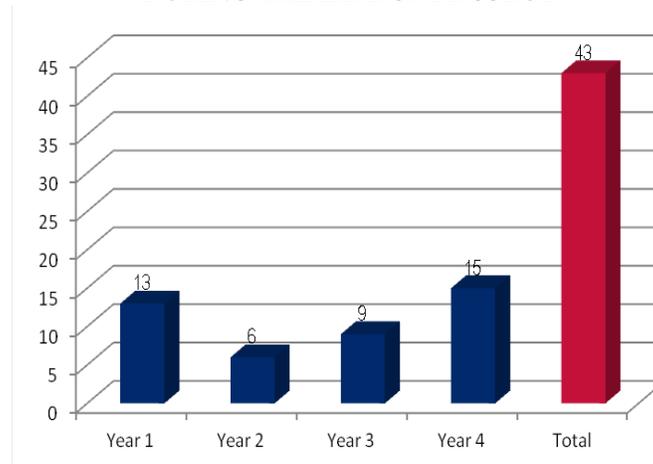
**GRAPH 9  
NUMBER OF REFORM INITIATIVES SUPPORTED BY ANAM  
YEAR 4**



**Source:** LGP records

During the four years of Life of Project, LGP provided technical and financial assistance to support a total of 43 reform initiatives, as shown in the following graph.

**GRAPH 10  
NUMBER OF REFORM INITIATIVES SUPPORTED BY ANAM  
DURING THE LIFE OF PROJECT**



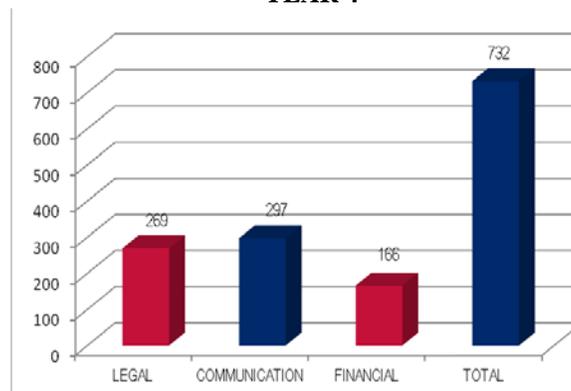
Source: LGP records

**The cumulative goal of revising, analyzing and interpreting 32 reform initiatives during the four years of the Project’s life was exceeded by 11 reform initiatives.**

**3.2.3. INDICATOR 8: NUMBER OF SERVICES PROVIDED BY ANAM TO ITS MEMBERS**

The Project has a Year 4 target to support ANAM in providing 250 service actions to its members. The M&E Plan has a cumulative Life of Project goal of 750 service actions. During Year 4, ANAM provided 732 service actions, of which 269 were legal, 297 communications, and 166 financial, as shown in the following graph:

**GRAPH 11  
NUMBER OF SERVICE ACTIONS PROVIDED  
BY ANAM TO ITS MEMBERS  
YEAR 4**



Source: LGP records

**During Year 4, ANAM has significantly surpassed the target set in the LGP M&E Plan. The cumulative Life of Project goal was also surpassed.**

ANAM's subcontract with LGP to strengthen its capacity to provide specialized services to its members started in October 2011 and ended in April 2013. Four advisors: two legal, one financial, and one communications advisor, were financed through this subcontract. In the process, ANAM became aware of the competitive advantage in providing these services to its members. Beginning May 2013, ANAM began to pay these professionals directly. It expects to hold a special assembly to promote an increase in member fees that will ensure continuity of these positions, finance further training activities, and contribute to strengthen its administrative structure.

During Life of Project, ANAM provided 1,980 service actions, of which 965 were legal, 636 communication, and 379 financial. The following table lists the services provided by ANAM to its members for each year of Life of Project.

**TABLE 13  
INDICATOR 8  
LGP's LIFE OF PROJECT  
NUMBER OF SERVICE ACTIONS PROVIDED BY ANAM TO ITS MEMBERS**

YEAR	LEGAL	COMMUNICATION	FINANCIAL	NUMBER OF SERVICES
1	37	0	0	37
2	202	0	0	202
3	457	339	213	1,009
4	269	297	166	732
<b>TOTAL</b>	<b>965</b>	<b>636</b>	<b>379</b>	<b>1,980</b>

Source: LGP records

The following graph lists the total services provided by ANAM to its members in each year of the four years of Life of Project.

The fact that the target was significantly surpassed is primarily due to the following factors:

- \* ANAM promoted free financial, legal, and communication services for members during orientation training activities. This, added to specific needs required by new municipal authorities during the transition period, increased demand for services.
- \* Demand for ANAM legal services also increased because the Comptrollership of Accounts required candidates for any elected position to submit a legal settlement needed by mayors running for re-election.
- \* ANAM extended services provided to members. The subcontract with ANAM provided for two legal advisors, a financial consultant, and a communications advisor.
- \* ANAM's legal services have produced positive results among elected and re-elected municipal authorities requesting assistance and the news of their effectiveness, coverage, and quality spread among municipal officials.

### 3.3. SUB-IR 2.3: MORE INCLUSIVE AND TRANSPARENT POLITICAL PROCESSES

#### 3.3.1. INDICATOR 9: NUMBER OF LOCAL MECHANISMS SUPPORTED WITH USG ASSISTANCE FOR CITIZENS TO ENGAGE THEIR SUB-NATIONAL GOVERNMENT (*USAID Guatemala PMP custom indicator*)

The Project Y4 target is to provide assistance for 25 local mechanisms to engage citizen participation. The cumulative Life of Project was to provide support to 90 local mechanisms.

LGP provided support in Y1, to 21 local mechanisms; in Y2, to 98 new local mechanisms; in Y3, to 73 local mechanisms; and in Y4, to 26 local mechanisms. During Life of Project, LGP provided technical assistance to 218 local mechanisms, as shown in the following table.

**The target for Year 4 was slightly surpassed. The cumulative Life of Project goal was significantly surpassed.**

**TABLE 14  
INDICATOR 9  
LGP's Life of Project**

YEARS 1, 2, 3 AND 4					
Type of Mechanism	Year 1	Year 2	Year 3	Year 4	TOTAL
<b>COMUDE</b>					
San Jacinto	1		1	0	2
Esquipulas	1		1	1	3
San Cristóbal Acasaguastlán	1		1	1	3
Olopa	1		1	1	3
Jocotán		1	1	0	2
San Juan Ermita	1		1	1	3
Camotán	1		1	0	2
Estanzuela	1		1	1	3
Sansare		1	1	1	3
San José La Arada		1	1	1	3
Monjas			1	1	2
Concepción Las Minas			1	1	2
Jalapa		1	1	1	3
<b>TOTAL COMUDES</b>	<b>7</b>	<b>4</b>	<b>13</b>	<b>10</b>	<b>34</b>

<b>CODEDE</b>					
Chiquimula	1		1	0	2
Jalapa			1	0	1
El Progreso		1			1
<b>TOTAL CODEDE</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>4</b>
<b>COCODE</b>					
COCODE San Jacinto		13			13
COCODE Olopa		20			20
COCODE Estanzuela		15			15
COCODE Zacapa			1	0	1
COCODE San Cristóbal			19	0	19
COCODE Teculután			1	0	1
COCODE Esquipulas			1	0	1
COCODE Jalapa			1	1	2
COCODE Concepción Las Minas			1	1	2
COCODE Sansare			1	1	2
COCODE Río Hondo			1	0	1
COCODE San Juan Ermita		23	1	0	24
<b>TOTAL COCODE</b>		<b>71</b>	<b>27</b>	<b>3</b>	<b>101</b>
<b>COMUSAN</b>					
Concepción Las Minas			2	0	2
Esquipulas			1	1	2
Jalapa			1	0	1
Sansare			1	0	1
San Cristóbal Acasaguastlán			1	1	2
San Jacinto			1	0	1
Monjas			1	0	1
Estanzuela			1	1	2
<b>TOTAL COMUSAN</b>			<b>9</b>	<b>3</b>	<b>12</b>
<b>COMMITTEES</b>					
San Cristóbal Acasaguastlán COMUDE committees on: education, health, women, LED and citizen participation	5		1	0	6

CMM San Jacinto	1		1	1	3
Esquipulas Water service improvement Committee	1		1	0	2
CMM San Juan Ermita	1		1	0	2
CMM Camotán	1		1	0	2
CMM Jocotán			1	0	1
CMM Olopa	1		1	0	2
CMM de Sansare		1		0	1
CMM de Estanzuela		1	1	1	3
CMM San José La Arada		1	1	0	2
CMM Esquipulas			1	1	2
CMM Jalapa			1	1	2
CMM San Cristóbal Acasaguastlán				1	1
OMM Chiquimula			1	0	1
CMM de San Juan Ermita		1	1	0	2
Estanzuela COMUDE committees on: education, health, development and management, LED, finance, citizen security, risk mitigation, agriculture, culture, sports and follow up.		10	1	0	11
Concepción Las Minas, COMUDE committees on: health and food security, education, women, social auditing, citizen security, and follow up.			1	1	2
San Juan Ermita COMUDE committees on: health and food security, social auditing, economic development, citizen security, culture, sports, infrastructure and planning and follow up.		7	1	0	8
<b>TOTAL COMMITTEES</b>	<b>10</b>	<b>21</b>	<b>16</b>	<b>6</b>	<b>53</b>
<b>NETWORKS</b>					
Red de AFIM de Chiquimula	1				1
Red de DMP de Chiquimula	1		1	1	3
Red de OMM de Zacapa			1	0	1
Red de OMM de El Progreso				1	1
Red de OMM de Chiquimula			1	0	1
CODESAN Chiquimula			1	0	1

Red de DMP de Zacapa		1		1	2
TOTAL NETWORKS	2	1	4	3	10
<b>LED PARTNERSHIP</b>					
Mancomunidad de Nororient			1	0	1
Mancomunidad Copan Chortí	1		1	1	3
TOTAL LED PARTNERSHIP	1		2	1	4
<b>TOTAL</b>	<b>21</b>	<b>98</b>	<b>73</b>	<b>26</b>	<b>218</b>

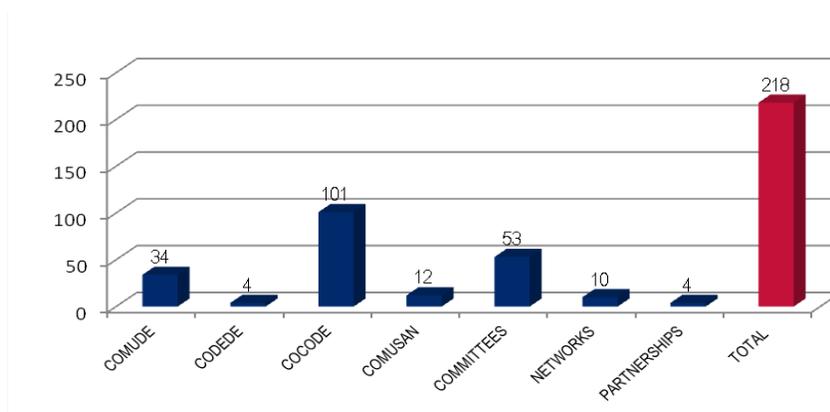
Source: LGP records

Throughout Year 4, LGP provided technical assistance to 26 local mechanisms: 10 COMUDEs, 3 COCODEs, 3 COMUSANs, 6 Commissions, 3 Networks, and 1 *Mancomunidad*.

In Year 4, LGP provided technical and financial assistance through 26 meetings in 10 of the 13 target municipalities, with a total attendance of 1,790 people (650 women, or 36%).

During the life of Project, LGP provided technical assistance to 218 local mechanisms: 34 COMUDEs (San Jacinto, Esquipulas, San Cristóbal Acasaguastlán, Olopa, Jocotán, San Juan Ermita, Camotán, Estanzuela, Sansare, San José La Arada, Monjas, Concepción Las Minas, and Jalapa); 4 CODEDEs (Jalapa, El Progreso, and 2 in Chiquimula); 101 COCODEs (San Jacinto, Olopa, Estanzuela, Zacapa, San Cristóbal, Teculután, Esquipulas, Jalapa, Concepción Las Minas, Sansare, Río Hondo, and San Juan Ermita); 12 COMUSANs (Concepción Las Minas, Esquipulas, Jalapa, Sansare, San Cristóbal Acasaguastlán, San Jacinto, Monjas, and Estanzuela); 53 Commissions (San Cristóbal Acasaguastlán, San Jacinto, Esquipulas, San Juan Ermita, Camotán, Jocotán, Olopa, Sansare, Estanzuela, San José La Arada, Jalapa, Chiquimula, and Concepción Las Minas); 10 Networks (Chiquimula, Zacapa, and El Progreso); and 4 Partnerships with Mancomunidad de Nororient, and Mancomunidad Copán Chortí, as shown in the following graph:

**GRAPH 12**  
**INDICATOR 9**  
**TYPE OF LOCAL MECHANISMS SUPPORTED WITH USG ASSISTANCE**  
**CUMULATIVE LIFE OF PROJECT**



Source: LGP records

During Life of Project, LGP provided technical and financial assistance to strengthen citizen participation mechanisms at department, municipal, and community level. At department level, through Chiquimula, El Progreso, and Jalapa CODEDEs; at municipal level, through COMUDEs (Municipal Development Councils) of LGP target municipalities; and at community level, it updated and trained COCODES (Community Development Councils). The LGP technical team focused on assistance to DMP and OMM staff, as they are directly responsible for providing follow-up and training to new boards of directors in each of the communities in their municipalities. As part of the assistance provided by the Project, 8 training plans were designed for the LGP work region. As of March 2013, 322 COCODEs existing in the Project’s area of influence were renewed.

During the life of Project, LGP provided technical assistance to carry out 167 meetings promoting citizen participation, as follows:

**TABLE 15**  
**INDICATOR 9**  
**NUMBER OF MEETINGS SUPPORTED BY LGP**  
**During Life of Project**

Life of Project	# Meetings
Year I	44
Year II	42
Year III	55
Year IV	26
<b>TOTAL</b>	<b>167</b>

Source: LGP records

### **3.3.2. INDICATOR 10: USG FACTS 2.5: PEOPLE REACHED BY USG-ASSISTED VOTER EDUCATION**

This indicator was reported only in Year 2, based on the municipal and national elections scheduled for September 2011. The planned target for Year 2 was 40,000 people (20,000 women and 20,000 men).

In Year 2, LGP used various means to “reach” a total of **45,494 individuals in support of the electoral process**. Of these, 23,639 were women (52% of the total number of people reached). **The Y2 target for this Indicator was surpassed by 14%.**

### **WESTERN REGION – FEED THE FUTURE**

#### **3.4. SUB-IR 2.1: MORE TRANSPARENT SYSTEMS FOR MANAGEMENT OF PUBLIC RESOURCES BY LOCAL GOVERNMENTS**

### 3.4.1. INDICATOR 1: NUMBER OF MUNICIPALITIES WITH BUDGETS AND EXPENDITURE REPORTS AVAILABLE TO PUBLIC WITHIN 3 MONTHS OF COMPLETION (DISAGGREGATED BY MUNICIPALITY, EXPENDITURE AND INCOME REPORTS)

The goal for FtF Year 2 is that 8 out of 12 selected municipalities have published 2012 fiscal year's budget execution in the Local Government Portal no later than March 31<sup>st</sup> of the following year (2013).

As summarized in the following table, all 12 FtF target municipalities had complied with posting their budget implementation data for FY 2012 as required, no later than March 31, 2013.

**TABLE 16  
INDICATOR 1  
FTF YEAR 3  
(QUETZALES)**

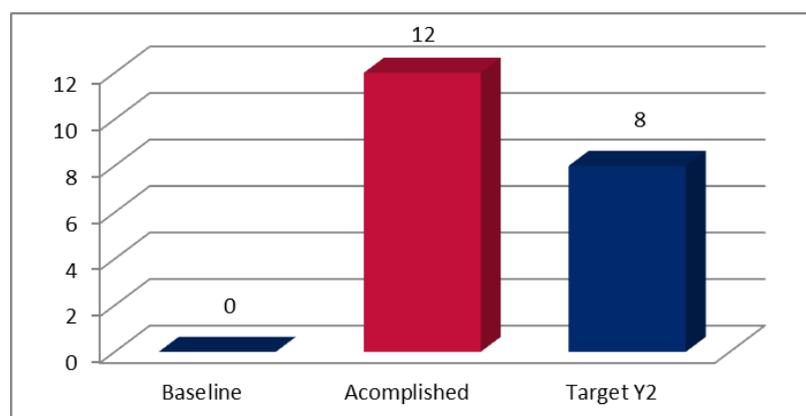
Municipality	Expenditures*	Income	Deficit / Surplus	Date posted*	Comments
PALESTINA DE LOS ALTOS, QUETZALTENANGO	19.842.093,57	20.412.715,02	570.621	01/04/2013	Complied
SAN CARLOS SIJA, QUETZALTENANGO	12.910.847,82	17.003.533,73	4.092.686	01/04/2013	Complied
SAN JUAN OSTUNCALCO, QUETZALTENANGO	20.432.105,31	22.848.413,29	2.416.308	01/04/2013	Complied
SIBILIA, QUETZALTENANGO	21.907.346,66	19.092.307,24	(2.815.039)	01/04/2013	Complied
RÍO BLANCO, SAN MARCOS	12.666.689,22	11.823.562,61	(843.127)	01/04/2013	Complied
SAN ANTONIO SACATEPÉQUEZ, SAN MARCOS	9.827.802,87	12.486.815,07	2.659.012	01/04/2013	Complied
SAN CRISTÓBAL CUCHO, SAN MARCOS	14.151.197,10	14.691.065,10	539.868	01/04/2013	Complied
SAN LORENZO, SAN MARCOS	12.782.605,53	12.802.289,94	19.684	01/04/2013	Complied
SAN PEDRO SACATEPÉQUEZ, SAN MARCOS	57.603.449,67	74.255.035,46	16.651.586	01/04/2013	Complied
SAN RAFAEL PIE DE LA CUESTA, SAN MARCOS	11.758.820,24	13.003.811,27	1.244.991	01/04/2013	Complied
EL RODEO, SAN MARCOS	10.176.866,27	11.038.114,68	861.248	01/04/2013	Complied
SAN PABLO, SAN MARCOS	12.099.405,25	15.959.780,71	3.860.375	01/04/2013	Complied

\*2012 data

Source: <http://portalgl.minfin.gob.gt>

The target for Year 2 was exceeded by four municipalities with budget and expenditure reports available to the public within three months of completion, as shown in the following graph.

**GRAPH 13  
FTF INDICATOR 1  
YEAR 3**



Source: LGP records

### **3.4.2. INDICATOR 2: FISCAL INDEPENDENCE OF “TARGETED” MUNICIPALITIES (IR LEVEL INDICATOR) (DISAGGREGATED BY MUNICIPALITY)**

According to LGP M&E Plan, there is no goal for Year 3, due to completion of LGP/FtF special activity.

### **3.4.3. INDICATOR 3: NUMBER OF STRATEGIC OR DEVELOPMENT PLANS STRENGTHENED THROUGH PARTICIPATORY MEANS**

According to the LGP M&E Plan, the goal for Year 3 is to assist in developing, modifying, or updating 2 strategic development plans; the Project has completed 3 local government plans for San Rafael Pie de la Cuesta, San Cristóbal Cucho, and San Lorenzo, as shown in the following table.

**TABLE 17  
INDICATOR 3  
FTF YEAR 3**

#	Municipality	Year 1	Year 2	Year 3
	QUETZALTENANGO SAN PLANNING MATRIXES	N/A	2	
	SAN MARCOS SAN PLANNING MATRIXES	N/A	2	
1	SAN PEDRO SACATEPÉQUEZ	N/A	0	
2	PALESTINA DE LOS ALTOS	N/A	0	
3	SAN JUAN OSTUNCALCO	N/A	0	
4	SAN ANTONIO SACATEPÉQUEZ	N/A	0	
5	SAN MARTÍN SACATEPÉQUEZ	N/A	0	
6	SAN RAFAEL PIE DE LA CUESTA	N/A	0	1
7	CONCEPCIÓN CHIQUIRICHAPA	N/A	0	
8	SAN CRISTÓBAL CUCHO	N/A	0	1
9	SAN CARLOS SIJA	N/A	1	
10	SIBILIA	N/A	0	
11	RIO BLANCO	N/A	0	
12	SAN LORENZO	N/A	0	1
<b>TOTAL</b>		<b>0</b>	<b>5</b>	<b>3</b>

Source: LGP records

Local government plans integrate municipal development plans and local investment for the 2012-2016 period. The San Cristóbal Cucho, San Lorenzo, and San Rafael Pie de la Cuesta plans were approved and printed.

LGP provided technical and financial assistance to prepare these plans, to ensure that the actions proposed by municipal authorities and officers for this five year period would be consistent with priorities set forth by the COMUDE in its municipal plans.

SEGEPLAN and MINFIN have determined that local government plans and multi-annual investment plans (PIMA) are required prior to approval of the 2014 annual operation plan.

**The target for this indicator was to provide assistance for 2 plans in Year 3. It was exceeded by having provided assistance for 3. The cumulative total Life of Project target of 8 plans strengthened was met.**

### 3.4.4. INDICATOR 4: NUMBER OF PUBLIC-PRIVATE PARTNERSHIPS FORMED AS A RESULT OF FTF ASSISTANCE.

The goal for Year 3 for this indicator is to assist in creating 8 public-private partnerships or coordinated actions with counterparts.

To meet this goal and to comply with USAID guidelines to coordinate actions with its implementing partners, during Year 3, the Project formalized 8 partnerships: 2 public-private partnerships, 2 private partnerships, and 4 coordinating actions.

The cumulative total for Life of Project of 18 partnerships formed as result of FtF assistance has been exceeded. To date, LGP has formalized 25 partnerships: 4 public-private partnerships, 7 partnerships with implementing partners and counterparts, and at least 14 coordinated actions, as shown in the following table.

**TABLE 18  
INDICATOR 4  
FTF YEAR 3**

PARTNERSHIPS		Type	Year 2	Year 3	Status
			Agreement date		
1	IMARE / Mercy Corps	Private	14/12/2011		Signed
2	PRAPSA, CPLG/BID, Municipality of San Carlos Sija	Public-Private	23/02/2012		Signed
3	CADISNA/AVINA	Private	23/02/2012		Signed
4	MANCUERNA	Private	20/06/2012		Signed
5	HELVETAS	Private	06/08/2012		Signed
6	Acción Contra el Hambre, ACH	Private	31/07/2012		Signed
7	NUTRI-SALUD*	Private	26/09/2012		Signed
8	Proyecto Cadenas Productivas de Valor Rural / ANACAFÉ	Public-Private		18/02/2013	Signed
9	PRAPSA, CPLG/BID, Municipality of Sibilia	Public-Private		25/06/2013	Signed
11	PRAPSA, CPLG/BID, Municipality of San Pedro Sacatepéquez	Public-Private		26/06/2013	Signed
10	LGP, ARIDEN	Private		02/07/2013	Signed
COORDINATING ACTIONS		Type	Status		
1	Department of Food and Nutrition Security	National-Local	x		Active
2	Ministry of Finance	National-Local	x		Active
3	Red de Gestión Integrada del Recurso Hídrico	Local	x		Active
4	Ministry of Economy	Local	x		Active
5	Presidential Office for Women	National-Local	x		Active
6	Red Nacional de Grupos Gestores	National-Local	x		Active
7	PROFIL de JICA	Local	x		Active
8	Government of the Department of San Marcos	Local	x		Active
9	Government of the Department of Quetzaltenango	Local	x		Active
10	Centro Universitario de San Marcos	Local	x		Active
11	INFOM, regional main office in San Marcos	Local		x	Active
12	SEGEPLAN, San Marcos	National-Local		x	Active
13	SEGEPLAN, Quetzaltenango	National-Local		x	Active
14	Department of Health of San Marcos/MSPAS	Local		x	Active

Source: LGP records

The intervention strategy applied by the Local Governance Project's Feed the Future Initiative during this period included coordinated activities and inter-institutional work through alliances as the basis for comprehensive results in each of the project components.

Applying this strategy, that seeks to maximize intervention impact, FtF worked along the different project components – to strengthen citizen participation, to assist municipalities to increase own source revenues, to implement activities that will strengthen food and nutritional security – SAN – in the intervention area, to promote local economic development and entrepreneurship.

**The 8 partnership or coordinating actions target for Year 3 was met. To date, LGP is active in 11 partnerships and 14 coordinating actions.**

**3.4.5. INDICATOR 5: NUMBER OF FOOD SECURITY PRIVATE ENTERPRISES (FOR PROFIT), PRODUCERS ORGANIZATIONS, WATER USERS ASSOCIATIONS, WOMEN'S GROUPS, TRADE AND BUSINESS ASSOCIATIONS, AND COMMUNITY-BASED ORGANIZATIONS (CBOS) RECEIVING USG ASSISTANCE.**

The goal of this indicator for Year 3 was to double the number of water chlorination systems from the previous year of 16.

The LGP strategy was to work through a local NGO with proven experience in the area. The first phase of the water chlorination project was carried out by CADISNA (*Comunidades Asociadas por el Agua, Medioambiente, Desarrollo Integral e Infraestructura en la Cuenca del Río Naranjo*) and financed through an LGP small grant started in August 2012 and ended in April 2013. During this first phase, 20 water chlorination systems were installed in 18 communities in San Rafael Pie de la Cuesta, Río Blanco, San Cristóbal Cucho, San Carlos Sija, and Sibia.

The Project executed a second phase during which 12 additional chlorination systems were installed in Sibia, Quetzaltenango, San José El Rodeo, and San Cristóbal Cucho in San Marcos. The second phase ended in July 2013.

It is important to mention that coordinating actions and alliances maximized results. It should be emphasized that as a result of an alliance between the LGP and CADISNA, and the financing of the Foundation AVINA, another 5 water chlorination systems for human consumption were repaired and implemented in 10 populated centers in the municipalities of San Cristóbal Cucho and San José El Rodeo.

In total, 37 water chlorination systems were installed: 32 as the result of a small grant to CADISNA and 5 as a result of the CADISNA/AVINA/LGP alliance. As shown in the table below, 8 systems were installed in Year 2 and 29 in Year 3.



**Mr. Julio Rojas,  
Plumber, Aldea Piedra Grande,  
Sibilia, Quetzaltenango**

**TABLE 19  
INDICATOR 5  
FTF YEAR 3**

Municipality	Community	Year 2	Year 3	Total
<b>San Marcos</b>				
<b>San Rafael Pie de la Cuesta</b>	San José La Unión	1		1
	Patí	1		1
	Trinidad, La Cascada	1		1
	Peñaflor	1		1
	Chayen	1		1
	Las Palmas	1		1
	Italia	1		1
	Nueva Reforma	1		1
	Trinidad la Montaña		1	1
	El Nance		1	1
<b>Total</b>		<b>8</b>	<b>2</b>	<b>10</b>

<b>Río Blanco</b>	Pueblo Viejo		1	1
	Aldea la Loma, El Plan		1	1
	Aldea La Loma, Cuatro Comunidades		1	1
	Manzanas		1	1
	Duraznos		1	1
<b>Total</b>		<b>0</b>	<b>5</b>	<b>5</b>
<b>San Cristóbal Cucho</b>	Cantón san Sebastián		2	2
	Aguilar Domínguez		1	1
	Aldea Las Canoas		2	2
<b>Total</b>		<b>0</b>	<b>5</b>	<b>5</b>
<b>San José El Rodeo</b>	Caserío Santa Rita Ruíz		1	1
	Santa Ana Belén		1	1
	Caserío La Unión		1	1
	Cabecera Municipal		4	4
	Caserío El Mirador			
	Caserío La Gloria			
	Caserío Nuevo San José			
	Caserío Ramazzini			
	Caserío San Vicente			
	Santa Rita Ruíz		1	1
<b>Total</b>		<b>8</b>	<b>8</b>	
<b>Quetzaltenango</b>				
<b>San Carlos Sija</b>	El Progreso		1	1
<b>Total</b>			<b>1</b>	<b>1</b>
<b>Sibilia</b>	Caserío El Barreal		1	1
	Caserío La Unión		1	1
	Caserío Loma de En Medio		1	1
	Aldea Piedra Grande		1	1
	Caserío Los Ángeles		1	1
	Caserío Paraíso y Caserío Monte Bello		1	1
	Caserío San Luis		1	1
	Aldea El Rincón		1	1
<b>Total</b>		<b>0</b>	<b>8</b>	<b>8</b>
<b>GRAN TOTAL</b>		<b>8</b>	<b>29</b>	<b>37</b>

Source: LGP Records

The 37 water chlorination systems for human consumption installed in San Marcos and Quetzaltenango benefited a total of 25,807 inhabitants corresponding to 6,795 houses in 33 populated centers. Additionally, training was provided to 31 plumbers and 43 representatives of the COCODE, the chairmen of Water Committees, neighbors, deputy mayors, etc., on the service, operation and maintenance of the installed water chlorination systems.

Technical assistance for water improvement included:

- Awareness activities addressing GIRH and water-related diseases
- Creating and strengthening CAS (water and sanitation commissions) to assume responsibility for sustainability of water chlorination systems
- Determining water rates to include them in the water service regulations
- Creating RAS (urban and rural water and sanitation networks) in San Rafael Pie de la Cuesta and Río Blanco.
- Creating or strengthening OMAS to guide CAS activities
- Reviewing and approving water service regulations – basic for water governance

LGP worked to improve sustainability of water and sanitation services both in urban and rural areas. In rural areas, the goal was to promote sustainability of the chlorination systems installed. For that reason RAS – urban and rural water and sanitation networks – were organized in San Rafael Pie de la Cuesta and Río Blanco, in San Marcos, and in Sibilía, Quetzaltenango.

RAS are linked to municipalities through OMAS to facilitate the obtainment of chlorination tablets, exchange of experiences, and to monitor operation and maintenance of chlorination systems.

Another action to strengthen water governance was to update regulations and fees for water and sewage services. LGP provided assistance to update, and in some cases, publish updated regulations in the official newspaper – *Diario de Centro América*. (To be in force, regulations must first be published). This technical assistance was provided to the following municipalities by a combined team of LGP specialists: San Cristóbal Cucho, San José El Rodeo, Río Blanco, and San Pablo.

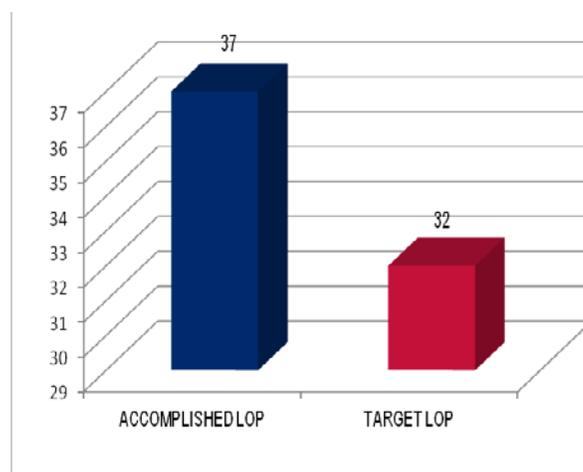


System installed in Monte Bello and Paraíso villages in Sibilía. May 23, 2013.

Water chlorinators were installed in gravity water systems that use chlorine tablets. Chlorinators installed are Pentair Water Rainbow 320 and 300-29x.

During Year 3, 29 chlorinators were installed. The cumulative total target of 32 chlorinators for this indicator was exceeded by 5.

**GRAPH 14**  
**FTF INDICATOR 5**  
**NUMBER OF URBAN AND RURAL WATER SUPPLIERS**  
**WHICH CHLORINATE WATER FOR DOMESTIC CONSUMPTION**  
**LIFE OF PROJECT**

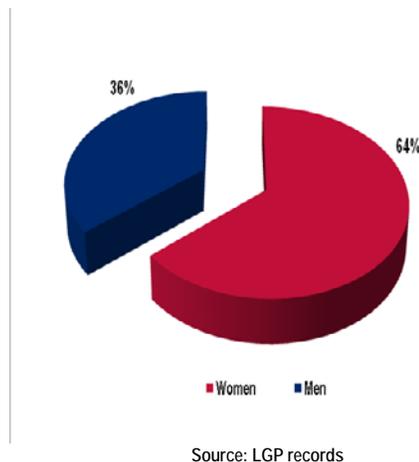


Source: LGP Records

**3.4.6. INDICATOR 6: USG FACT: NUMBER OF INDIVIDUALS WHO RECEIVED USG ASSISTED TRAINING, INCLUDING MANAGEMENT SKILLS AND FISCAL MANAGEMENT TO STRENGTHEN LOCAL GOVERNMENT AND/OR DECENTRALIZATION (DISAGGREGATED BY MUNICIPALITY, GENDER AND ECONOMICAL SECTOR) (FTF)**

The planned target for Year 3 is 760 individuals (304 women/456 men) who received USG assisted training to strengthen local government and/or decentralization. During Year 3, a total of **3,818 individuals received USG assisted training** (2,433 women/1,385 men) (See Annex 4). The participation of women during Year 3 was **64%**, as shown in the following graph.

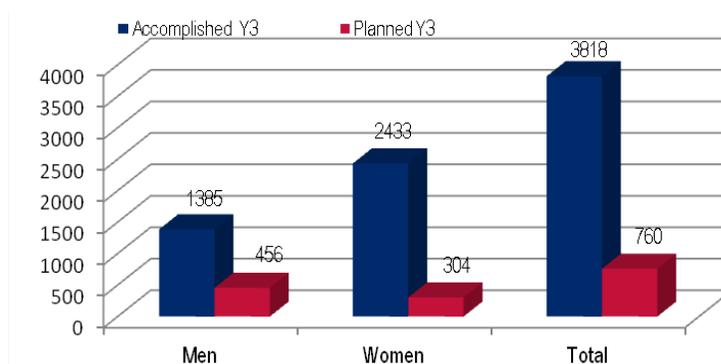
**GRAPH 15**  
**FTF INDICATOR 6**  
**PERCENTAGE OF WOMEN WHO RECEIVED USG ASSISTED TRAINING**  
**FTF YEAR 3**



The training goal for Year 3 was considerably exceeded due to the following reasons:

- ✓ Intensive training activity took place during the first quarter of Y3. A total of 2,094 people, 84% of them women, were trained. Of all trainees, 75% were trained by Instituto Tulán's PROLOSAN program and OMMs working on SAN. The Project completed the five-month (208 hours) training of Promoters in Food Security and Nutrition (PROLOSAN) in nine municipalities. The training modules were developed by professional staff employed by the Instituto Tulán. These promoters will be responsible for monitoring indicators that measure livelihoods in their communities, for providing input into early warning systems, and sending first-hand information to COMUSAN to generate official data. The first municipality to accredit its PROLOSAN through the MSPAS health center was San Juan Ostuncalco, Quetzaltenango.
- ✓ ANAM requested technical and financial assistance from LGP to address its two main topics of interest for 2013: 1) The Anticorruption Law and 2) Increasing municipal own source revenues. LGP made an initial presentation during the 2013 Annual National Assembly. Upon a first review of the Anticorruption Law and an analysis of the modified crimes, LGP prepared a draft of the Guide to Interpret Modifications to the Law and Implications for Municipal Activities and Decisions. To facilitate attendance of municipal authorities and officers and to reach the most distant municipalities, LGP and ANAM planned a nationwide training tour during the third quarter of Y3. LGP trained 1,147 municipal authorities and officers (18% women) in the western region. Topics included increasing own-source revenue, budget execution, and the Anticorruption Law.

**GRAPH 16. FTF INDICATOR 6  
NUMBER OF INDIVIDUALS WHO RECEIVED USG ASSISTED TRAINING  
FTF YEAR 3**



Source: LGP records

**Target for Year 3 was exceeded by 3,058 individuals (2,129 women/929 men) based on the target described in the M&E Plan.**

According to Mission Order 2533, LGP evaluated the effectiveness of training workshops through a permanent monitoring system during FY3.

***Survey Results***

FtF held 85 training workshops during Year 3; 100% of all training activities were evaluated. Results, by quarter, appear in the following table.

**TABLE 2. INDICATOR 6  
FTF YEAR 3  
Assessment of perceived training impact during Year 3**

Training workshop <sup>*/</sup>	Total Attendance (average) 1/	Female participants 1/	% Women	% of previous knowledge		% of applicability 3/		User satisfaction 4/	TOTAL PARTICIPANTS	
				Pre 2/	Post 2/	Pre 3/	Post 3/		Pre	Post
Oct – Dec	2094	1759	84%	19%	91%	44%	89%	99%	2097	2091
Jan – March	577	463	80%	3%	98%	29%	97%	100%	577	577
April-June	921	171	19%	6%	83%	95%	84%	96%	940	903
July-Sept	95	32	34%	15%	92%	97%	91%	99%	92	98
<b>TOTAL</b>	<b>3687</b>	<b>2425</b>	<b>66%</b>	<b>13%</b>	<b>90%</b>	<b>56%</b>	<b>89%</b>	<b>98%</b>	<b>3706</b>	<b>3669</b>

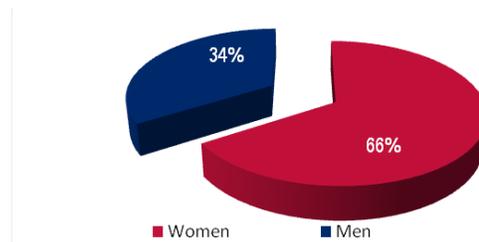
Source: LGP records

<sup>3</sup> USAID/Guatemala Mission Order (MO) 253<sup>3</sup> clarifies the roles and responsibilities for planning, implementing and monitoring training/human capacity development (HCD) interventions. It also provides a summary of policy guidance and procedures for efficient design, implementation, monitoring, assessment and evaluation of HCD programs conducted offshore or in-country in support of the Mission's Strategic Objectives (SOs). In compliance with MO 253, LGP has developed this Annual Training Plan attached to LGP's Year 2 Work Plan, which will be submitted for USAID/Guatemala's approval. MO 253 was delivered by USAID/Guatemala in April 2010.

The difference between the number of persons responding to pre- and post-evaluations is that people with low schooling or are illiterate often decide not to complete the short form.

Among the 3,687 (average) people who did complete pre- and post-training evaluation forms, 66% were women.

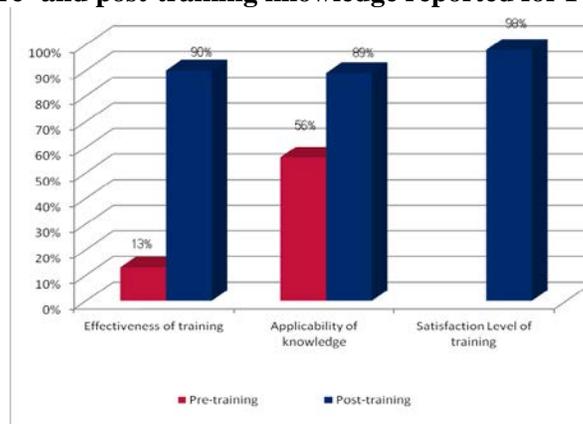
**GRAPH 17**  
**FTF INDICATOR 6**  
**Female Participation Y3**



Source: LGP records

Workshops evaluated during Year 3 show that 13% of participants had “considerable or some” knowledge on the topic; 90% responded that their knowledge had improved after the training. FtF assessed perceived applicability of acquired knowledge. In the forms, participants were asked to indicate if they expected to apply what they had learned to their jobs. Pre-training surveys indicated that 56% of respondents expected to use acquired knowledge in their jobs. After the training, 89% of trainees responded that they would use acquired knowledge in their jobs. FtF also assessed satisfaction with training workshops held during Year 3. Post-training surveys indicated that that 98% of participants would recommend the training to other people. See the following graph:

**GRAPH 18**  
**FTF INDICATOR 6**  
**Pre- and post-training knowledge reported for FTF Y3**



Source: LGP records

### 3.4.7. INDICATOR 7: NUMBER OF LOCAL MECHANISMS SUPPORTED WITH USG ASSISTANCE FOR CITIZENS TO ENGAGE THEIR SUB-NATIONAL GOVERNMENT

The target for Y3 is to provide assistance for 15 local mechanisms to engage citizen participation. The Project provided technical assistance to 92 local mechanisms as described in the following table:

**TABLE 21  
INDICATOR 7  
FTF YEAR 3**

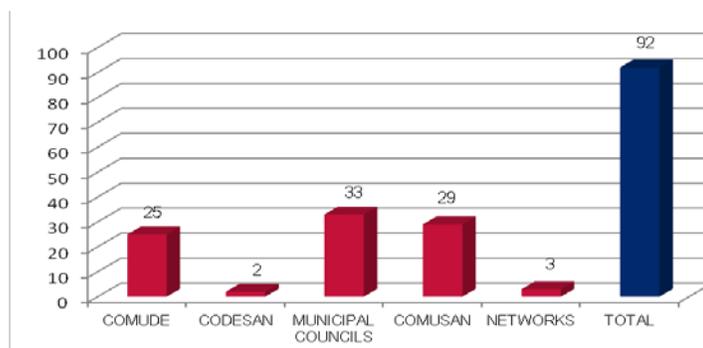
Indicator 7 USG FACT Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government	
Type of Mechanism	Year 3
<b>COMUDE</b>	
SAN PEDRO SACATEPÉQUEZ	0
PALESTINA DE LOS ALTOS	2
SAN JUAN OSTUNCALCO	2
SAN ANTONIO SACATEPÉQUEZ	4
SAN JOSÉ EL RODEO	1
SAN RAFAEL PIE DE LA CUESTA	1
SAN PABLO	1
SAN CRISTÓBAL CUCHO	3
SAN CARLOS SIJA	3
SIBILIA	0
RIO BLANCO	4
SAN LORENZO	4
<b>TOTAL COMUDE</b>	<b>25</b>
<b>CODEDESAN</b>	
Quetzaltenango	1
San Marcos	1
<b>TOTAL CODEDESAN</b>	<b>2</b>
<b>MUNICIPAL COUNCILS</b>	
SAN PEDRO SACATEPÉQUEZ	2
PALESTINA DE LOS ALTOS	2
SAN JUAN OSTUNCALCO	3
SAN ANTONIO SACATEPÉQUEZ	3
SAN JOSÉ EL RODEO	1
SAN RAFAEL PIE DE LA CUESTA	3

SAN PABLO	2
SAN CRISTÓBAL CUCHO	3
SAN CARLOS SIJA*	3
SIBILIA*	4
RIO BLANCO	4
SAN LORENZO	3
<b>TOTAL MUNICIPAL COUNCILS</b>	<b>33</b>
<b>COMUSAN</b>	
SAN CRISTÓBAL CUCHO	3
PALESTINA DE LOS ALTOS	1
SAN RAFAEL PIE DE LA CUESTA	3
SAN PABLO	4
SAN PEDRO SACATEPÉQUEZ	3
SAN ANTONIO SACATEPÉQUEZ	3
SAN LORENZO	2
SAN CARLOS SIJA	1
SAN JOSÉ EL RODEO	2
SAN JUAN OSTUNCALCO	3
RIO BLANCO	3
SIBILIA	1
<b>TOTAL COMUSAN</b>	<b>29</b>
<b>NETWORKS</b>	
MWO Quetzaltenango	1
MWO San Marcos	1
DMP Quetzaltenango	1
<b>TOTAL NETWORKS</b>	<b>3</b>
<b>TOTAL</b>	<b>92</b>

Source: LGP records

LGP assists several local mechanisms linked to the twelve target municipalities, which indirectly strengthen other municipalities from Quetzaltenango and San Marcos that are part of CODESAN, OMM department networks, GIRH networks, the regional competitiveness commissions, and Mancomunidad MANCUERNA.

**GRAPH 19**  
**FTF INDICATOR 7**  
**TYPE OF LOCAL MECHANISMS SUPPORTED WITH USG ASSISTANCE**  
**FTF YEAR 3**



Source: LGP records

During this period, LGP implemented actions to strengthen municipal councils and link them to COMUDE's through their corresponding boards. The project also worked with the Quetzaltenango and San Marcos SEGEPLAN delegations to promote municipal council and officer involvement in the development of local government plans, which are part of the national planning system.

Municipal councils requested that LGP technical assistance to COMUDE focus on clarifying both Municipal Council and Municipal Development Council roles and responsibilities, as well as on promoting the involvement of women in Municipal Commissions for Women (CMM).

LGP focused COMUSAN strengthening actions on three aspects: 1) communication and monitoring of SAN annual operation plans (POASAN) 2) strengthening local capacity to manage early warning systems using the sentinel site methodology; and 3) implementing *sitios centinela* (early warning systems).

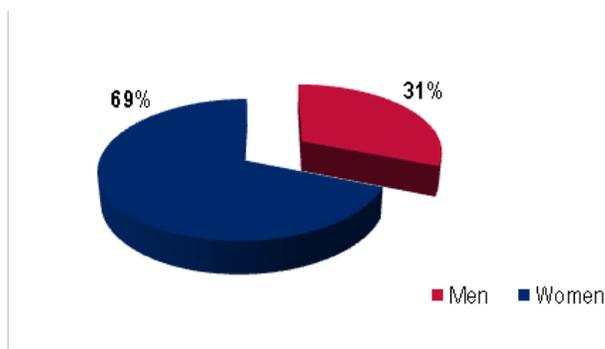
LGP worked with all 12 target municipalities to review responsibilities of COMUSAN members in performing their duties. Among these, a priority is to inform the population about malnutrition causes, consequences, and how to combat it. LGP helped to finance informational pieces to distribute during community and authority meetings.

**This indicator's goal for Year 3 was exceeded.**

### **3.4.8. INDICATOR 8: NUMBER OF PEOPLE TRAINED IN CHILD HEALTH AND NUTRITION THROUGH USG-SUPPORTED PROGRAMS**

Indicator #8 was added with Amendment No.3 to LGP/FtF M&E Plan on June 4, 2013, during the April-June quarter to monitor and evaluate training on health and child nutrition. The project's goal for Year 3 was to train 460 people (184 women and 276 men) on this topic. During Year 3, a total of **692 individuals received USG assisted training child health and nutrition** (481 women/211 men) (See Annex 5). The participation of women during Year 3 was **69%**, as shown in the following graph.

**GRAPH 20  
FTF INDICATOR 8  
Female Participation Y3**



Source: LGP records

**Target for Year 3 was exceeded by 232 individuals (women) based on the target described in the M&E Plan.**

FtF held 13 training workshops during Year 3 and 100% of all training activities were evaluated. Results, by quarter, appear in the following table.

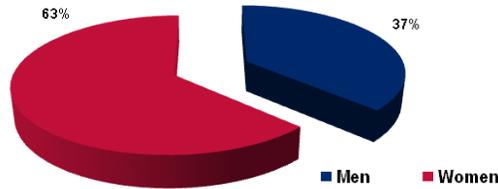
**TABLE 22  
INDICATOR 8  
Assessment of perceived training impact during Year 3**

Training workshop*1/	Total Attendance (average) 1/	Female participants 1/	% Women	% of previous knowledge		% of applicability 3/		User satisfaction 4/	TOTAL PARTICIPANTS	
				Pre 2/	Post 2/	Pre 3/	Post 3/		Pre	Post
Oct – Dec	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Jan – March	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
April-June*	475	300	63%	15%	95%	94%	94%	98%	472	479
July-Sept	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>TOTAL</b>	<b>475</b>	<b>300</b>	<b>63%</b>	<b>15%</b>	<b>95%</b>	<b>94%</b>	<b>94%</b>	<b>98%</b>	<b>472</b>	<b>479</b>

\* This indicator was added with Amendment No.3 to LGP/FtF Monitoring and Evaluation Plan, approved on June 4, 2013.

Among the 475 (average) people who did complete pre- and post-training evaluation forms, 63% were women, as shown in the following graph:

**GRAPH 21**  
**INDICATOR 8 USG FACTS 2.2:**  
**Training impact assessment for LOP**  
**Female participation**



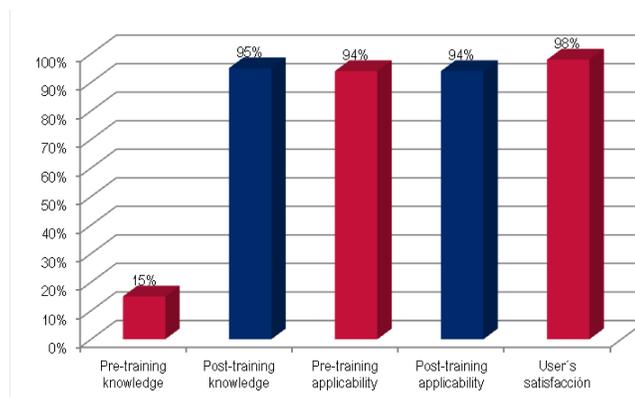
Source: LGP records

During Year 3, LGP measured the effectiveness of training activities. 15% of participants indicated they had “considerable” or “some” knowledge on the topic before training. By the end of the workshops, 95% indicated having improved their initial knowledge.

Applicability of acquired knowledge was also assessed. Participants were asked to express whether they expected to apply what they learned to their jobs. According to the pre- and post-training surveys, 94% of participants believed they would use the new knowledge in their jobs. An overall success indicator for each workshop was participant satisfaction level. The evaluation showed that 98% of participants would recommend the training workshops to others.

The following graph shows total results during Year 3 of the Project.

**GRAPH 22**  
**FTF INDICATOR 8**  
**Pre- and post-training knowledge reported for FTF Y3**



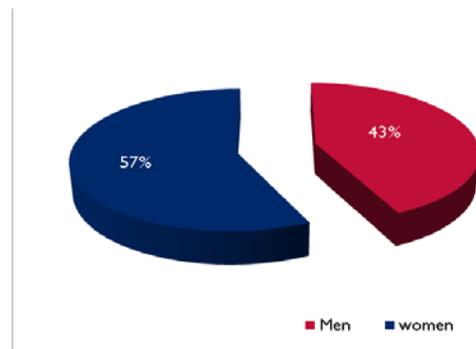
Source: LGP records

**This indicator’s goal for Year 3 was exceeded.**

### 3.4.9. INDICATOR 9: NUMBER OF INDIVIDUALS WHO HAVE RECEIVED USG SUPPORTED SHORT-TERM AGRICULTURAL SECTOR PRODUCTIVITY OR FOOD SECURITY TRAINING

Indicator #9 was also added during the June-April quarter through Amendment No. 3 to monitor and evaluate short term training related to agricultural production or food security. The goal for Year 3 was to train 300 people (120 women and 180 men). During Year 3, a total of **474 individuals received USG supported short-term agricultural sector productivity or food security training** (270 women/204 men) (See Annex 6). The participation of women during Year 3 was **57%**, as shown in the following graph.

**GRAPH 23**  
**INDICATOR 9 USG FACTS 2.2:**  
**Training impact assessment for LOP**  
**Female participation**



Source: LGP records

During Y3, LGP developed 7 workshops. Topics included producer associations, food security, best agricultural practices and feeding dairy cattle, chlorination to improve the quality of water and support SAN, and reforestation of water recharge zones to preserve water, among others.

**Target for Year 3 was exceeded by 174 individuals (150 women/24 men) based on the target described in the M&E Plan.**

It is important to mention that all workshops held were evaluated by means of a pre- and post-survey. Gender breakdown, effectiveness, relevance, and satisfaction figures were obtained from this evaluation.

Results, by quarter, appear in the following table.

**TABLE 23  
INDICATOR 9  
Assessment of perceived training impact during Year 3**

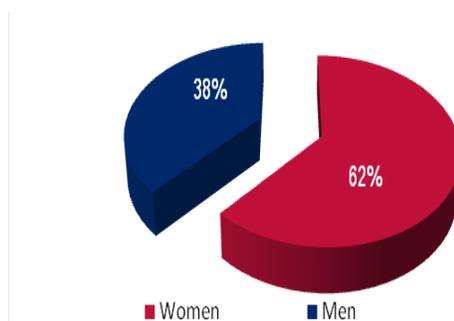
Training workshop <sup>1/</sup>	Total Attendance (average) 1/	Female participants	% Women	% of previous knowledge		% of applicability		User satisfaction
				Pre	Post	Pre	Post	Post
Oct – Dec	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Jan – March	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
April-June*	464	286	62%	23%	89%	74%	89%	89%
July-Sept	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>TOTAL</b>	<b>464</b>	<b>286</b>	<b>62%</b>	<b>23%</b>	<b>89%</b>	<b>74%</b>	<b>89%</b>	<b>89%</b>

\* This indicator was added with Amendment No.3 to LGP/FtF Monitoring and Evaluation Plan, approved on June 4, 2013.

Source: LGP records

The following graph shows that, out of the 464 people who participated in the pre- and post-training evaluation, 62% were women. The participation of women in this indicator exceeded the 40% established in the M&E Plan of the Project as there was strong participation of women in the topics related to associativity, good agricultural practices, dairy cattle feeding (i.e. pasture and fodder), and reforestation in the water recharge areas for water conservation.

**GRAPH 24  
INDICATOR 9 USG FACTS 2.2:  
Training impact assessment for LOP  
Female participation**



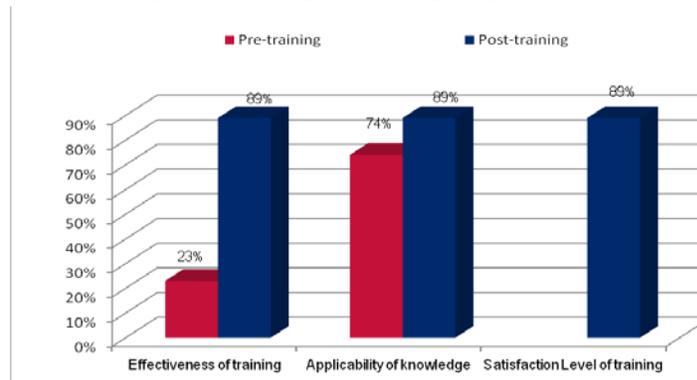
Source: LGP records

This indicator evaluated the effectiveness of the events by means of pre- and post-evaluation forms. As shown in the graph below, 23% of the participants indicated that they already had some knowledge about the topics. At the end of the event, 89% of people stated that they expanded their initial knowledge.

The applicability of the knowledge acquired in the training courses was evaluated. The results indicate that 74% of the participants stated on the previous evaluation forms that they might be able to apply the acquired knowledge at work, compared with 89% of the participants who stated at the end of the training programs that they would apply what they had learned in their daily work, which would make their job easier.

Another aspect evaluated in the training programs was participant satisfaction levels. The results indicate that 89% of the participants were satisfied with the content, logistics, and speakers. Likewise, they said they would be willing to recommend these trainings to other people.

**GRAPH 25**  
**FTF INDICATOR 8**  
**Pre- and post-training knowledge reported for FTF Y3**



Source: LGP records

# 4.0 SUMMARY ASSESSMENT

In summary, in its fourth year of implementation, **LGP surpassed 12 of the sixteen targets set for the period, while it also produced the expected results for 3. LGP did not meet the target for the remaining indicator**, as required. According to the LGP M&E Plan, Eastern Region: indicator 5 was measured during Years 1- 3; and indicator 10 was only measured during Year 2 (election year). Western Region: indicator 2 there is no goal for this period, due to completion of activities in this area.

**TABLE 24  
SUMMARY ASSESSMENT**

THIRD M&E LGP REPORT Summary of goal compliance for Year 4				
Indicator No.	Summary of Indicator	Goal	Result	Compliance
EASTERN REGION (Year 4)				
1	Budget execution public reports	13/13	13/13	Complied
2	Municipalities receiving assistance to increase own-source revenue	13/13	13/13	Complied
3	Fiscal Independence	12.36%	14.16%	Exceeded
4	User satisfaction regarding drinking water service in urban areas	68.2%	62.7%	Not reached
5	Municipal Development Plans designed or updated	10	10	Complied*
6	People trained with LGP financial or technical assistance	0	696 (370 w/326m)	Exceeded
7	Initiatives promoted by ANAM or the Instancia Municipalista	9	15	Exceeded
8	Basic services provided by ANAM to members	250	732	Exceeded
9	LGP supported local mechanisms	25	26	Exceeded
10	People reached during election year	40,000 (20,000w/20,000m)	45,494 (23,639w/21,855m)	Exceeded**

WESTERN REGION (FtF) (Year 3)				
1	Budget execution public reports	8/12	12/12	Exceeded
2	Fiscal Independence	N/A	N/A	***
3	Municipal Development Plans strengthened	2	3	Exceeded
4	Public-private partnerships	8	8	Complied
5	Water users associations receiving USG assistance	Increase 16 over the previous year	29	Exceeded
6	People trained with LGP financial or technical assistance	760 (304w/456m)	3,818 (2,433w/1,385m)	Exceeded
7	LGP supported local mechanisms	15	92	Exceeded
8	People trained in child health and nutrition	460 (184w/276m)	692 (481w/211m)	Exceeded
9	People trained in agricultural sector productivity or food security	300 (120w/180m)	474 (270w/204m)	Exceeded

**SOURCE: LGP records**

- \* M&E Plan cumulative goal. Data collection took place only in Years 1, 2, and 3 of LGP due to completion of the Project's technical assistance in the Eastern region of Guatemala.
- \*\* 2011 was an election year in Guatemala. Data collection took place only in Year 2 of LGP.
- \*\*\* According to LGP M&E Plan, there is no goal for Year 3, due to completion of LGP/FtF special activity.

# 5.0 PERFORMANCE INDICATOR REFERENCE SHEETS. EASTERN REGION OF GUATEMALA

**Performance Indicator Reference Sheet**

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of Municipalities with budgets and expenditure reports available to public within 3 months of completion			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s):2010-2013			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> Budget and expenditure reports refer to municipal financial records. Income and expenditure reports are published separately. Only Municipalities publishing both income and expenditure reports, in compliance with FOIL, will be reported.			
<b>Unit of Measure:</b> Number of sub-national governments			
<b>Disaggregated by:</b> Municipality, expenditure and income reports.			
<b>Justification and management usefulness:</b> This indicator measures local governments' compliance with the requirement of the Freedom of Information Law (FOIL) to publish detailed budget, income and expenditure reports within three months of report completion. Compliance with this requirement is a strong indicator of increased transparency.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will collect information on <a href="http://portalqj.minfin.gob.gt">http://portalqj.minfin.gob.gt</a> by the end of the first quarter of each year for each municipality.			
<b>Data Source:</b> Government records published at <a href="http://portalqj.minfin.gob.gt">http://portalqj.minfin.gob.gt</a>			
<b>Method of data acquisition by USAID:</b> Annual Performance Reports and annual M&E reports.			
<b>Frequency and timing of data acquisition by USAID:</b> Annually			
<b>Estimated Cost of Data Acquisition:</b> Low cost, information will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG official hard copy and electronic files at LGP			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment :</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed quarterly through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Portfolio Review.			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews.			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline Year: 2009 3/13 Municipalities			
<b>Other Notes:</b> Baseline is FY 2009 (reported according to FOIL in April 2010. Targets for Years 2 and 3 refer to Guatemala's FY 2010 and 2011, respectively. Total for the life of the project is cumulative			
<b>PERFORMANCE INDICATOR VALUES</b>			
<b>Year</b>	<b>Target</b>	<b>Actual</b>	<b>Notes</b>
2010	1/13	12/13	Exceeded
2011	10/13	13/13	Exceeded
2012	13/13	13/13	Exceeded
Total	13/13		

**Performance Indicator Reference Sheet**

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> USG FACTS 2.1 Number of Sub-National Governments receiving USG assistance to increase their annual own source revenues			
<b>Is this an annual Performance Plan and Report indicator?</b> No ___ Yes <u>x</u> for Reporting Year(s) <u>2010-2013</u>			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> Annual own source revenues are calculated by dividing annual revenues derived from taxes and fees levied by sub-national governments (receiving USG assistance)+ annual unrestricted transfers to those sub-national governments from the central government by annual gross domestic product. (Taxes+Fees+Transfers/GDP). Sub-national governments include, for example, municipal and regional governments. Own-source revenues are revenues derived from taxes and fees levied by sub-national governments.			
<b>Unit of Measure:</b> Number of sub-national governments			
<b>Disaggregated by:</b> None			
<b>Justification and Management Utility:</b> An annual own-source revenue as a percent of GDP is a measure of sub-government fiscal autonomy. An appropriate degree of fiscal autonomy is essential if citizens are to hold sub-national elected officials accountable for sub-national public decision making. An increase in "annual own-source revenues" suggests greater sub-national fiscal autonomy.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will conduct field visits, analyze municipal records and interview municipal authorities. The Implementing Partner will provide USAID with Quarterly Reports stating the results.			
<b>Data Source:</b> Quarterly performance reports from implementing partner, <a href="http://www.siafmuni.minfin.gob.gt">www.siafmuni.minfin.gob.gt</a> ; <a href="http://portalgl.minfin.gob.gt">http://portalgl.minfin.gob.gt</a> and Municipal revenue reports (these should be available monthly per the guidelines of the Freedom of Information Law (FOIL))			
<b>Method of data acquisition by USAID:</b> Quarterly Performance Reports and annual M&E reports.			
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly			
<b>Estimated Cost of Data Acquisition:</b> Low cost, information will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG official hard copy and electronic files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment :</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> Site visits, spot checks of Implementing Partner data, interviews with municipal officials, review of municipal records, and review of SIAF public records			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews.			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0/2009			
<b>Other Notes:</b> Total for the life of the project is cumulative			
<b>PERFORMANCE INDICATOR VALUES</b>			
<b>Year</b>	<b>Target</b>	<b>Actual</b>	<b>Notes</b>
2010	7/13	13/13	Exceeded
2011	11/13	12/13	Exceeded
2012	13/13	13/13	Met
2013	13/13	13/13	Met
Total	13/13	13/13	Total municipalities life of Project

**Performance Indicator Reference Sheet**

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Fiscal Independency of "targeted" Municipalities (IR level indicator)			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s) 2010-2012			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> The fiscal independency indicator measures the level of each municipality's financial self-sufficiency. The percentage represents the difference between each municipality's own-source revenue and its total income (Own source revenue/total income = Fiscal independence percentage).			
<b>Unit of Measure:</b> percentage of fiscal independence			
<b>Disaggregated by:</b> Municipality			
<b>Justification and Management Utility:</b> The financial situation of municipal governments in Guatemala is in general very poor. In most cases, this makes them rely on central government's transfers and loans by various sources to be able to operate. USAID assistance is directed to make targeted Municipalities more transparent, responsive, and accountable. Along with increased management capabilities, their financial independence is a key element in the equation. The indicator will serve to monitor the efforts made by each municipality to increase their fiscal independence and will allow USAID to assess the degree to which local governments are being more accountable. Baseline will be gathered at the end of FY 2010 due to the recent passing of the Municipal Code which implies significant changes to the amount of money transferred from National Government to each Municipality.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The implementing partner will create a database on excel format including information about Municipalities' own-source revenue as compared to their total income.			
<b>Data Source:</b> The GOG Portal of Local Governments, SIAF-Muni and Municipal fiscal records.			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the implementing partner and will be presented to USAID annually			
<b>Frequency and timing of data acquisition by USAID:</b> annually			
<b>Estimated Cost of Data Acquisition:</b> Low cost data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> USAID/DG electronic and hard copy official files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment:</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> Site visits, interviews with municipal officials, review of municipal records, review of SIAF public records.			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed each year upon data availability (March each year) through the implementing partner's Performance and M&E reports			
<b>Presentation of Data:</b> Portfolio Review			
<b>Review of Data:</b> DGO M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Narrative in portfolio review for presentation of some narrative information in the Annual Performance Plan and Report			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline/Year:11.61% .Data 2010 (data available in April 2011)			
<b>Other Notes:</b> Total for the life of the project is cumulative			
<b>PERFORMANCE INDICATOR VALUES</b>			
<b>Year</b>	<b>Target</b>	<b>Actual</b>	<b>Notes</b>
2010	Baseline	11.61%	Met
2011	Increase 0.5 percentage points over the baseline	14.72%	Exceeded
2012	Increase 0.25 percentage points over the previous year	14.16%	Exceeded

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Level of citizen satisfaction with public service delivery at the time of payment			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s) 2010-2013			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> Public service delivery refers to municipal water service. Citizen satisfaction level includes service delivery in terms of quality, coverage, fees and customer service. The indicator measures the level of citizen satisfaction with public services delivered by Municipalities			
<b>Unit of Measure:</b> percentage points			
<b>Disaggregated by:</b> Municipality			
<b>Justification and Management Utility</b> This indicator will be measured through a survey which will be conducted during October–December 2010 (baseline) and the end of the Project. The survey sample will be collected from two different target groups (in each target Municipality): 1) users at the moment of payment at the municipal cashiers and 2) communities' representatives at the regular meetings of COMUDE (as the reference group). Baseline year will be first quarter of Year 2.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will conduct a survey to collect the information. One survey will be conducted at the beginning of the Project and a second one at the end.			
<b>Data Source:</b> Survey developed by the Implementing Partner.			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID			
<b>Frequency and timing of data acquisition by USAID:</b> Biennial			
<b>Estimated Cost of Data Acquisition:</b> Low cost data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> USAID/DG electronic and hard copy official files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment:</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Mission Portfolio Reviews			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> 63.2%			
<b>Other Notes</b> Baseline available in July 2011);			
<b>PERFORMANCE INDICATOR VALUES</b>			
Year	Target	Actual	Notes
2011	Baseline	63.2%	Met
2013	5 percentage points over the baseline	62.7%	Not met
Total	5 percentage points over the baseline	62.7%	

**Performance Indicator Reference Sheet**

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of strategic or development plans strengthened through participatory means			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s) 2010-2013			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> Strategic development plans are part of a consultation process that Municipalities and/or <i>mancomunidades</i> undertake to identify economic potential opportunities, to improve business environment, and promote public-private partnerships to leverage additional resources to improve service delivery for the municipality and/or <i>mancomunidades</i> .			
<b>Unit of Measure:</b> number of Municipalities			
<b>Disaggregated by:</b> Municipality			
<b>Justification and Management Utility:</b> "Strengthened" refers to the design, modification and/or updating of strategic or development plans.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will conduct field visits, analyze municipal records and interview municipal authorities.			
<b>Data Source:</b> Hard copies of plans; public records at the municipal level and participation registers.			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID			
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly			
<b>Estimated Cost of Data Acquisition:</b> Low cost data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> USAID/DG electronic and hard copy official files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment:</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Mission Portfolio Reviews			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 1/ 2009			
<b>Other Notes:</b> Total for the life of the project is cumulative			
<b>PERFORMANCE INDICATOR VALUES</b>			
Year	Target	Actual	Notes
2010	1	1	Met
2011	2	7	Exceeded
2012	10	10	Met cumulative life of Project
Total	7/13	10	Met (LOP)

**Performance Indicator Reference Sheet**

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> USG FACTS 2.2 Number of Individuals who receive USG-assisted training, including management skills and fiscal management, to strengthen local government and/or decentralization			
Is this an annual Performance Plan and Report indicator? No ___ Yes <u> x </u> , for Reporting Year(s) 2010-2013			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> USG-assisted training refers to all training or education events whether short-term or long-term, in country or abroad.			
<b>Unit of Measure:</b> Number of individuals			
<b>Disaggregated by:</b> Disaggregated by municipality, association of municipalities, and gender			
<b>Justification and Management Utility:</b> Impact and quality of effective citizen participation and advocacy of Municipalities will be improved as a result of training provided by the Project in, and helpful to, local governance and/or decentralization			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will develop a training monitoring and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.			
<b>Data Source:</b> Training monitoring and follow up system developed by the Implementing Partner			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly			
<b>Estimated Cost of Data Acquisition:</b> Low cost data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG electronic and hard copy official files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment:</b> April 2010			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> 2012			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the annual Performance and Plan reports			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0/2009.			
<b>Other Notes:</b>			
<b>PERFORMANCE INDICATOR VALUES</b>			
Year	Target	Actual	Notes
2010	200 ( 80w/120m)	1,324 (354w/970m)	Exceeded
2011	400 (120w/280m)	1,951 (1,238w/713m)	Exceeded
2012	1722 (688w/1034m)	4,524 (1,522w/3002m)	Exceeded
2013	N/A	696 (370w/326m)	Exceeded
Total	5422 (2168w/3254m)	8,495 (3,484w/5,011m)	Cumulative Life of Project, Exceeded

Performance Indicator Reference Sheet			
Name of Strategic Objective: Ruling Justly: More Responsive, Transparent Governance			
Name of Intermediate Result: Greater Transparency and Accountability of Governments			
Name of Indicator: Number of reform initiatives supported by ANAM that incorporate demands to strengthen local government and decentralization.			
Is this an annual Performance Plan and Report indicator? No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> for Reporting Year(s): 2010-2012			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
Precise Definition(s): Reform initiatives include: revision, analysis, and interpretation of: public/municipal policy, rulings, legislative initiatives, and judicial interpretation supported by ANAM, AGAAI, <i>Instancia Municipalista</i> , or any other municipal association.			
Unit of Measure: Number of reform initiatives presented			
Disaggregated by: N/A			
Justification and Management Utility: This indicator measures the level of advocacy of ANAM or any other municipal association in representation of its members			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
Data collection method: The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow-up on training activities; conduct field visits, analyze training reports.			
Data Source: ANAM, AGAAI and <i>Instancia Municipalista</i> records			
Method of data acquisition by USAID: Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
Frequency and timing of data acquisition by USAID: Annually			
Estimated Cost of Data Acquisition: Low cost data will be gathered as part of the regular monitoring activities			
Individual responsible at USAID: Edward González, COR Local Governance Project			
Individual responsible for providing data to USAID: Sylvia Dávila, USAID Local Governance Project, Chief of Party			
Location of Data Storage: DG electronic and hard copy official files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
Date of Initial Data Quality Assessment: N/A			
Known Data Limitations and Significance (if any): N/A			
Actions Taken or Planned to Address Data Limitations: N/A			
Date of Future Data Quality Assessments: N/A			
Procedures for Future Data Quality Assessments: Site visits spot checks of the Implementing Partner data, interviews with beneficiaries, and review training monitoring and follow-up reports.			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
Data Analysis: Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports.			
Presentation of Data: Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report.			
Review of Data: Democracy M&E meetings, Mission portfolio reviews.			
Reporting of Data: Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report.			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
Notes on Baselines/Targets: Baseline/Year: 2/2009. In 2009 a total of two amendments were approved, published and enforced; one to the Municipal Civil Service Law and another one to the Municipal Employees' Labor Rights Law.			
Other Notes: Total for the life of the project is cumulative			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2010	5	13	Exceeded
2011	5	6	Exceeded
2012	9	9	Met
2013	9	15	Exceeded
Total	17	43	Exceeded

Performance Indicator Reference Sheet			
Name of Strategic Objective: Ruling Justly: More Responsive, Transparent Governance			
Name of Intermediate Result: Greater Transparency and Accountability of Governments			
Name of Indicator: Number of services provided by ANAM to its members			
Is this an annual Performance Plan and Report indicator? No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> for Reporting Year(s) 2011-2013			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
Precise Definition(s): The indicator refers to the number of services provided by ANAM in at least one of the following areas: (1) legal and judicial assistance; (2) training and knowledge management (only training events will be reported, not number of persons or municipalities participating in same events); (3) communication (support to FOIL implementation and support to development of communication strategies); and 4) technical assistance in financial issues (Guatecompras, Intergovernmental Transfers, SICOIN-GL implementation and others).			
Unit of Measure: Number of Services			
Disaggregated by: municipality and service			
Justification and Management Utility: This indicator is oriented to measure ANAM's improvement in service delivery. Service units at ANAM will not be created until the end of the first year of the Project.			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
Data collection method: The Implementing Partner will develop a training monitoring and follow-up system indicating the process to monitor, and follow up on training activities; conduct field visits, analyze training reports.			
Data Source: ANAM records			
Method of data acquisition by USAID: Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
Frequency and timing of data acquisition by USAID: Quarterly			
Estimated Cost of Data Acquisition: Low cost data will be gathered as part of the regular monitoring activities			
Individual responsible at USAID: Edward González, COR Local Governance Project			
Individual responsible for providing data to USAID: Sylvia Dávila, USAID Local Governance Project, Chief of Party			
Location of Data Storage: DG electronic and hard copy official files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
Date of Initial Data Quality Assessment: N/A			
Known Data Limitations and Significance (if any): N/A			
Actions Taken or Planned to Address Data Limitations: N/A			
Date of Future Data Quality Assessments: N/A			
Procedures for Future Data Quality Assessments: N/A			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
Data Analysis: Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
Presentation of Data: Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
Review of Data: Democracy M&E meetings, Mission portfolio reviews			
Reporting of Data: Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Reports			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
Notes on Baselines/Targets: Baseline/Year: 0/June-2010. Service units at ANAM will not be created until the end of the first year of the Project; therefore there target for Year 1 is zero.			
Other Notes: Total for the life of the project is cumulative			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2010	0	37	Exceeded
2011	40	202	Exceeded
2012	300	1,009	Exceeded

2013	250	732	Exceeded
Total	750	1980	Cumulative LOP, Exceeded

Performance Indicator Reference Sheet			
Name of Strategic Objective: Ruling Justly: More Responsive, Transparent Governance			
Name of Intermediate Result: Greater Transparency and Accountability of Governments			
Name of Indicator: Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government			
Is this an annual Performance Plan and Report indicator? No <input type="checkbox"/> Yes <input type="checkbox"/> for Reporting Year(s) 2010-2013			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
Precise Definition(s): Mechanisms include: COMUDES, COMUDE's commissions, CODEDES, service delivery commissions, COCODES, <i>mancomunidades</i> , and local economic development partnerships.			
Unit of Measure: Number of local mechanisms			
Disaggregated by: N/A			
Justification and Management Utility: This indicator reflects the level of opportunities for citizen participation in and oversight of local government decision-making			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
Data collection method: The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.			
Data Source: Reports from lists of participants, agendas and materials			
Method of data acquisition by USAID: Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
Frequency and timing of data acquisition by USAID: Quarterly			
Estimated Cost of Data Acquisition: Low cost data will be gathered as part of the regular monitoring activities			
Individual responsible at USAID: Edward González, COR Local Governance Project			
Individual responsible for providing data to USAID: Sylvia Dávila, USAID Local Governance Project, Chief of Party			
Location of Data Storage: DG electronic and hard copy official files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
Date of Initial Data Quality Assessment: N/A			
Known Data Limitations and Significance (if any): N/A			
Actions Taken or Planned to Address Data Limitations: N/A			
Date of Future Data Quality Assessments: N/A			
Procedures for Future Data Quality Assessments: N/A			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
Data Analysis: Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
Presentation of Data: Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
Review of Data: Democracy M&E meetings, Mission portfolio reviews			
Reporting of Data: Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
Notes on Baselines/Targets: Baseline/Year: 0/2009.			
Other Notes: Total for the life of the project is cumulative			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes

2010	10	21	Exceeded
2011	25	98	Exceeded
2012	30	73	Exceeded
2013	25	26	Exceeded
Total	90	218	Exceeded
<b>Performance Indicator Reference Sheet</b>			
Name of Strategic Objective: Ruling Justly: More Responsive, Transparent Governance			
Name of Intermediate Result: Greater Transparency and Accountability of Governments			
Name of Indicator: People reached by USG-assisted voter education (LLR indicator)			
Lower Level Result: More inclusive and transparent political processes			
Is this an annual Performance Plan and Report indicator? No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> for Reporting Year(s) <u>2011</u>			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
Precise Definition(s): Number of people reached by USG-supported materials, messages, and other educational forms of information about elections. This number can include people receiving pamphlets distributed; PSA broadcast estimated audience, etc.			
Unit of Measure: Number of people			
Disaggregated by: women; men; municipality for Local Governance Project			
Justification and Management Utility: Citizens better informed are more conscious and feel more responsible for their actions, thus, increasing their participation in democratic processes. Women's percentage reached will be calculated applying the voter's registration of Tribunal Supremo Electoral (TSE) in each <i>Municipio</i> .			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
Data collection method: Implementing partners will collect information through direct observation of project activities.			
Data Source: Reports by implementing partners, electoral management bodies, and other NGOs as applicable			
Method of data acquisition by USAID: Grantee quarterly performance reports.			
Frequency and timing of data acquisition by USAID: General electoral period will be in 2011. Data collection will be only in Year 2.			
Estimated Cost of Data Acquisition: TBD			
Individual responsible at USAID Edward González, COR Local Governance Project			
Individual responsible for providing data to USAID: TBD for Elections Project and, Sylvia Dávila Local Governance COP			
Location of Data Storage: SO1 electronic and hard copy files contain quarterly performance reports and indicators' data.			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
Date of Initial Data Quality Assessment: N/A			
Known Data Limitations and Significance (if any): N/A			
Actions Taken or Planned to Address Data Limitations: N/A			
Date of Future Data Quality Assessments: N/A			
Procedures for Future Data Quality Assessments: N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
Data Analysis: Project implementer will analyze and report to USAID via quarterly performance reports			
Presentation and Reporting of Data: This indicator will be used to report locally at USAID's Portfolio Reviews and to Washington through the annual Performance Plan and Report			
Review of Data: Democracy M&E meetings and Portfolio Reviews.			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
Notes on Baselines/Targets: Baseline/Year: 2007/1.5 million			
Other Notes: This indicator is reported only in Year 2. M&E annual plan Year -2.			
<b>PERFORMANCE INDICATOR VALUES</b>			
Year	Target	Actual	Notes

2011	600,000 w/900,000m (sub-total Elections Project: 1,500,000) <b>20,000 w/20,000m</b> <b>(sub-total Local Governance Project: 40,000)</b> GRAND TOTAL: 1,540,000	45,494 (23,639w/21,855m)	Exceeded
------	---	--------------------------	----------

# 6.0 PERFORMANCE INDICATOR REFERENCE SHEETS. WESTERN REGION OF GUATEMALA

Performance Indicator Reference Sheet			
<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of Municipalities with budgets and expenditure reports available to public within 3 months of completion.			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s):2012			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
<b>Precise Definition(s):</b> Budgets and expenditure reports refer to municipal financial records. Income and expenditure reports are published separately. Only Municipalities publishing both income and expenditure reports, in compliance with <i>Ley Orgánica del Presupuesto</i> .			
<b>Unit of Measure:</b> Number of sub-national governments			
<b>Disaggregated by:</b> Municipality, expenditure and income reports.			
<b>Justification and management utility:</b> This indicator measures local governments' compliance with the requirement of the <i>Ley Orgánica del Presupuesto</i> to publish detailed budget, income and expenditure reports within three months of report completion. Compliance with this requirement is a strong indicator of increased transparency.			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
<b>Data collection method:</b> The Implementing Partner will collect information on <a href="http://portalgl.minfin.gob.gt">http://portalgl.minfin.gob.gt</a> by the end of the first quarter of each year for each municipality.			
<b>Data Source:</b> Government records published at <a href="http://portalgl.minfin.gob.gt">http://portalgl.minfin.gob.gt</a>			
<b>Method of data acquisition by USAID:</b> Annual Performance Reports and annual M&E reports.			
<b>Frequency and timing of data acquisition by USAID:</b> Annually.			
<b>Estimated Cost of Data Acquisition:</b> Low-cost information will be gathered as part of the regular monitoring activities.			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG official hard copy and electronic files at LGP			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
<b>Date of Initial Data Quality Assessment :</b> April 2012			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
<b>Data Analysis:</b> Data will be analyzed quarterly through the Implementing Partner's Performance and M&E reports.			
<b>Presentation of Data:</b> Portfolio Review.			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews.			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
<b>Notes on Baselines/Targets:</b> Baseline is FY 2011. Data available in April 2012			
<b>Other Notes:</b> Target for Year 3 refers to Guatemala's FY 2011 respectively. Total for the life of the project is cumulative.			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2011	N/A	N/A	
2012	8/12	12/12	Exceeded
2013	N/A		

Total	8/12	12/12	Exceeded
-------	------	-------	----------

Performance Indicator Reference Sheet			
<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Fiscal Independence of "targeted" Municipalities (IR level indicator) (Disaggregated by municipality).			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input type="checkbox"/> Yes <input type="checkbox"/> for Reporting Year(s) <u>2012, 2013</u>			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
<b>Precise Definition(s):</b> The fiscal independence indicator measures the level of each municipality's financial self-sufficiency. The percentage represents the ratio between each municipality's own-source revenue and its total income: (own-source revenue/total income * 100) = Fiscal independence percentage).The indicator reflects the composite status of target municipalities.			
<b>Unit of Measure:</b> Percentage of fiscal independence			
<b>Disaggregated by:</b> Municipality			
<b>Justification and Management Utility:</b> The indicator will serve to monitor the efforts made by each municipality to increase their fiscal independence and will allow USAID to assess the degree to which local governments are being more accountable.			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
<b>Data collection method:</b> The implementing partner will create a database on excel format including information about Municipalities' own source revenues as compared to their total income.			
<b>Data Source:</b> The GOG Portal of Local Governments, <a href="http://www.siafmuni.minfin.gob.gt">www.siafmuni.minfin.gob.gt</a> ; <a href="http://portalql.minfin.gob.gt">http://portalql.minfin.gob.gt</a> and Municipal fiscal reports.			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the implementing partner and will be presented to USAID annually			
<b>Frequency and timing of data acquisition by USAID:</b> Annually			
<b>Estimated Cost of Data Acquisition:</b> Low-cost information will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG official hard copy and electronic files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
<b>Date of Initial Data Quality Assessment:</b> April 2012			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> Site visits, interviews with municipal officials, review of municipal records, and review of SIAF public records.			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
<b>Data Analysis:</b> Data will be analyzed annually upon availability through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.			
<b>Review of Data:</b> DGO M&E meetings, Mission portfolio reviews.			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
<b>Notes on Baselines/Targets:</b> Baseline/Year 2010: 21.08%			
<b>Other Notes:</b> Total for the life of the project is cumulative. The information corresponding to Year 2 will be available in April 2013, and will therefore be reported in the M&E annual report of Year 3. This is why planned targets for Year 3 are not applicable, since the information will be available in April 2014, upon completion of LGP project.			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2011	21.08%		Baseline (2010 data)
2012	21.58%	21.88	Exceeded

2013	N/A	N/A	
Total	21.58%	21.88	Increase 0.5 percentage points over the baseline

### Performance Indicator Reference Sheet

**Name of Strategic Objective:** Ruling Justly: More Responsive, Transparent Governance

**Name of Intermediate Result:** Greater Transparency and Accountability of Governments

**Name of Indicator:** Number of strategic or development plans strengthened through participatory means.

**Is this an annual Performance Plan and Report indicator?** No  Yes , for Reporting Year(s) 2012, 2013

#### DESCRIPTION (Refer to Toolkit Part 2, Task 2)

**Precise Definition(s):** Strategic development plans are part of a consultation process that Municipalities and/or *mancomunidades* undertake to identify economic-potential opportunities, to improve business environment, and promote public-private partnerships to leverage additional resources to improve service delivery for the municipality and/or *mancomunidades*.

**Unit of Measure:** Number of strategic or development plans

**Disaggregated by:** Municipality

**Justification and Management Utility:** "Strengthened" refers to the design, modification and/or updating of strategic or economic development plans. Municipalities may have more than one plan, for example, LED Plan, Strategic Plan, SAN Plan, etc.

#### PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)

**Data collection method:** The Implementing Partner will conduct field visits, analyze municipal records and interview municipal authorities.

**Data Source:** Hard copies of plans; public records at the municipal level and participation records.

**Method of data acquisition by USAID:** Data will be gathered by the Implementing Partner and will be presented to USAID

**Frequency and timing of data acquisition by USAID:** Annually

**Estimated Cost of Data Acquisition:** Low cost as data will be gathered as part of the regular monitoring activities

**Individual responsible at USAID:** Edward González, COR Local Governance Project

**Individual responsible for providing data to USAID:** Sylvia Dávila, USAID Local Governance Project, Chief of Party

**Location of Data Storage:** USAID/DG electronic and hard copy official files

#### DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)

**Date of Initial Data Quality Assessment:** N/A

**Known Data Limitations and Significance (if any):** N/A

**Actions Taken or Planned to Address Data Limitations:** N/A

**Date of Future Data Quality Assessments:** N/A

**Procedures for Future Data Quality Assessments:** N/A

#### PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)

**Data Analysis:** Data will be analyzed through the Implementing Partner's Performance and M&E reports

**Presentation of Data:** Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.

**Review of Data:** Democracy M&E meetings, Mission portfolio reviews

**Reporting of Data:** Mission Portfolio Reviews

#### OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)

**Notes on Baselines/Targets:** Baseline/Year: 0/ 2011

**Other Notes:** Total for the life of the project is cumulative.

#### PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2012	6	5	Not met

2013	2	3	Exceeded
Total	8	8	Met

### Performance Indicator Reference Sheet

**Name of Strategic Objective:** Ruling Justly: More Responsive, Transparent Governance

**Name of Intermediate Result:** Increased private sector investment in agriculture and nutrition related activities. (FIF RF 3)

**Name of Indicator:** Number of public-private partnerships formed as a result of FIF assistance.

**Is this an annual Performance Plan and Report indicator?** No \_\_\_ Yes X, for Reporting Year(s) 2012, 2013

#### DESCRIPTION (Refer to Toolkit Part 2, Task 2)

**Precise Definition(s):** Number of public-private partnerships in agriculture or nutrition formed due to FIF intervention (i.e. agricultural or nutrition activity, as described below). A Public-private alliance (partnership) is considered formed when there is a clear agreement, usually written, to work together to achieve a common objective.

This indicator will report alliances and coordinating actions. An alliance refers to a permanent relationship, or one sustained in time, between the Project and a counterpart, related to agriculture or nutrition issues, and created to develop a work plan or joint activities with a common purpose. This alliance may be established through a written agreement or a joint work plan, and must include a cash or in-kind contribution from both parties.

A coordinating action refers to specific support activities between counterparts, also related to agriculture or nutrition issues, not lasting in time nor involving formal agreements or matching funds.

**Unit of Measure:** Number of public-private partnerships

**Disaggregated by:** Alliances and coordinating actions

**Justification and Management Utility:** The assumption on this sub-IR is that, if more partnerships are formed, there is likelihood that there will be more investment in agricultural or nutrition-related activities. Public-private partnerships counted should be only those formed during the current reporting year.

#### PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)

**Data collection method:** The Implementing Partner will conduct field visits, analyze municipal records and interview municipal authorities.

**Data Source:** LGP files, hard copies of agreements

**Method of data acquisition by USAID:** Data will be gathered by the Implementing Partner and will be presented to USAID

**Frequency and timing of data acquisition by USAID:** Annually

**Estimated Cost of Data Acquisition:** Low cost, as data will be gathered as part of the regular monitoring activities

**Individual responsible at USAID:** Edward González, COR Local Governance Project

**Individual responsible for providing data to USAID:** Sylvia Dávila USAID Local Governance Project, Chief of Party

**Location of Data Storage:** USAID/DG electronic and hard copy official files

#### DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)

**Date of Initial Data Quality Assessment:** N/A

**Known Data Limitations and Significance (if any):** N/A

**Actions Taken or Planned to Address Data Limitations:** N/A

**Date of Future Data Quality Assessments:** N/A

**Procedures for Future Data Quality Assessments:** N/A

#### PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)

**Data Analysis:** Data will be analyzed through the Implementing Partner's Performance and M&E reports

**Presentation of Data:** Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.

**Review of Data:** Democracy M&E meetings, Mission portfolio reviews

**Reporting of Data:** Mission Portfolio Reviews

#### OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)

**Notes on Baselines/Targets:** Baseline/Year: 0/ 2011

**Other Notes:** Total for the life of the project is cumulative.

PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
2012	10	17	Exceeded
2013	8	8	Met
Total	18	25	Exceeded

### Performance Indicator Reference Sheet

**Name of Strategic Objective:** Ruling Justly: More Responsive, Transparent Governance

**Name of Intermediate Result:** More transparent systems for management of public resources by local governments

**Name of Indicator:** Number of urban and rural water suppliers which chlorinate water for domestic consumption.

**Is this an annual Performance Plan and Report indicator?** No \_\_\_ Yes X, for Reporting Year(s) 2012, 2013

#### DESCRIPTION (Refer to Toolkit Part 2, Task 2)

**Precise Definition(s):** Refers to improving the quality of water for domestic consumption through chlorination. In the region served by FtF, municipalities supply water in urban areas, and committees do so in rural areas; therefore, water suppliers in this indicator refer to both.

**Unit of Measure:** Number of urban and rural water suppliers

**Disaggregated by:** Urban/rural

**Justification and Management Utility:** The Project will hire a consultant to identify and profile water suppliers in the region served by FtF in the beginning of Year 2. This baseline will determine how many water suppliers actually chlorinate water and will allow selecting those to which LGP/FtF will provide technical assistance. To keep track of future progress, the LGP/FtF technical team will monitor water chlorination among water suppliers receiving technical assistance.

#### PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)

**Data collection method:** Project-level, individuals targeted by USG program.

**Data Source:** LGP and water associations' records

**Method of data acquisition by USAID:** Data will be gathered by the Implementing Partner and will be presented to USAID. The Project will hire a consultant to identify and profile water suppliers in the region served by FtF in the beginning of Year 2.

**Frequency and timing of data acquisition by USAID:** Annually

**Estimated Cost of Data Acquisition:** Low cost, as data will be gathered as part of the regular monitoring activities

**Individual responsible at USAID:** Edward González, COR Local Governance Project

**Individual responsible for providing data to USAID:** Sylvia Dávila, USAID Local Governance Project, Chief of Party

**Location of Data Storage:** USAID/DG electronic and hard copy official files

#### DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)

**Date of Initial Data Quality Assessment:** N/A

**Known Data Limitations and Significance (if any):** N/A

**Actions Taken or Planned to Address Data Limitations:** N/A

**Date of Future Data Quality Assessments:** N/A

**Procedures for Future Data Quality Assessments:** N/A

#### PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)

**Data Analysis:** Data will be analyzed through the Implementing Partner's Performance and M&E reports

**Presentation of Data:** Data tables and narratives in the Portfolio Review for presentation of some information in the Annual Performance Plan and Report.

**Review of Data:** Democracy M&E meetings, Mission portfolio reviews

**Reporting of Data:** Mission Portfolio Reviews

#### OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)

**Notes on Baselines/Targets:** Baseline/Year: Data available in April 2012

**Other Notes:** Total for the life of the project is cumulative.

#### PERFORMANCE INDICATOR VALUES

Year	Target	Actual	Notes
------	--------	--------	-------

2012	Increase 16 over the baseline	8	Not met
2013	Increase 16 over the previous year	29	Exceeded
Total	Increase 32 over the baseline	37	Exceeded

Performance Indicator Reference Sheet			
<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of individuals who receive USG-assisted training, including management skills and fiscal management to strengthen local government and/or decentralization.			
<b>Is this an annual Performance Plan and Report indicator?</b> No ___ Yes <u>x</u> , for Reporting Year(s) 2011-2013			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
<b>Precise Definition(s):</b> USG-assisted training refers to all training or education events whether short-term or long-term (fewer than 16 hours) or long-term (more than 16 hours), in country or abroad.			
<b>Unit of Measure:</b> Number of individuals			
<b>Disaggregated by:</b> Municipality, gender, and economic sector			
<b>Justification and Management Utility:</b> Impact and quality of effective citizen participation and advocacy of Municipalities will be improved as a result of training provided by the Project in, and helpful to, local governance and/or decentralization.			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
<b>Data collection method:</b> The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.			
<b>Data Source:</b> Training monitoring, and follow-up system developed by the Implementing Partner			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly			
<b>Estimated Cost of Data Acquisition:</b> Low cost, as data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG electronic and hard copy official files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
<b>Date of Initial Data Quality Assessment:</b> April 2012			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> 2013			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the annual Performance and Plan reports			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0/2011.			
<b>Other Notes:</b>			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2012	3,500 (1,400w/2,100m)	4,732 (1,005w/7,727m)	Exceeded

2013	760 (304w/456m)	3,818 (2,433m/1,385w)	Exceeded
TOTAL	5,000 (2,000w/3,000m)	8,550 (3438w/9112)	Exceeded

Performance Indicator Reference Sheet			
<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government			
<b>Is this an annual Performance Plan and Report indicator?</b> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> , for Reporting Year(s) 2010-2013			
DESCRIPTION (Refer to Toolkit Part 2, Task 2)			
<b>Precise Definition(s):</b> Mechanisms include: COMUDES, Municipal Council and COMUDE's commissions, CODEDES, COCODES, networks, mancomunidades, public-private alliances, and local economic development partnerships ( <i>Grupos Gestores</i> and others).			
<b>Unit of Measure:</b> Number of local mechanisms			
<b>Disaggregated by:</b> N/A			
<b>Justification and Management Utility:</b> This indicator reflects the level of opportunities for citizen participation in and oversight of local government decision-making			
PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)			
<b>Data collection method:</b> The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.			
<b>Data Source:</b> Attendance rosters, agendas and materials			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
<b>Frequency and timing of data acquisition by USAID:</b> Annually			
<b>Estimated Cost of Data Acquisition:</b> Low cost, as data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG electronic and hard copy official files			
DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)			
<b>Date of Initial Data Quality Assessment:</b> N/A			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> N/A			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to Toolkit Part 2, Task 6)			
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the Annual Performance Plan and Report			
OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 & 5)			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0/2011.			
<b>Other Notes:</b> Total for the life of the project is cumulative			
PERFORMANCE INDICATOR VALUES			
Year	Target	Actual	Notes
2011	0		Baseline

2012	25	26	Exceeded
2013	15	92	Exceeded
TOTAL	40	118	Exceeded

Performance Indicator Reference Sheet			
<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance			
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments			
<b>Name of Indicator:</b> Number of people trained in child health and nutrition through USG-supported programs			
<b>Is this an annual Performance Plan and Report indicator?</b> No ___ Yes <u>x</u> , for Reporting Year(s) 2012-2013			
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>			
<b>Precise Definition(s):</b> USG-assisted training refers to all training or education events whether short-term or long-term (fewer than 16 hours) or long-term (more than 16 hours), in country or abroad.			
<b>Unit of Measure:</b> Number of individuals			
<b>Disaggregated by:</b> Municipality, gender, and economic sector			
<b>Justification and Management Utility:</b> Impact and quality of effective citizen participation and advocacy of Municipalities will be improved as a result of training provided by the Project in, and helpful to, local governance and/or decentralization.			
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>			
<b>Data collection method:</b> The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.			
<b>Data Source:</b> Training monitoring, and follow-up system developed by the Implementing Partner			
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports			
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly			
<b>Estimated Cost of Data Acquisition:</b> Low cost, as data will be gathered as part of the regular monitoring activities			
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project			
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party			
<b>Location of Data Storage:</b> DG electronic and hard copy official files			
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>			
<b>Date of Initial Data Quality Assessment:</b> April 2013			
<b>Known Data Limitations and Significance (if any):</b> N/A			
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A			
<b>Date of Future Data Quality Assessments:</b> 2013			
<b>Procedures for Future Data Quality Assessments:</b> N/A			
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>			
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports			
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report			
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews			
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the annual Performance and Plan reports			
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>			
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0.			
<b>Other Notes:</b>			
<b>PERFORMANCE INDICATOR VALUES</b>			

Year	Target	Actual	Notes
2012		1,555 (1319w/236m)	
2013	460 (1844w/276m)	692 (481m/211w)	Exceeded
TOTAL	5,000 (2,000w/3,000m)	2,015 (806w/1209)	Exceeded

### Performance Indicator Reference Sheet

<b>Name of Strategic Objective:</b> Ruling Justly: More Responsive, Transparent Governance
<b>Name of Intermediate Result:</b> Greater Transparency and Accountability of Governments
<b>Name of Indicator:</b> Number of individuals who have receive USG supported short-term agricultural sector productivity or food security training.
<b>Is this an annual Performance Plan and Report indicator?</b> No ___ Yes <u>x</u> , for Reporting Year(s) 2012-2013
<b>DESCRIPTION (Refer to Toolkit Part 2, Task 2)</b>
<b>Precise Definition(s):</b> USG-assisted training refers to all training or education events whether short-term or long-term (fewer than 16 hours) or long-term (more than 16 hours), in country or abroad.
<b>Unit of Measure:</b> Number of individuals
<b>Disaggregated by:</b> Municipality, gender, and economic sector
<b>Justification and Management Utility:</b> Impact and quality of effective citizen participation and advocacy of Municipalities will be improved as a result of training provided by the Project in, and helpful to, local governance and/or decentralization.
<b>PLAN FOR DATA ACQUISITION BY USAID (Refer to Toolkit Part 2, Task 3)</b>
<b>Data collection method:</b> The Implementing Partner will develop a training monitoring, and follow-up system indicating the process to plan, monitor, and follow up on training activities; conduct field visits, analyze training reports.
<b>Data Source:</b> Training monitoring, and follow-up system developed by the Implementing Partner
<b>Method of data acquisition by USAID:</b> Data will be gathered by the Implementing Partner and will be presented to USAID via Quarterly Performance Reports
<b>Frequency and timing of data acquisition by USAID:</b> Quarterly
<b>Estimated Cost of Data Acquisition:</b> Low cost, as data will be gathered as part of the regular monitoring activities
<b>Individual responsible at USAID:</b> Edward González, COR Local Governance Project
<b>Individual responsible for providing data to USAID:</b> Sylvia Dávila, USAID Local Governance Project, Chief of Party
<b>Location of Data Storage:</b> DG electronic and hard copy official files
<b>DATA QUALITY ISSUES (Refer to Toolkit Part 2, Task 4)</b>
<b>Date of Initial Data Quality Assessment:</b> April 2012
<b>Known Data Limitations and Significance (if any):</b> N/A
<b>Actions Taken or Planned to Address Data Limitations:</b> N/A
<b>Date of Future Data Quality Assessments:</b> 2013
<b>Procedures for Future Data Quality Assessments:</b> N/A
<b>PLAN FOR DATA ANALYSIS, REVIEW, &amp; REPORTING (Refer to Toolkit Part 2, Task 6)</b>
<b>Data Analysis:</b> Data will be analyzed every quarter and annually through the Implementing Partner's Performance and M&E reports
<b>Presentation of Data:</b> Data tables and narratives in the Portfolio Review for presentation in the Annual Performance Plan and Report
<b>Review of Data:</b> Democracy M&E meetings, Mission portfolio reviews
<b>Reporting of Data:</b> Narrative in Portfolio Review for presentation of some information in the annual Performance and Plan reports
<b>OTHER NOTES (Refer to Toolkit Part 2, Tasks 4 &amp; 5)</b>
<b>Notes on Baselines/Targets:</b> Baseline/Year: 0
<b>Other Notes:</b>
<b>PERFORMANCE INDICATOR VALUES</b>

Year	Target	Actual	Notes
2012		337 (249w/88m)	Met
2013	300 (120w/180m)	474 (270w/204m)	Exceeded
TOTAL	637 (80w/120m)	811 (519w/292m)	Exceeded

# 7.0 ANNEXES

Annex	Name
1	LGP amendment approval.
2	Level of citizen's satisfaction with public service delivery.
3	Number of individuals who received USG-assisted training. Eastern region of Guatemala.
4	Number of individuals who received USG-assisted training. Western region of Guatemala.
5	Number of people trained in child health and nutrition through USG-supported programs
6	Number of individuals who have received USG supported short-term agricultural sector productivity or food security training