



USAID | **GUATEMALA**
FROM THE AMERICAN PEOPLE

GUATEMALA LOCAL GOVERNANCE PROJECT

Monitoring and Evaluation Plan

(OCTOBER 2013–SEPTEMBER 2014)

DECEMBER 2013

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

GUATEMALA LOCAL GOVERNANCE PROJECT MONITORING AND EVALUATION PLAN

(OCTOBER 2013–SEPTEMBER 2014)

REFERENCE: TO. EPP-I-04-04-00035-00

DECEMBER 2013

DISCLAIMER

The author's 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

CONTENTS	1
ACRONYMS AND ABBREVIATIONS	2
1.0 INTRODUCTION	4
1.1. Project Overview/Problem Statement	5
2.0 RESULTS FRAMEWORK	6
3.0 STRATEGY/IMPLEMENTATION	10
3.0 EVALUATION	12
4.0 PERFORMANCE MONITORING MATRIX	19
5.0 ANNEXES	27

ACRONYMS AND ABBREVIATIONS

ADET	Territorial Economic Development Agenda
AGAAI	<i>Asociación Guatemalteca de Alcaldes y Autoridades Indígenas</i>
ANAM	<i>Asociación Nacional de Municipalidades</i> (National Association of Municipalities)
CAS	<i>Comisiones de Agua y Saneamiento</i> (Water and Sanitation Commissions)
COCODE	<i>Consejo Comunitario de Desarrollo</i> (Community Development Council)
COMUDE	<i>Consejo Municipal de Desarrollo</i> (Municipal Development Council)
COMUSAN	<i>Comisión Municipal de Seguridad Alimentaria y Nutricional</i> (Municipal Commission of Food and Nutritional Security)
CSO	Civil Society Organization
DEL	<i>Desarrollo Económico Local</i>
DAFIM	<i>Dirección de Administración Financiera Municipal</i> (Municipal Department of Financial Administration)
DEAGUAS	<i>Departamento de Agua y Saneamiento</i> (Water and Sanitation Department)
FtF	Feed the Future
GIS	Geographic Information System
GOG	Government of Guatemala
IGN	<i>Instituto Geográfico Nacional</i> (National Geographic Institute)
IUSI	<i>Impuesto Unico sobre Inmuebles</i> (Property Tax)
LED	Local Economic Development
LG	Local Government
LGP	Local Governance Project
LLR	Lower-Level Result
M&E	Monitoring and Evaluation
MINFIN	<i>Ministerio de Finanzas Públicas</i> (Public Finances Ministry)
NGO	Non-governmental Organization
OMM	<i>Oficina Municipal de la Mujer</i> (Municipal Office for Women)
OMAS	<i>Oficina Municipal de Agua y Saneamiento</i> (Municipal Water and Sanitation Office)
OSR	Own-Source Revenue
PGL	Local Government Plans
RAS	<i>Red urbana y rural de prestadores de agua y saneamiento</i> (Urban and Rural Water and Sanitation Suppliers Network)
SAN	<i>Seguridad Alimentaria y Nutricional</i> (Food and Nutritional Security)
SESAN	<i>Secretaría de Seguridad Alimentaria y Nutricional</i> (Food and Nutritional Security Department)
SIAF	<i>Sistema Integrado de Administración Financiera</i> (Comprehensive System for Financial Management)
Sub-IR	Sub-Intermediate Result
USAID	United States Agency for International Development

1.0 INTRODUCTION

The Guatemala Local Governance Project (LGP) of the United States Agency for International Development (USAID) is a four-year effort awarded to ARD, Inc. with an initial budget of \$5,121,910. As described under Task Order No. EPP-I-04-04-00035-00, the term of the Project was originally scheduled from October 1, 2009 to September 30, 2011. The original contract approved LGP intervention in 13 *municipios* in three departments in the “Dry Corridor” located in the Western part of the country and followed up on eleven years of local governance projects. At that time, there were approximately 440,000 inhabitants (13% indigenous) in the 13 *municipios*, 61% of which lived in poverty and 17% in extreme poverty. Aside from building the municipalities’ institutional capacities, LGP also provided technical assistance to the Copanch’orti and Nororiente *mancomunidades*, as well as to the Chiquimula Departmental Development Council.

The LGP Project’s first year was marked by intense political activity and the growing demand from local governments for training and technical assistance, vis-à-vis the recently approved reforms to the Municipal Code promoted by ANAM’s strong leadership. The Project fostered political will to increase own-revenue and improve basic service delivery in the municipalities; the gender approach was crucial in implementing actions to identify civil society and non-governmental organizations committed to strengthening local governments.

In March 2011, the Project was extended for another year (through September 30, 2013) in order to incorporate special objective Feed the Future (FtF) activities in 12 *municipios* in the Western Highlands. An additional \$2.0 million in budget was allotted, bringing the total to \$7,121,910.00. On July 20 of the same year, USAID approved the 12 *municipios* where the special FtF activities would be implemented (six in Quetzaltenango and six in San Marcos). These two departments were chosen because there were fewer cooperation agencies working in the area and the *mancomunidad* socio-political structure facilitates the municipal capacity building process.

An ARD-branded methodology was used to select the 12 *municipios*, based on the initial USAID prioritization of the *municipios* to be served by the FtF Initiative. Selection criteria included the following variables: indigenous population, poverty and susceptibility to INSAN (Food and Nutrition Insecurity), basic water and sanitation services, municipal finances, local economic development opportunities, and socio-political structure.

General elections were held on September 11, 2011 and a total of 3,907 public officials were elected, including 333 Mayors and their respective Municipal Councils. Two of the new Municipal Councils expressed a decided lack of political will and, as a result, two municipalities in the department of Quetzaltenango had to be replaced by two from San Marcos, using the same selection criteria as before. During the first two quarters, LGP teams (East and West) focused on transition activities. In support of this phase, the Project produced a training manual called “Municipal Government Handbook: from service providers to agents of development”.

In March 2012, the second phase of national level training for municipal staff was developed and led by ANAM. LGP actively participated in this new training process: initially in organization and defining contents and event logistics, then with a team of facilitators that travelled the country to support the workshops.

During the second quarter of this year, the transition process was finalized and the teams resumed their activities to reach the year's goals and indicators. The first quarter of 2012 was set in a context of crises, one political and one natural disaster, which severely affected the communities served by the Project. However, the Project reached all its expected results and even surpassed the indicators in each of the Project's intervention components.

In the month of July 2013, USAID requested a \$1.5 million proposal to extend the Project for an additional 12 months, until September 30, 2014, and added eight municipalities in the Quiché department to the twelve already covered by the Project in the Quetzaltenango and San Marcos departments. The extension proposal approved by USAID on October 19th, 2013 serves as the basis for this current Monitoring and Evaluation Plan and associated Work Plan.

1.1 Project Overview/Problem Statement

Guatemala is Central America's largest country in terms of both economy and population and plays a pivotal role in regional trade and integration. It has a wealth of natural and cultural resources yet an estimated 54 percent of its people live in poverty. Guatemala struggles with some of the worst social indicators in the hemisphere: the fertility rate is the highest in the hemisphere (3.9 per woman), infant and maternal mortality are unacceptably high (39 per 1,000 live births and 153 per 100,000 live births, respectively), and chronic malnutrition is the worst in the hemisphere (49 percent of all children under age five). Less than half of rural residents have access to running water, only 25 percent have electricity at home, and less than 10 percent have modern sanitary facilities. The country's complex topography of roughly two-thirds mountains, its 25 languages, and a disenfranchised indigenous population complicate efforts to expand health and education services and improve an extremely low rate of labor productivity. Inequality, weak local governance, and corruption continue to limit Guatemala's stability and development as a democracy. Local governments in many Guatemalan rural communities represent the only existing state authority recognized by the population. The lack of central government presence in some areas of the country increases the burden on local governments to respond to citizens' needs and demands in areas such as citizen security, food security, and disaster prevention and relief. Local governments are also responsible for the delivery of specific services, such as clean water and sanitation.

Therefore, local governments have a natural and important role in ensuring the implementation and sustainability of activities implemented under Government of Guatemala (GOG) initiatives as well as United States Government (USG) Presidential Initiatives in Guatemala, including Feed the Future (FtF), Global Health Plus, and Global Climate Change. USAID Guatemala has invested in local governance and decentralization projects since 1998. Projects have supported decentralization efforts to place resource investment decisions closer to the public. The goal of the current Local Governance Project is to improve municipal service delivery, promote local economic development, and expand citizen participation in

local governmental processes thereby strengthening the transparency, accountability and functioning of targeted municipal governments. To increase the impact of local governments and their ability to serve as a platform for the sustainability and institutionalization of development interventions, USAID has made local governance an important cross-cutting issue in the recently approved Country Development Cooperation Strategy (CDCS).

Most municipalities have weak administrative structures, poorly trained technical staff, and little awareness of applicable legal framework. Their own-source revenue collection is very limited, forcing them to rely on central government transfers. The public services they provide are not the best quality, investment tends to be focused on infrastructure, and they do not traditionally welcome citizen participation.

The Western Highlands Integrated Program (WHIP) is a conceptual framework for the collaborative implementation of USG-funded activities in the departments of Huehuetenango, San Marcos, Quetzaltenango, Totonicapán and Quiché. WHIP activities are designed to reduce poverty and chronic malnutrition through programs of food assistance, school feeding, applied agricultural research, improved access to quality health care, nutrition, increased agricultural income from high value horticulture crops and handicrafts, sustainable production systems increased capacity to adapt to the impacts of climate change and strengthened local governance entities. WHIP recognizes the comparative advantages of USG-funded partners and seeks to harness and focus these resources and our partners' productive access to communities and understanding of the development context to address poverty and chronic malnutrition. The Local Governance Project will be one of several implementing mechanisms under WHIP and partners will be expected to coordinate to achieve overall WHIP goals.

2.0 RESULTS FRAMEWORK

The overarching objective of the Local Governance Project is that ***Local governments are more capable of implementing economic development and nutritional security activities to reduce chronic malnutrition and poverty.*** The goal will be achieved through the strengthening of partner municipal governments and the promotion of an active and engaged citizenry working to ensure greater efficiency and accountability in the provision of quality public services. The results should be the measurable improvement of key social indicators (poverty, chronic malnutrition, access to potable water, food security) in targeted communities.

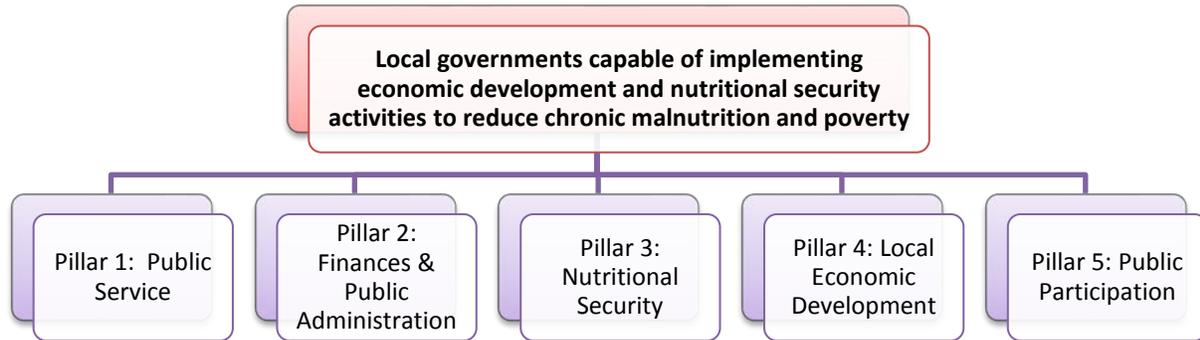
Financing for the initiative is provided by two funding sources - Democracy and Governance (DG) and Feed the Future (FtF). *At the level of Intermediate Results*, DG funding contributes to achieving USAID's Intermediate Result 2: *Greater Transparency and Accountability of Governments (IR 2)*, improving accountability and confidence in democratic governance by increasing the "supply" and "demand" for good governance. Funding from FtF contributes to the achievement of USAID's Special Activity: *Support for Implementation of the USG Feed the Future Activities in Guatemala*, strengthening the capacity of local governments to reduce poverty and chronic malnutrition, increase food security, deliver water and sanitation services, and support community-based advocacy

At the Level of Sub-Intermediate Results, the project contributes to Sub-Intermediate Result 2.1, “More Transparent Systems for Management of Public Resources by Local Governments;” Sub-Intermediate Result 2.2, “More Effective Advocacy of Municipalities for Local Citizen Priorities with National Government;” and Sub-Intermediate Result 2.3, “More Opportunities for Citizen Participation and Oversight of Local Government Decision-making”.

The Results Framework of the project is, as follows:

Objectives	Quetzaltenango/San Marcos 12 municipalities	Quiché 8 municipalities
<ul style="list-style-type: none"> • Objective: Local governments capable of implementing economic development and nutritional security activities to reduce chronic malnutrition and poverty 		
	USAID Special Activity: <i>Support for Implementation of the USG Feed the Future Activities in Guatemala</i>	Intermediate Result 2: <i>Greater Transparency and Accountability of Governments (IR 2)</i>
Sub-Intermediate Result 2.1, “More Transparent Systems for Management of Public Resources by Local Governments;”	<p>GOAL 1: Municipalities with transparent procurement processes, procedures, and systems in place and operating effectively (LLR 2.1.1)</p> <p>GOAL 2: Local Economic Development (LED) plans designed and implementation initiated (LLR 2.1.2).</p> <p>GOAL 3: Policies and practices adopted that improve the enabling environment for local business. (LLR 2.1.3)</p> <p>GOAL 4: At least one critical basic service improved in each selected municipality/mancomunidad (LLR 2.1.4).</p>	<p>GOAL 6: Municipalities with transparent procurement processes, procedures, and systems in place and operating effectively (LLR 2.1.1)</p> <p>GOAL 7: All selected municipalities sustainably increase own-source revenue (LLR 2.1.2)</p> <p>GOAL 8: Municipalities practice responsible indebtedness (LLR 2.1.3)</p> <p>GOAL 9: At least one critical basic service improved in each selected municipality/mancomunidad (LLR 2.1.4)</p> <p>GOAL 10: Municipalities improve the enabling environment for local economic development (LLR 2.1.5)</p>
Sub-Intermediate Result 2.2, “More Effective Advocacy of Municipalities for Local Citizen Priorities with National Government;” and		<p>GOAL 11: Municipal associations effectively represent their constituencies (LLR 2.2.1).</p> <p>GOAL 12: ANAM is financially capable to provide training and advisory sustaining services (LLR 2.2.2)</p> <p>GOAL 13: ANAM provides improved services to its members (LLR 2.2.3)</p>
Sub-Intermediate Result 2.3, “More Opportunities for Citizen Participation and Oversight of Local Government Decision-making.”	<p>GOAL 5: USAID participatory planning and investment methodology fully implemented in all selected municipalities/mancomunidades through the strengthening of the Development Councils (LLR 2.3.1)</p>	<p>GOAL 14: USAID participatory planning and investment methodology fully implemented in all selected municipalities/mancomunidades (<i>commonwealths</i>) through the strengthening of the Development Councils (LLR 2.3.1)</p>

To achieve the Goal of the project, the project has organized its technical team into five technical pillars, as highlighted in the following graphic.



3.0 STRATEGY/IMPLEMENTATION

The recently approved 2012-2016 Country Strategy of the Government of the United States for Guatemala, the Feed the Future Initiative, the Hunger-Zero Program, and the 2012-2016 Municipal Agenda approved by ANAM's General Assembly, acknowledge and highlight local governments' role in fighting chronic malnutrition. Designing, applying, and documenting a feasible intervention model that considers the role of local governments in SAN, represents an exceptional opportunity for LGP to strengthen local governance and improve the efficacy of SAN interventions at different levels.

The main objectives during the 2013-2014 extension period will be to consolidate the evidently important role of local governments and their various offices, such as the Municipal Secretariats, Municipal Affairs Court, Municipal Offices for Women, DEAGUAS, Municipal Office for Water and Sanitation, Municipal Planning Offices, Municipal Integrated Financial Administration Offices, and Municipal Public Service Offices in their fight against chronic malnutrition. LGP also seeks to prove that the FtF intervention model piloted in twelve municipalities in the western part of the country is feasible and adequately complements other USAID-financed models. Therefore, LGP proposes to begin by opening dialogue spaces with local governments in the eight municipalities assigned in the department of Quiché. It will be instrumental to fully identify the *municipios'* political will and socio-political dynamics in order to implement the joint strategy that characterized the Project in the other 12 *municipios*.

For the extension period, the Project plans to provide technical and financial assistance to ANAM in order to strengthen: 1) the debate of laws and reforms of public policy initiatives affecting municipalities; 2) the administrative structure and financial self-sustainability of ANAM; and 3) the delivery of basic services and training to the municipalities.

Strategy in San Marcos and Quetzaltenango

- Regarding transparent financial systems and increased revenue, the Project will strengthen the municipal commissions to implement their own-source revenue collection plans, provide technical assistance in preparing 2014 plans and budgets together with the Ministry of Public Finances, and build the capacities of the Municipal Offices for Women to submit plans and obtain funding for their initiatives, as specified in the Municipal Code.
- Under local economic development, the Project will provide further technical assistance to the municipalities in implementing Local Economic Development Plans or Economic Development Agendas, as well as in evaluating progress.
- Under citizen participation, LGP will build the capacities of the COMUSANs to coordinate and implement Food and Nutrition Security activities at the municipal level.
- In the area of improving municipal public services, LGP will consolidate efforts to institutionalize water and chlorination services.
- The Project will consolidate and strengthen community water and sanitation networks, as well as departmental networks of municipal officials to enhance experience-sharing events, information and training processes, and replication of good practices.
- In order to reach the aforementioned results, the Project will make good use of all existing alliances and coordination to ensure process sustainability.
- The Project will document main experiences and lesson learned from the previous implementation phase.

Strategy in Quiche

- The Project will support the eight municipalities in Quiche in complying with their previously established agendas in order to gain the political trust of authorities and officials. This will allow the Project to replicate successful activities developed in San Marcos and Quetzaltenango, such as: strengthening citizen participation mechanisms (COMUDEs and COMUSANs), fostering improved own-source revenue collection, enhancing public service delivery, modernizing procedures and processes to promote transparency, making efficient use of municipal resources, creating networks of municipal officials (primarily Municipal Offices for Women) to strengthen their role in food and nutrition security, as well planning and making good use of the resources to which they are legally entitled, among others.

Cross-cutting Strategy

- GIS tools will be used to provide support to administrative and municipal planning activities as well as to manage municipal services and collect fees. In the specific case of the municipalities in Quiche, the same strategy will be used, with the caveat that the increased revenue component will be addressed only in those *municipios* that demonstrate political will to implement it.

- LGP's greatest challenge is in ensuring that ANAM continues to play an active role in promoting its municipal agenda (*Municipalidades pasan de ser prestadores de servicios a agentes de desarrollo*), in its interaction with the central government and other government agencies, as a service provider to municipalities, and mostly, in ensuring self-sustainability of its new administrative structure, once the Project concludes. The Project will also support the *Asociación Guatemalteca de Alcaldes y Autoridades Indígenas* (AGAAI) to unify the advocacy strategy of the associative movement, as well as to facilitate the introduction of the Project in the Quiché municipalities, which is mainly populated by indigenous communities.
- Incorporating indigenous considerations is a crucial element for LGP. Since the *municipios* in Quiche are primarily indigenous, the Project will coordinate actions with AGAAI. Furthermore, this coordination could reactivate the municipal authority (*Instancia Municipalista*) prior to the 2015 elections.
- The Project will continue to promote the participation of women and indigenous peoples in all technical assistance and training processes.

3.0 EVALUATION

During this 1 year cost extension of the Local Governance Project, the project's Monitoring and Evaluation efforts are to be focused on monitoring the effective implementation of project activities and achievement of results during this last year of the project. This focus on monitoring – rather than evaluation – recognizes, in part, the short time - in the best of circumstances, less than 9 months - with which the project will work with the 8 municipalities of Quiche. Secondly, project training and technical assistance activities in support of all Local Governments are scheduled to end mid-2014, six months prior to the end of the calendar year, making it difficult, if not impossible, to compile information on annual impact.

The results of the Project in the 20 target municipalities will be detailed in both the final M&E Annual Report, and highlighted in the project's Final Technical Report. With the information available to us, complemented by that which we are able to generate through complementary means (Roundtables, Focus Sessions, Key Informant Interviews), the reports will seek to provide USAID with information needed to evaluate the project's contributions to such key objectives as :

- ✓ Increasing own-source revenues in target municipalities?
- ✓ Improving food security?
- ✓ Improving the ability of local governments to plan and manage services, develop projects, make decisions and strengthen land use planning through Geographic Information Systems (GIS)?
- ✓ Leveraging private sector funding for the furtherance of project objectives through public-private alliances?
- ✓ Improving community access to water chlorination systems and water management?
- ✓ Regulating public services provided in target municipalities?

4.0 PERFORMANCE MONITORING MATRIX

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A	Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/Reporting Frequency	Definition Comments
GOAL I: Municipalities with transparent procurement processes, procedures and systems in place and operating effectively								
OBJECTIVE 1.1: Strengthen municipal capacity to increase own source revenue	<p>Indicator 1:</p> <p>Percentage increase in municipal own source revenues during the first six months of Guatemalan Fiscal Year 2014</p> <p>(Disaggregated by municipality)</p>	First semester of FY 2013 data	0		5%	5%	LGP files, hard copies of reports provided by municipalities	<p>Annually</p> <p>It will be analyzed data of the first two quarters of Guatemalan FY 2014, due to the end of technical assistance provided by LGP to the municipalities in June 2014.</p> <p>The indicator reflects the aggregate increase in municipal OSRs municipalities.</p> <p>Includes all the municipalities of San Marcos, Quetzaltenango and Quiche. The Project is beginning assistance in Quiche, and this assistance will be provided during six months only.</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4		Target Year 5	Total (Life of Project)	Data Source	Collection/ Reporting Frequency	Definition Comments
			P/A		P/A	P/A			
<p>OBJECTIVE: 1.1 : Strengthen municipal capacity to increase own source revenue</p> <p>OBJECTIVE 1.2: Technical assistance provided in preparing 2014 annual operational plans and budget in target municipalities, in coordination with the Ministry of Finance</p> <p>OBJECTIVE : 1.3 : Strengthen the Municipal Women's Offices in order to present a plan and obtain municipal financing for their initiatives as defined in the Municipal Code</p> <p>OBJECTIVE 1.4.: Implement in selected municipalities a multi-use Geographic Information System, as a basic tool to increase own-source revenues, land planning and the graphic administration of municipal services</p>	<p>Indicator 2:¹</p> <p>USG FACT: Number of individuals who received USG assisted training, including management skills and fiscal management to strengthen local government and/or decentralization</p> <p><i>(Disaggregated by municipality, gender and economical sector)</i></p>	0 (2009)	4260 (1704w/2556m)	8,550 (3438w/ 5112m)	2,235 (894w/ 1341m)	6,760 (2704w/4056m)	Training, monitoring and follow-up system developed by the Project	Quarterly	<p>Definition: USG-assisted training refers to all training or education events whether short-term (fewer than 16 hours) or long-term (more than 16 hours), in country, or abroad.</p> <p>Comments: 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.</p> <p>The project will be held to the aggregate #, not to individual Obj.</p>
<p>OBJECTIVE 1.1.: Strengthen municipal capacity to increase own source revenue</p>	<p>Indicator 3: Number of regulations for municipal public services strengthened</p>	0	0		20	20	LGP files, hard copies of regulations	Annually	<p>Definition: Regulations for municipal public services "strengthened" refers to the proposal, approval and/or</p>

¹ This indicator tracks the objectives listed in column one

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									<p>publication of new regulations or the improvement of regulations of municipal utilities in place to regulate the services provided by the municipalities (policies, manuals, procedures, regulations and plans of municipal taxes).</p> <p>The municipal regulations are approved by the municipal councils and regulate the provision of municipal public services and the requirements that users must meet to benefit from them. The municipalities must have a regulation for each municipal public service provided.</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
OBJECTIVE 1.1: Strengthen municipal capacity to increase own source revenue	<p>Indicator 4:</p> <p>Number of municipalities that review their taxpayer rolls and municipal service user registries to identify inconsistencies and update them.</p>	0	0	0	3	3	LGP files, attendance rosters, agendas and materials	Annually	<p>Definition: Due to irregularities usually found in the user records of SIAF it is important to update the database and eliminate inconsistent data. This will provide municipalities with greater accuracy and reliability in the taxpayers database and increase municipal own source revenues.</p> <p>Comments: The Project will support three selected municipalities since debugging activities are complementary to the use of Geographic Information System (GIS) tools, LGP will provide selected municipalities with GIS equipment and licenses.</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4		Target Year 5	Total (Life of Project)	Data Source	Collection/ Reporting Frequency	Definition Comments
			P/A	P/A	P/A	P/A			
OBJECTIVE 1.1.: Strengthen municipal capacity to increase own source revenue	<p>Indicator 5:</p> <p>Percentage of progress updating registries of IUSI payers, municipal taxpayers and water service users.</p>	0	0	0	50%	50%	LGP records, <i>Sistema de Información Administrativa y Financiera (SIAF)</i> , users report of municipalities	Annually	<p>Definition: It is estimated an advance of 50% in the updating process of IUSI users' data, municipal taxes, and water fees, based on the total number of taxpayers indicated in SIAF.</p>
OBJECTIVE 1.2.: Technical assistance provided in preparing 2014 annual operational plans and budget in target municipalities, in coordination with the Ministry of Finance.	<p>Indicator 6:</p> <p>Number of municipalities with budgets and expenditure reports publicly available within 3 months of completion of Guatemalan FY 2013.</p> <p>(Disaggregated by municipality, expenditure and income reports).</p>	Data available in April 2012	8	12	20	20	Guatemala's government records published at http://portalgl.minfin.gob.gt	Annually	<p>Definition: 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 <i>Ley Orgánica del Presupuesto</i> will be considered as achieving this indicator</p> <p>Comments: This indicator measures municipal compliance with the requirement of the <i>Ley Orgánica del Presupuesto</i> to publish detailed</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4		Target Year 5	Total (Life of Project)	Data Source	Collection/ Reporting Frequency	Definition Comments
			P/A		P/A	P/A			
									budget, income and expenditure reports within three months of report completion. Compliance with this requirement is a strong indicator of increased transparency. The report for each fiscal year will be available in April of the following year, in compliance with the law.
OBJECTIVE 1.4.: Implement in selected municipalities a multi-use Geographic Information System, as a basic tool to increase own-source revenues, land planning and the graphic administration of municipal services.	Indicator 7:P² Number of Geographic Information Systems (GIS) with IGN (<i>Instituto Geográfico Nacional</i>) overlays designed and implemented in selected municipalities. Disaggregated by municipality	0	0	0	5	5	LGP files, hardware and software acknowledgment receipt	Annually	Definition: GIS is used by municipalities to plan and manage services, develop projects, make decisions and land use planning. The GIS is made up of different layers of information, containing graphical elements (lines, points, polygons) that identify the users of different services. These elements are

² This indicator tracks the objectives listed in column one

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									<p>identified using orthophotos and field verifications.</p> <p>Quetzaltenango and San Marcos: 3 GIS Quiche: 2 SIG</p> <p>Comments: LGP will provide the GIS hardware, software and digital Geographic information (orthophotos and General layers of the National Geographical Institute) for the establishment of the municipal GIS.</p>
GOAL 2: Local Economic Development (LED) plans designed and implementation initiated									
OBJECTIVE 2.1. Municipalities continue to implement LED plans and evaluate progress	<p>Indicator 8: Number of strategic plans, development agendas, and operative annual plans strengthened through participatory means (Disaggregated by municipality)</p>	0	8	8	15	23	Hard copies of plans; public records at the municipal level, operative annual plans, ADETs, etc.	Annually	<p>Definition: Strategic development plans, agendas, local economic development plans, and operative annual plans are part of a consultation process that Municipalities and/or <i>mancomunidades</i> undertake to identify economic potential opportunities, to</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									<p>improve business environment, and promote public-private partnerships</p> <p>Comments: “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, development agendas, SAN Plan, and operative annual plans, <i>Agendas de Desarrollo Económico Territorial</i> (ADET), etc.</p>
	<p>Indicator 9: Amount of leveraged funding as a result of public and private alliances established with LGP assistance</p>	0	0	0	\$20,000	\$20,000	LGP files, municipal budgets	Annually	<p>Definition: “Leveraged amount” refers to the total funding that municipalities, private enterprises, producers, and governmental organizations with presence in the area of dairy corridor, intended to strengthen milk</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
GOAL 3: Policies and practices adopted that improve the enabling environment for local business									
OBJECTIVE 3.1.: Efforts between municipal governments and private sector consolidated to jointly implement plan	Indicator 10: Number of public-private partnerships formed as a result of LGP assistance.	0 (2011)	18	25	8	26	LGP files, hard copies of agreements	Annually	Definition: Number of public-private partnerships in agriculture or nutrition formed which are formed with the project. 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 coordinations.

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4		Target Year 5	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
			P/A		P/A				
OBJECTIVE 3.1.: Efforts between municipal governments and private sector consolidated to jointly implement plan	<p>Indicator 11:³</p> <p>USG FACT: Number of individuals who have received USG supported short-term agricultural sector productivity or food security training.</p> <p><i>(Disaggregated by municipality, gender and type of individuals)</i></p>	0	637 (80w/ 120m)	811 (519w/ 292m)	320 (128w/ 192 m)	957 (383w/ 574m)	Training, monitoring and follow-up system developed by the Project	Quarterly	<p>Definition: The number of individuals to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills should be counted.</p> <p>USG-assisted training refers to all training or education events whether short-term (fewer than 16 hours) or long-term (more than 16 hours), in country, or abroad.</p> <p>Comments: Training on food and fodder in the dairy chain region, as well as best manufacturing and milking practices, are included. The project will be held to the aggregate #, not to individual Obj.:</p>

³ This indicator tracks the objectives listed in column one

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
GOAL 4: At least one critical basic service improved in each selected municipality/mancomunidad									
OBJECTIVE 4.1.: Consolidate efforts to improve water chlorination systems and water system Management.	Indicator 12: Number of urban and rural water supply systems supported to improve their sustainability. (Disaggregated by municipality)	37	0	0	25	25	LGP files	Annually	Definition: Support to improve sustainability of water systems refers to the technical assistance and training provided to <i>Redes de Agua y Saneamiento (RAS)</i> and <i>Comisiones de Agua y Saneamiento de los COCODE (CAS)</i> to improve the management and sustainability of water systems. LGP technical assistance ends in June 2014.
OBJECTIVE 4.1.: Consolidate efforts to improve water chlorination systems and water system Management.	Indicator 13:⁴ Number of local mechanisms supported with USG assistance for citizens to engage their sub-national government (Disaggregated by local number of mechanisms)	0 (2011)	40	118	34 Detailed local mechanisms and objectives included in this indicator: Objective 4.1 / 4 local mechanisms Objective 5.1/ 18 local mechanisms	74	Attendance rosters, agendas and materials	Annually	Definition: Mechanisms include: COMUSAN, COMUDES, Municipal Council and COMUDE's commissions, CODEDES, COCODES, networks, <i>mancomunidades</i> ,

⁴ This indicator tracks the objectives listed in column one

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
	and municipality)				Objective 14.1/12 local mechanisms TOTAL 34 LOCAL MECHANISMS				<p>public-private alliances, RAS, CAS, and local economic development partnerships (<i>Grupos Gestores</i> and others).</p> <p>Comments: The number of local mechanisms is limited in <i>municipios</i>, i.e. the same COMUDE and COCODEs exist every year. Therefore, the total of local mechanisms that may be supported varies little from year to year. It is more likely that the Project can increase its coverage every year, but within the same universe of existing local mechanisms.</p> <p>This target includes the municipalities of Quetzaltenango, San Marcos, and Quiche.</p> <p>Quiche's target for Year 5 is 4 local mechanisms supported, since the high degree of social conflict</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									threatens the performance of COMUDEs in Sacualpa, Chichicastenango and Nebaj. The project will be held to the aggregate #, not to individual Obj.:
GOAL 5: USAID participatory planning and investment methodology fully implemented in all selected municipalities/mancomunidades through the strengthening of the Development Councils.									
OBJECTIVE 5.1.: Strengthen the Municipal Councils, COMUDE and Municipal Commissions to promote participatory investment and planning at a municipal level.	<i>See Indicator #13</i>								
	Indicator 14: Number of municipalities with <i>Sitios Centinela</i> installed and/or operating	0	0	0	16	16	LGP files, Minutes of COMUSAN meetings addressing Sentinel Sites issues	Annually	Definition: "Sentinel Sites installed and/or operating" refers to the continuity of the functioning of the SS implemented in coordination with SESAN and partners in similar municipalities. The Sentinel Sites are communities with similar living conditions (agro-climatic aspects, income and food

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									sources, resilience, etc.). These communities monitor indicators of increased vulnerability to food security and nutrition and are linked to the management of information systems from the local to the municipal level.
OBJECTIVE 5.1 : Strengthen the Municipal Councils, COMUDE and Municipal Commissions to promote participatory investment and planning at a municipal level.	Indicator 15: Percentage of target groups families that have improved hygiene and nutrition practices as a result of LGP assistance	0	0	0	15%	15%	LGP files, evaluations, focus groups	Annually	Definition: At least 15% of families of target groups have improved their practices in nutrition and health. Hygiene and nutrition practices include: hygiene in the preparation of food, personal hygiene, home evaluation (floor, kitchen, pets that are loose inside the house, etc.). Hygiene practices include water and sanitation. LGP's past experience in year 2013, demonstrated that 9% of targeted families improved their practices in

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									hygiene and nutrition after 1.5 years of Project assistance.
OBJECTIVE 5.1.: Strengthen the Municipal Councils, COMUDE and Municipal Commissions to promote participatory investment and planning at a municipal level.	<p>Indicator 16:</p> <p>USG FACT: Number of people trained in child health and nutrition through USG-supported programs. <i>(Disaggregated by municipality, municipal office, and gender)</i></p>	0 2012	2015 (806w/ 1209m)	2247 (1800w/ 447m)	250 (100w/ 150m)	2265 (906w/ 1359m)	Training, monitoring and follow-up system developed by the Project	Quarterly	<p>Definition: Number of people (health professionals, primary health care workers, community health workers, volunteers, non-health personnel) trained in child health care and child nutrition through USG-supported programs during the reporting year.</p> <p>USG-assisted training refers to all training or education events whether short-term (fewer than 16 hours) or long-term (more than 16 hours), in country, or abroad.</p> <p>Comments: Training on water as food and health & nutrition is included.</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A	Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
GOAL 6: Municipalities with transparent procurement processes, procedures, and systems in place and operating effectively.								
OBJECTIVE 6.1.: Financial management capacity strengthened in target municipalities	<i>See Indicator #2</i>							
GOAL 7.: All selected municipalities sustainably increase own-source revenue								
OBJECTIVE 7.2.: Implement in selected municipalities a multi-use Geographic Information System, as a basic tool to increase own-source revenues, land planning and the graphic administration of municipal services	<i>See Indicator #2</i>							
	<i>See Indicator #8</i>							
GOAL 8.: Municipalities practice responsible indebtedness								
OBJECTIVE 8.1.: Increase municipal credit worthiness capacity	<i>Indicator 17:</i> <i>Number of municipalities that meet their requirements governing municipal debt</i>	0			8	8	LGP files, Budgetary execution report/SICOIN-GL	Annually Definition: "Municipalities that meet their requirements governing municipal debt" refers to target municipalities with loan contracts complying with the articles 110 to 117 of the Municipal Code. The main point is for local governments not to contract loans beyond their period of government.
GOAL 11: Municipal associations effectively represent their constituencies								

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4		Target Year 5	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
			P/A	P/A	P/A				
OBJECTIVE 11.1.: The municipal level (ANAM and AGAAI) drives the fulfillment of the municipal agenda (service providers for development agents)	<p>Indicator 18:</p> <p>Number of reform initiatives supported by municipal associations (ANAM, AGAAI, Instancia Municipalista or any other association) that incorporate demands to strengthen local government and decentralization.</p>	2 (2009)	32	43	5	37	LGP, ANAM, AGAAI and Instancia Municipalista records	Quarterly	<p>Definition: Reform initiatives include revision, analysis and interpretation of public/municipal policies, rulings, legislative initiatives, high impact agreements, and judicial interpretation supported by ANAM, AGAAI Instancia Municipalista or any other municipal association.</p> <p>Comments: This indicator measures the level of advocacy of ANAM or any other municipal association in representation of its members. Baseline is 2/2009. In 2009 a total of two amendments were revised and approved by Municipal Associations and the Municipal Affairs Commission of Congress: one to the Municipal Civil Service Law and another one</p>

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
									to the <i>Ley del Plan de Prestaciones del Empleado Municipal</i> .
GOAL 12: ANAM is financially capable to carry out its mission									
OBJECTIVE 12.1.: ANAM has a solid administrative structure and the capacity to finance it	Indicator 19: Number of public and/or private institutions that support ANAM in providing services or training to the municipalities.	0	0	0	3	3	Agreements, agendas, LGP files	Annually	Definition: Assistance to provide training and services include: workshops, lodging, meals, reproduction of documents, equipment, materials for municipalities, speakers, etc.
GOAL 13: ANAM provides improved services to its members									
OBJECTIVE 13.1.: ANAM provides training and sustaining advisory services	<u>See Indicator #2</u>								

GOAL/OBJECTIVE	Performance Indicator	B-Line	Total Years 1-4 P/A		Target Year 5 P/A	Total (Life of Project) P/A	Data Source	Collection/ Reporting Frequency	Definition Comments
OBJECTIVE 13.1.: ANAM provides training and sustaining advisory services	Indicator 20: Number of ANAM's publications supported by LGP	0	0	0	10	10	LGP files, publications	Annually	Definition: Publications refer to guides, circulars, <i>Memoria de Labores</i> of ANAM, regulations, manuals, reports, and any other document prepared by ANAM with LGP support to provide technical assistance to municipalities.
GOAL 14: USAID participatory planning and investment methodology fully implemented in all selected municipalities/mancomunidades through the strengthening of the Development Councils									
OBJECTIVE 14.1.: Strengthen the Municipal Councils, COMUDE and Municipal Commissions to promote participatory investment and planning at a municipal level	<i>See Indicator #13</i>								
	<i>See Indicator #13</i>								

5.0 ANNEXES

USAID PERFORMANCE INDICATOR REFERENCE SHEETS