ASSESSMENT OF DEVELOPMENT RESULTS

EVALUATION OF UNDP CONTRIBUTION

GUATEMALA

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EVALUATION OF UNDP CONTRIBUTION **GUATEMALA**

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FOREWORD

The Evaluation Office of the UNDP conducts independent country-level evaluations called Assessment of Development Results (ADR) which assess the relevance and strategic positioning of UNDP's support and its contributions to a country's development. The purpose of an ADR is to contribute to organizational accountability and learning and strengthen the programming and effectiveness of UNDP. This report presents the findings and recommendations of the ADR that was conducted in Guatemala, covering the period of two country cooperation frameworks from 2001 to 2008.

For centuries, the indigenous population in Guatemala has been excluded from the country's formal economic and political processes and their benefits. From the 1960s to the mid-1990s, Guatemala was devastated by an armed conflict between leftist guerrilla forces and militarized governments, whose main victims were indigenous people. A peace process took place with increasing intensity in the 1990s, and resulted in an Agreement on a Firm and Lasting Peace, at the end of 1996.

The United Nations played a decisive role in the facilitation of the dialogue between the Government and the guerrilla forces. A Verification Mission of the UN in Guatemala (MINUGUA, 1994-2004) was in charge of facilitating and supervising the de-mobilization of the guerrillas, contributing to the strengthening of public institutions and promoting trust between the parties involved. Gradually, other UN agencies, including notably UNDP, took over these functions. Guatemala has been one of the not-so-frequent cases in which the United Nations closely combined the peace-building mandate of its General Assembly with post-conflict development. As a result, UNDP in Guatemala continues to enjoy high recognition as a neutral agency, a broker, a facilitator and promoter of dialogue on sensitive issues and between opposite groups.

UNDP has contributed in the areas of governance and crisis prevention and recovery. The record is less strong in the areas of poverty and the environment. Here, UNDP has been relatively successful in supporting the implementation of social public programmes (health and education) but less so in helping to shape the related policies and in providing high-level advisory support to decision makers in the relevant sectors. Moreover, UNDP's involvement in promoting economic-productive programmes for poverty reduction was marginal. Yet with the global economic crisis, poverty and environment are likely to acquire more prominence in the near future and challenge the past orientations of UNDP in these areas.

UNDP has been heavily involved in the management of public programmes. On the positive side, this has brought about more impartial, transparent and faster execution. On the other hand, this has not always been the best platform for UNDP to provide substantive inputs to policy making. Moreover, replacing the state's function may create a risk of perpetuating dependency without promoting long-term capacity of national institutions.

During the second programme cycle that was evaluated, particularly during the years 2005-2007, UNDP has been able to rapidly re-adapt and respond to the shifting demands of Government and donors but has not always struck a balance between long-term country development needs and short-term demands. This is partly due to the complexities of the political and socio-economic context of Guatemala and partly attributable to a number of system-related and organizational factors within UNDP, including strong dependence on external resources, limited instruments – until recently – for substantive support from headquarters to the country office, frequent changes in the senior management of the country office, as well as limited mechanisms at the country level to

introduce greater continuity in the achievement of its strategic objectives beyond government cycles.

Twelve years after the signing of the Peace Agreements, the recognition of limited advances in attaining the expected objectives prevails. The effectiveness of the support from UNDP for the development and security agenda of the Peace Agreements has been moderate. For both agendas, there is an urgent need to better align and harmonize international development cooperation with Government policies and local efforts, calling for national professional coordination capacities to be strengthened, a role UNDP could support, at the request of the Government, to a greater extent than has been the case.

This evaluation benefited from the collaboration of the personnel of UNDP Country Office in Guatemala, of the Regional Bureau for Latin America and the Caribbean, of representatives of the Government of Guatemala, civil society organizations, bilateral and multilateral donors and of the UN System in Guatemala.

I would like to thank the evaluation team, comprising Markus Reichmuth, team leader; Rosa Flores Medina, team specialist; Henry Morales López, national consultant; Fabrizio Felloni, task manager. I also thank the external reviewers Christian Buignon, consultant and international development specialist, and Alfredo Stein, development economist, for their useful comments.

I would also like to thank Cecilia Corpus, Thuy Hang and Anish Pradhan for their administrative support.

I hope that the results and recommendations of the report can support the response of UNDP to the development challenges of the country and provide lessons that are relevant for UNDP and its international partners.

Saraswathi Menon
Director, Evaluation Office

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ACRONYMS AND ABBREVIATIONS

ICA/ACI	International Cooperative Alliance
ODA/AOD	Official Development Assistance
BID /IDB	Inter-American Development Bank
WB/BM	World Bank
CAD/DAC	Development Assistance Committee of the OECD
CCA/ECP	Common Country Assessment/Evaluación Conjunta del País
CCF	Country Cooperation Framework/Marco de Cooperación al País
EC/CE	European Commission
CICIG	International Commission Against Impunity in Guatemala
CNAP	National Peace Agreements Council
CONAP	National Council of Protected Areas
CPAP	Country Programme Action Plan
CPD	Country Programme Document
DEMI	Indigenous Women's Defence Council
DEX	Projects executed directly by UNDP
DIGAP	Programme for the Dignity and Psychosocial Assistance of Victims of Armed Conflict
US	United States
EIU	Economist Intelligence Unit
ENCOVI	National Survey on Living Conditions
EO/OE	Evaluation Office
ERD/ADR	Assessment of Development Results
FAO	Food and Agriculture Organization of the UN
FIDA/IFAD	International Fund for Agricultural Development
FORPOL	National Civil Police Reinforcement Program
FTA International	Fixed Term Assignment International
GEF	Global Environment Facility
GNI	Gross National Income
IFC	International Finance Corporation
IMF/FMI	International Monetary Fund
INAB	National Forest Institute
INDH	National Human Development Report
INE	National Statistical Office of Guatemala
ITS/STD	Sexually Transmitted Diseases
MAGA	Ministry of Agriculture, Livestock and Food
MANUD/UNDAF	United Nations Development Assistance Framework
MARN	Ministry of Environment and Natural Resources
MECOVI	Improvement of Living Conditions
MINUGUA	United Nations Verification Mission in Guatemala
MYFF	Multi-Year Financing Framework
NEX	National Execution
UN	United Nations
NOB	Basic Operational Norms
OACDH	Office of the High Commissioner for Human Rights
OECD	Organization for Economic Cooperation and Development
OCHA	United Nations Office for the Coordination of Humanitarian Affairs

ODM/MDG	Millennium Development Goals
OIM/IOM	International Organization for Migration
OIT/ILO	International Labour Organization
ONG/NGO	Non-governmental organization
ONUSIDA/UNAIDS	Joint United Nations Programme on HIV/AIDS
OMS/WHO	World Health Organization
OPS/(PAHO)	Pan American Health Organization
PASOC	Program Alliance with Civil Society
PCR/CPR	Crisis Prevention and Recovery
PIB/GDP	Gross Domestic Product
PMA/WFP	World Food Programme
PNC	National Civil Police
PNR	National Reparations Program
PNUD/UNDP	United Nations Development Programme
UNDP-G	United Nations Development Programme in Guatemala
PPA	Gross Domestic Product (GDP) per capita
PRODDAL	Project on Democratic Development in Latin America
PRODDEL	Decentralization and Local Development Program
PRODEME	Metropolitan Development Program for the Municipality of Guatemala
PRODOC	Project Document
PROHABITAT	Project Habitat
PRONACOM	National Competitiveness Program
PRONADE	National Education Program
PYMEs	Small and Medium-Sized Enterprises
RBLAC	Regional Bureau for Latin America and the Caribbean
RECOSMO	Conservation and Development Project of the Sarstún-Motagua Region
REX	Regional Execution Project
RIC	Registry of Cadastral Information
RC	Resident Coordinator
SAA	Secretariat of Agricultural Affairs
SEGEPLAN	General Secretariat of Planning and Programming of the Presidency
SEPAZ	Secretariat of Peace
SEPREM	Presidential Secretariat for Women
SIAF	Integrated System of Financial Administration
SURFs	UNDP Regional Service Centres
TFR	Total Fertility Rate
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNOPS	United Nations Office for Project Services
UNS	UN System
UNV/VNU	United Nations Volunteers
URNG	Guatemalan National Revolutionary Union
US$/USD	U.S. Dollars
VIH-HIV	Human Immunodeficiency Virus

EXECUTIVE SUMMARY

INTRODUCTION

Assessments of Development Results (ADRs) provide an independent evaluation of UNDP's contributions to development in the countries where it operates.

The purposes of the ADRs are:

(i) to support the accountability process to the Executive Board and the interested countries;

(ii) to contribute to learning geared towards the planning of future UNDP activities by generating evidence based on the results of the programmes and the quality of the strategy.

This ADR spans the 2001-2008 period covering the UNDP strategic plans for Guatemala for 2001-2004 and 2005-2008. The assessment provides inputs for UNDP's next strategic document for the country, which will be presented to the Executive Board in June 2009.

Two main aspects were considered in the assessment:

(i) the contribution to the achievement of development results (programme area);

(ii) strategic positioning.

The following criteria were considered in the assessment of development results: effectiveness, efficiency and sustainability. The evaluation of strategic positioning was based on relevance, responsiveness, equity and partnership. In order to conduct the evaluation, two missions, preliminary and principal, were carried out in July and September 2008. Comments by the UNDP Office in Guatemala (UNDP-G), the Regional Bureau for Latin America and the Caribbean (RBLAC) and the Government of Guatemala on mission presentation and the preliminary report were taken into account. In accordance with UNDP Evaluation Office procedure, the principal report was also submitted for internal EO examination and a review by two external specialists[1].

THE COUNTRY CONTEXT

With 13 million inhabitants, 38 percent indigenous, Guatemala has the largest population in Central America. The country is classified as middle income, with a per capita $5,442. It ranks 118th among 177 countries in the Human Development Index. According to 2006 figures, over half the population lives in poverty, with 15.5 percent living in extreme poverty. Some 74.8 percent of the poor are indigenous people. The high Gini coefficient (55.1) reflects an unequal income distribution.

A multi-ethnic country, Guatemala occupies an area that was once the heart of the Mayan civilization. There are 23 ethnicities, each with its own culture and language. Historically, the indigenous population has been marginalized from the country's political process. From the 1960s until the mid-1990s, guerrilla forces and military governments were locked in an armed conflict whose main victims were the indigenous people. An "Agreement for a Firm and Lasting Peace" was signed in 1996 between the Government of Guatemala and the Guatemalan National Revolutionary Union. The United Nations, especially UNDP, played an important role in the achievement of peace and in the efforts to implement the Peace Agreements, particularly with the United Nations Verification Mission in Guatemala (MINUGUA, 1994-2004).

The Peace Agreements envisaged a solution to the structural problems at the root of the armed conflict. They addressed a wide range of issues,

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1. Alfredo Stein, economist and university professor, and Christian Bugnion, consultant and international development specialist.

such as poverty, inequality, food and employment instability, education, healthcare, basic social services, human rights violations and impunity. Early successes were achieved in the form of rapid demobilization of the guerrilla forces, political openness and an end to political persecution. However, much remains to be done to achieve the peace agenda's goals and various commitments are behind schedule. One important example is violence and insecurity: the total number of homicides rose from 2,665 in 1999 to 5,885 in 2006.

During the 1996-2006 decade, a net amount of $3.3 billion was allotted to Guatemala in Official Development Assistance (ODA). Of the total, 76 percent was contributed by the member countries of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD). Multilateral institutions provided 11 percent of the total ODA and the United Nations System (UNS) contributed 3.8 percent (0.5 percent being from UNDP).

CENTRAL PROGRAMME THEMES AND RESULTS BY AREA OF PRACTICE

During the period evaluated, UNDP efforts were geared towards the construction of a democratic State with particular attention to social issues (crisis recovery, social reintegration, health, education, housing, etc.) and more inclusive development in line with the Peace Agreements. Key results are presented below by practice area and expected results.

EFFECTIVENESS

DEMOCRATIC GOVERNANCE

In this area, the generation of institutional capacities and conditions for greater political dialogue was especially significant. UNDP played an important role in creating and support-ing the technical capacities of public institutions at the central, municipal and community levels.

UNDP contributed to the creation of strategic plans and relevant institutions to address the agrarian conflict in the country. In particular, UNDP participated in the establishment of the

Registry of Cadastral Information and the Secretariat of Agricultural Affairs, whose interventions yielded positive results in numerous cases. However, the process of legal recognition and certification of property rights is incomplete, as the law establishing the registry has limited its mandate. Ensuring legal recognition of property rights, especially for rural and indigenous peoples, is still a challenge.

In the area of State modernization, UNDP was active in the administration of public programmes. UNDP's support to the Municipality of Guatemala facilitated the creation of a long-term and large-scale programme going beyond the original focus on infrastructure. The programme now encompasses the environment and territorial planning as well. In the financial sector and in the promotion of competitiveness, UNDP facili-tated the operation of programmes but without substantive contributions to policy formulation; at times, a clear direction towards poverty reduction was lacking.

Civil society associations active in human rights issues, the fight against discrimination, and adult literacy were strengthened. This represented invaluable support in a country where civil society had been repressed for decades. Pioneering inter-ventions through resources and technical capacities contributed to the strengthening of individual civil society associations. Yet these interventions initially lacked a strategy for creating a network of core organizations and a conceptual framework to promote dialogue with the State. More recently, UNDP initiatives have been reoriented towards prioritizing such dialogue.

CRISIS PREVENTION AND RECOVERY

UNDP's contribution in sensitive issues such as the dignifying of victims of armed conflict is among its notable achievements. UNDP interventions promoted psychosocial assistance for the families of victims and anthropological forensic investigations. Another important contribution was the creation of political and technical conditions for establishing historical clarity and ensuring justice.

In the area of natural disasters, municipal crisis response units have been created. Equally important, methods and instruments have been developed to improve public responses to natural disasters such as tropical storm Stan of 2005. These methods and plans are being discussed and disseminated by the public authorities. The post-disaster reconstruction approach promoted by UNDP has combined risk management with economic initiatives for income generation to revitalizse the local economy.

On the issue of public security, quality studies have been produced. They have helped stimulate debate on public policies. The debates can be expected to guide the formulation of public strategies, provided that Government continues its support. On the other hand, when interventions have solely focused on formative and operational aspects, such as courses and equipment for police staff, without proper strategic processes and policies – as in the case of technical support provided to the national police – institutional strengthening has been limited.

POVERTY REDUCTION AND MDGs

The National Human Development Reports have contributed significantly to generating and informing public opinion on such crucial issues as poverty, women and healthcare, and ethnicity and diversity. The information briefs and kits produced have contributed to parallel initiatives from NGOs and civil society organizations.

Larger-volume projects in both programme cycles have been carried out in cooperation with the Ministry of Public Health and the Ministry of Education, focusing on extending the coverage of primary schools and basic sanitation services, including in areas with high concentrations of indigenous people. UNDP has contributed to a more rapid and neutral management of these projects. However, substantive contribution to defining public-sector policies was not always evident.

UNDP concentrated its efforts on areas of social development where it possesses experience and specialists. It made a marginal contribution in the

economic-productive sub-sectors considered in the strategic documents such as regulatory frameworks, access to production and financial means for the poor, strengthening grassroots production cooperatives. The country office lacks specialists in economic-productive development.

ENVIRONMENT AND ENERGY

This area is not explicitly mentioned in the 2005-2008 Country Programme Document, and the activities implemented correspond primarily to those executed with resources from the Global Environment Facility (GEF) at the regional level. UNDP assisted in the creation of the Ministry of Environment and Natural Resources through initiatives aimed at improving its capacity to build and set up programmes, and strengthening its regional participation and planning capacity. Municipal-level institutional capacity was also reinforced in terms of managing natural resources such as natural parks. Other initiatives, such as ecotourism, the carbon market, productive use of renewable energy, and promoting focus on climate change, exist but are isolated from the rest of the UNDP programme. They have limited visibility in public debates. UNDP's recent interventions are attempting to establish more direct synergies with other practice areas such as democratic governance and poverty reduction.

SUSTAINABILITY

The sustainability of development results achieved with UNDP support depends, above all, on the structures, policies and processes involved. The risk factors are recognized first in the weaknesses and instability of public institutions. This includes, among other things, low collection of taxes, which dramatically reduces the State's ability to provide services – notably in public security matters – and the lack of a legal framework for a public administration independent of political parties. Within the UNDP country programme, there is limited connectivity between projects and excessive programme fragmentation in small interventions, perhaps much too aligned to short-term requests of donors

or the Government and not always convincingly linked to the strategic axes. One may also note the absence of exit strategies: institutional and process conditions often have not been created to maintain the achievements and benefits after the finalization of the intervention. The dispersion in short-term interventions and the lack of connections do not lead to a capitalization of the achievements when the interventions end.

MANAGEMENT OF PUBLIC PROGRAMMES

There are incentives for UNDP and for the Government to entrust the administration of public programmes to UNDP. Governmental entities are subject to State legislation, making the hiring of personnel, contracting of goods and services, and annual budgeting difficult. Delegating the administration of a public programme to UNDP tends to mean greater expeditiousness in procurement and human resources matters, as well as a series of administrative facilitations through the application of UNDP norms. On one hand, it means a management that is relatively more efficient, transparent and neutral. On the other, it substitutes for the need to strengthen the efficiency of the State and inflates UNDP's resources in less substantive administrative activities. The State finds it difficult to manage large public programmes. For this reason, resorting to UNDP is a tempting option but it is also a short-term measure with doubtful effects on long-term institutional strengthening.

SELECTED STRATEGIC ISSUES

In Guatemala, UNDP and the United Nations are recognized historically as facilitators of the peace process, and impartial promoters of political dialogue concerning the most sensitive issues. For UNDP, this is a special and perhaps unique characteristic. Within the period evaluated (2001-2008), UNDP continued its mediating and articulating efforts, which is uniformly recognized by all members.

UNDP maintained coherence with the key principles of the Peace Agreements and encouraged adherence. However, during the second programme cycle evaluated, particularly from 2005 to 2007, UNDP's activities in Guatemala were characterized by thematic dispersion. The number of projects and range of themes rose and the average budget and duration dropped significantly. The surge in small short-term initiatives affected the quality, connectivity, synergy and sustainability of interventions.

The key factors for this dispersion are: (i) lack of a clear orientation with appropriate frameworks and methodologies to connect strategies with concrete initiatives, (ii) the need for external funds from the Government and donors, subject to their respective electoral cycles and related changes of direction, (iii) the shifting preferences and orientations of the senior management team of UNDP country office, which have changed frequently over the last seven years, and (iv) the limitations in strategic guidance and supervision from headquarters.

The high level of decentralization in the UNDP system offers advantages to the country offices in terms of programme flexibility and adaptation to local emergencies and changes. At the same time, without systematic and strategic guidance, such flexibility carries a risk of dispersion when facing requests from the Government and donors. New tools for strategic orientation from headquarters have been discussed within UNDP since 2008.

UNDP has the capacity to respond to the development challenges in Guatemala, which are mainly structural and need a long-term focus. UNDP needs a strategic foundation that lasts beyond a government cycle and is based on longer-term approaches and methodologies.

UNDP has worked extensively with public entities and enjoys high visibility in and consideration from several ministries. It has also made efforts to work with civil society organizations. UNDP has worked little with the private sector, probably because of these organizations' limited interest and involvement in development and

poverty-reduction activities in the past. Nowadays, some private organizations are starting to change their attitude and business culture, subscribing to new value codes that include social responsibility to the community, law and ethics.

UN agencies believe that their Development Assistance Framework (UNDAF) has made significant progress in supporting coordination and that UNDP has made efforts in exchanging information with other agencies within the UNS. However, in the programme areas there are still duplications among agencies, e.g. in healthcare and environmental emergencies. Moreover, each agency continues to plan its activities independently. A framework such as UNDAF is necessary but not sufficient to bring together the concrete work of the different agencies. Joint planning at a more operational level is required.

The UN and UNDP, in particular, have a strong presence in Guatemala. Their contribution to the peace process as mediators has been crucial. UNDP's special position grants it a function of a hinge between the Government and international organizations. UNDP has assumed this function to a certain point and has the potential to strengthen it in connection with the principles of the Paris Conference on the effectiveness of development cooperation. The constituent nature of the UN and UNDP can give a comparative advantage to UNDP positioning within multilateral and bilateral development cooperation entities, if it could gain the corresponding credibility.

CONCLUSIONS

Overall, this ADR concludes that UNDP has made substantial contributions to human development in Guatemala in the present decade, but that its strategy has not been sufficiently cogent to avoid a dispersion of activities in the second programming cycle under consideration. Its positioning resulting from its peace-building role in the 1990s is increasingly challenged by emerging development issues.

1. In Guatemala, the UN combined the peace-building mandate of the General Assembly with post-conflict development interventions, leading to the high visibility and reputation UNDP still enjoys with national authorities.

Guatemala has been one of the not-so-frequent cases in which the United Nations closely combined the peace-building mandate of its General Assembly with post-conflict development, as a recent UNDP Thematic Evaluation confirmed[2]. During the initial period covered by this evaluation, MINUGUA supported peace-building efforts with an important presence in the country in terms of staff and attributions. The main purpose was to help establish and implement the Peace Agreements and heal the wounds of three decades of internal armed conflict and human rights violations, particularly against indigenous peoples. Along with MINUGUA, UNDP provided ample technical assistance and project management services, appreciated by both the Guatemalan authorities and donors.

This history strongly marked UNDP's strategy and portfolio, involving it in many parts of the Peace Accord agenda signed at the end of 1996. Today UNDP in Guatemala is recognized as a neutral agency, a broker, facilitator and promoter of dialogue on sensitive issues and between opposite groups. It has gained substantial reputation, visibility and credibility in the country.

2. UNDP has generated considerable value addition in the areas of governance and crisis prevention and recovery; they will continue to be important for UNDP and the country. UNDP's record is less strong in poverty reduction, energy and environment. Yet with the outbreak of the global economic crisis, the latter two areas will rise in importance and may require a revision of UNDP's strategy, challenging its past priorities in the country.

UNDP managed to build a relatively solid programme in governance and crisis prevention and recovery, with some cases of good practices at the regional level. The record is less strong in the

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2. UNDP Evaluation Office, 'Evaluation of UNDP Assistance to Conflict-Affected Countries, Case Study Guatemala', 2006

areas of poverty and environment, with the notable exception of the National Human Development Report (INDH) and connected activities, which were not sufficiently taken into account in strategy formulation. Yet poverty and environment are likely to acquire more prominence in the near future: the first symptoms of the global crisis have become visible in early 2009 in Guatemala, with an inverted flow of migration and decreasing remittances for the first time in many years.

UNDP has strong analytical capacity and experience in the social sectors through its INDH group. It has been relatively successful in supporting the implementation of social public programmes but less so in helping to shape the related policies and in providing high-level advisory support to decision makers. Its environmental agenda has been driven by external funding (GEF) and has limited visibility in the country. UNDP has little experience in promoting economic-productive programmes for poverty reduction in Guatemala.

3. While UNDP has made efforts to introduce strategic planning in this decade, the effects have been relatively weak in terms of orienting and improving its programmes. This is partly due to the complexities of the political and socio-economic context of Guatemala and partly attributable to a number of systemic and organizational factors within UNDP.

The context in Guatemala has been characterized by deep divisions in the population, reflected in a shifting political party spectrum. The evaluation has perceived a high variability of policies and directions within and between governments in Guatemala, also as a consequence of weak coalitions since the Peace Accords. Furthermore, overall tax collection has traditionally been very low, and the legal framework for public administration is complicated, impairing effective government action.

In this context, UNDP Guatemala's strong dependence on external resources provided incentives to respond to shifting external demands for its services, not always in accordance with its substantive mandate. And internally,

UNDP has been perceived as an institution in permanent change. Resources and tools have been limited for substantive support from the headquarters to the country office. Senior management of the UNDP country office changed frequently in the evaluated period, with consequent changes in priorities. Against this scenario, the strategy defined by UNDP and its partners has retained little power to orient its activities. At the country level, no strong mechanisms (e.g., an advisory council with high-level members from major sectors in the country) are in place to introduce greater continuity in the achievement of its strategic objectives beyond government cycles.

In the second programming cycle evaluated, a portfolio of activities emerged which was characterized by smaller projects of shorter duration in a broader spectrum of areas, mostly without a defined exit strategy, all under the broad roof of the approved CPD and UNDAF. Moreover, when acting "upon demand" of the Government, such as in the case of the management of public programmes, UNDP has not always kept a balance between short-term requests and long-term development goals nor always contributed to longer-term capacity building of national institutions.

4. The effectiveness of the support of international cooperation and UNDP for the development and security agenda of the Peace Agreements has been moderate; twelve years after they were signed, a sobering recognition of limited advances in attaining their objectives prevails, pointing also to the need for a more effective use of international resources.

Both representatives of the indigenous peoples as well as the Government, when analyzing the progress in the implementation of the Peace Agreements in the latter stages of the previous government (November 2007), presented a sobering account on the achievements so far, in particular for the indigenous peoples. Crucial socio-economic structures such as access to and ownership of production factors, inclusion into political decision centres, and enforcement of human and civil rights changed little. International cooperation and UNDP, while providing support in many public areas, have produced

limited results for a more equal development in favour of disadvantaged groups, and of indigenous peoples in particular.

In the field of security, due to the configuration of the political forces in the country and limited public and external commitment including from UNDP, the spread-out support could not reverse a continuously worsening situation of violence and insecurity in Guatemala during the period under consideration, and this during a time of economic stability and growth. The most cited indicator is the homicide rate which has increased every year and doubled during this period[3]. For both the development and the security agenda, there is an urgent need to better align and harmonize international development cooperation with government policies and local efforts, calling for national professional coordination capacities to be strengthened, a role UNDP could support, at the request of the government, to a greater extent than has been the case.

RECOMMENDATIONS

This ADR recommends that UNDP take advantage of the opportunity of programming a new cycle in the country to redefine its strategic positioning. Twelve years after the end of the armed conflict and the signing of the Peace Agreements, Guatemala and its context have evolved, challenging UNDP to adapt its role and strategy. For the new planning cycle 2010-2014, the present evaluation recommends a revisiting of UNDP strategy, orientation and role in the country.

RECOMMENDATIONS TO THE UNDP OFFICE IN GUATEMALA

Strategies and programmatic areas

1. UNDP should establish priorities between and within its thematic areas and prepare a specific strategy in each thematic area, highlighting synergies within the UNDP programmes and linkages with plans of other UN agencies. In particular: (i) the area of public security will require special attention due to the high social and opportunity cost of the current weak security conditions; (ii) UNDP needs to clarify the role that it intends to play and the value addition it intends to bring in the areas of poverty reduction, energy and the environment. While UNDP's strategic positioning in these areas is low-key, they are likely to strongly impact the political agenda in the country in the coming years.

2. The two cross-cutting issues of gender and indigenous people require increased attention at the strategic level: it is recommended that a gender equity dimension be explicitly included in the programming of future activities, based on the existing guidelines. Furthermore, the social, political and economic inclusion of indigenous people should be an integral part of UNDP's political dialogue.

3. UNDP should rebalance its support to the Government in favour of increased high-level advisory services to the Executive, Legislative and Judicial powers, reducing the emphasis on the provision of programme administration services. At the same time, the focus on the regional level should be increased, in terms of themes and resources, in view of regional integration and common challenges.

4. UNDP should accompany its project management services with an insistence on an improvement in the conditions for public administration capacities; this requires, in the first place, stronger support for the modernization of the State, especially to achieve (i) a professional public administration career which is independent of political parties; (ii) increased democratic and multiparty dialogue; (iii) the renewal of the Fiscal Pact for a wider-ranging and progres-

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3. A 2006 UNDP Guatemala study, *The Economic Cost of Violence in Guatemala*, estimated that violence had cost 7.3 percent of GDP, or close to $2.4 billion in health lost, institutional costs, private security expenses, investment climate and material losses.

sive tax collection; and (iv) the review of laws that encroach upon the administration of Government policies and programmes.

5. Although UNDP acts upon requests from the Government, it should not coincide its strategic planning with the electoral cycles but should express its commitment with development objectives in the country through long-term strategic plans (from six to eight years), in a planning cycle with reviews every two or three years (one, evidently, after a change of Government).

6. Projects and programmes should be established with longer duration, larger volume and defined exit strategies in accordance with strategic plans, in order to achieve greater sustainability of the effects of UNDP support.

Organizational aspects

7. Unexpected external shocks and multiple influences on programme decisions require a strengthening of reflection and periodic review of the strategic orientation of the UNS and UNDP in the course of the programme cycles; one recommended measure is to institutionalize a high-level advisory mechanism in the country which represents its major sectors and supports senior management in shaping and maintaining its long-term strategy.

8. Reinforce communication and strategic leadership within and between the country office programmatic teams by strengthening integration at an intermediate management level. It is also recommended that advisors, directors and officers of proven experience – including the INDH team – be involved in the formulation of strategies.

9. Reinforce the function of monitoring and evaluation at the UNDP project and programme level in order to establish a more systematic evaluation of the development effects and outcomes. In parallel, the capacities

of the Government to monitor and evaluate the implementation and results of its sectoral policies should be supported.

Coordination, harmonization and cooperation with partners

10. Given the universal nature of the United Nations, it is recommended that UNDP differentiate itself from the image of being "a development agency among others", reinforcing its role as a neutral, transparent and professional coordinator in the field of external development cooperation in Guatemala; it is also well positioned to support the Government when and where it requests help to better comply with the Paris Agenda regarding development effectiveness.

11. Within the UN system, it is recommended that UNDP support a process of greater harmonization among the agendas of each agency, with a comparison of annual project portfolios already at the planning stage, eliminating duplication and acting with one voice where pertinent from the perspective of the national authorities.

12. Regarding policy dialogue with partners, opportunities should be increased for collaboration with the private sector on the issue of corporate social responsibility, including private, national and overseas foundations.

RECOMMENDATIONS TO THE HEADQUARTERS

13. In view of the past high turnover of UNDP senior country office management, the ADR recommends creating incentives for a longer permanence of senior management staff.

14. The Regional Bureau should assume a more systematic role in the strategic and programmatic support towards the country office, from its central office in New York and/or from its sub-regional office in Panama. The division of functions and work between RBLAC and the office in Guatemala should be defined with greater precision.

Chapter 1

INTRODUCTION

In line with Executive Board decision 2007/24, the UNDP conducts Assessment of Development Results (ADRs), which are independent evaluations of the organization's contributions to development at the country level. These assessments seek to ensure UNDP's accountability as a development organization, provide an evidence base for learning on substantive matters, and support programming at the country-office level.

This ADR evaluates two past programme cycles in Guatemala, contained within the strategic documents for the 2001-2004 and 2005-2008 periods.[4] There have been three governments during the evaluation period: Alfonso Portillo (2000-2003), Oscar Berger (2004-2007) and Álvaro Colom Caballero (since January 2008); three UNDP Resident Representatives (Juan Pablo Corlazzoli, 2001-2005, Beat Rohr, 2006-2008, and René Mauricio Valdés from September 2008); and two interim representatives (Bárbara Pesce Monteiro, 2005-2006, and Xavier Michon, 2008). Currently, UNDP and UNS in Guatemala are preparing a new programme cycle for the 2010-2014 period.

The goal of this ADR is to:

■ Identify the progress of the expected development results, outlined in the documents of UNDP's last two programme cycles, whose contents reflect to a large extent the objectives of the Peace Agreements;

■ Analyze how UNDP has positioned itself in Guatemala in order to add value to the efforts to promote development in the country;

■ To present findings and lessons learned with a view to preparing the new strategy and future management of UNDP.

Evaluation process. In accordance with UNDP Evaluation Office (EO) guidelines, a team of three members (two international and one national[5]) and the EO task manager was set up. After a thorough reading of key documents, interviews at UNDP headquarters in New York and a preliminary mission in Guatemala at the end of July 2008, the focus and methodology of the evaluation were defined and key stakeholders mapped. These were articulated in an inception report.

The three-week main mission took place from 24 August to 12 September 2008. Numerous interviews were organized at the capital and during several field visits. At the mission's closing, three feedback meetings were organized with: (i) UNDP country office management, (ii) staff of the office (iii) and representatives from the Government of Guatemala. The comments expressed were taken into account in the drafting of the report. The evaluation team thanks the UNDP staff, Government authorities and all those interviewed during the principal mission for their collaboration.

In accordance with EO procedures, the inception and main reports were submitted for review by EO and by two external advisors.[6] Feedback from the UNDP country office, from the UNDP Regional Bureau for Latin America and the

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4. For the 2005-2008 CPD, UNDP asked for a one-year extension in order to coordinate programme planning with a new Government, which the Executive Board granted. Therefore, the current country programme document extends to 2009.

5. Markus Reichmuth (Switzerland), team chief; Rosa Flores (Peru), team specialist; and Henry Morales (Guatemala), local consultant. Fabrizio Felloni (UNDP evaluation officer) participated in the preliminary and principal missions.

6. Alfredo Stein, economist and university professor, and Christian Buignon, consultant and international development specialist.

Figure 1. ADR levels of analysis

STRATEGIC AREA			
Democratic Governance	Crisis Prevention and Recovery	Poverty Reduction	Environment and Energy
PROGRAMME AREA			
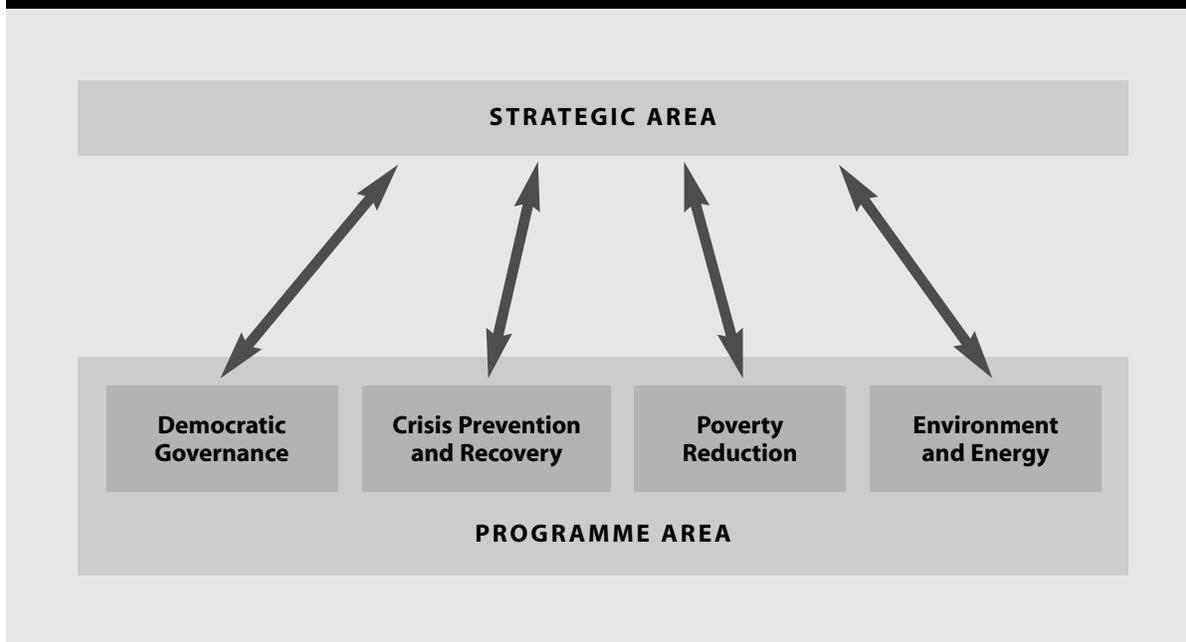
Note: During the period chosen for this assessment, the classification of the programme areas was changed several times.

Caribbean (RBLAC) and from the Government of Guatemala was taken into consideration.

Key criteria. Under the terms of reference, the assessment considered two main aspects: (i) development results (programme area) and (ii) strategic positioning (Figure 1). The development results were assessed based on effectiveness, efficiency and sustainability. As for strategy, assessments were based on the EO standards of relevance, responsiveness, equity and partnerships. A series of sub-criteria were developed (Annex 4).

Programme-level analysis is not limited to assessment of individual projects. It is focused mainly on the contributions of the programme to the expected outcomes at the strategic level. The evaluation considers the projects as "case studies" from which to draw more general and strategic conclusions for UNDP.

As to the assessment of effectiveness, some expected outcomes were in reference to complex, long-term changes (e.g. "*More transparency and effectiveness in the administration of public services*"

or "*Higher level of awareness and exercise of non-discrimination rights*"), while UNDP interventions are frequently executed over the short to medium term, sometimes lasting only one to two years. For this reason, in some cases, this evaluation could not find evidence of long-term achievements but could instead "observe" intermediate results and (partial) processes such as changes in perceptions, approaches and methods in the behaviours of stakeholders and institutions, which can contribute to the range of expected outcomes, along with other external factors (Figure 2).

1.1 DATA COLLECTION METHODS

Desk review. The ADR bases its analysis on UNDP's role, positioning and contributions to development in Guatemala through evidence collected by the evaluation team. The first step was a review of available documents on the strategies and operations of the UN and of UNDP at the corporate level and within the country. Studies and reports from other international organizations and scientific research institutions were also examined during this stage.

CHAPTER 1. INTRODUCTION

Figure 2. Assessment of effectiveness
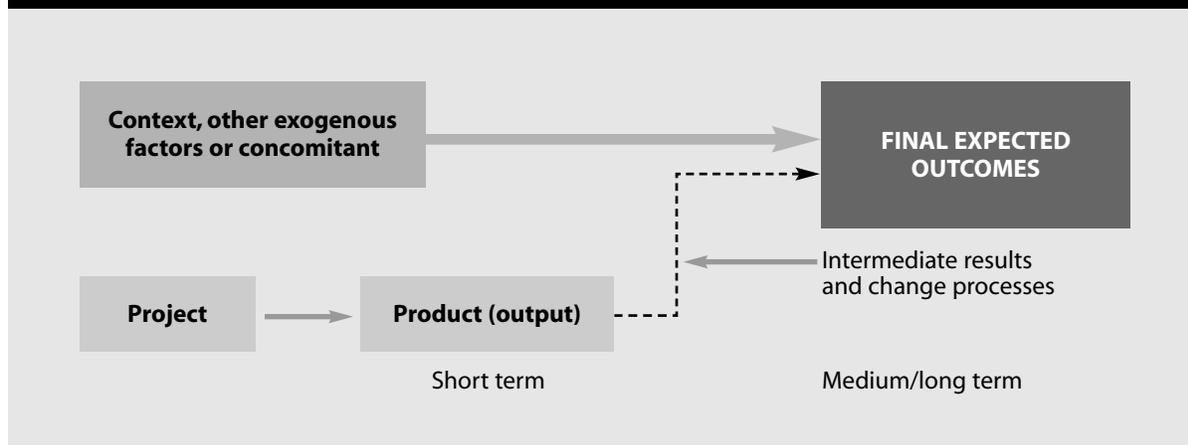
Project reviews and field visits. Next, a sample[7] was taken of 32 projects and programmes formulated and executed during the 2001-2008 period. The sampling was necessary because of the large number of existing projects (186, according to the Atlas classification, which correspond to 137 actual projects carried out).[8]

Out of the sample, 20 projects were randomly selected for interviews with key actors from Government, international agencies, NGOs, civil society associations, scientific research institutions, and beneficiary institutions or individuals outside UNDP within the Guatemalan capital. The key actors were defined by means of stakeholder mapping before the main mission.

Finally, for six of the 20 projects, interviews and field visits were organized with beneficiaries during the second week of the mission. Given the limited time available for field interviews (five days), the five departments with the greatest concentration of UNDP activity (Quiché, Sololá, San Marcos, Izabal, and Petén) were identified and

the active projects (from the sub-list of the 20) were selected. During the visits, attention was focused on organizations, communities or households that were beneficiaries of the interventions.

1.2 THEMATIC AND STRATEGIC ROUNDTABLE DISCUSSIONS

To prevent the analysis from focusing only on project details, several thematic and strategic discussion groups were organized with UNDP staff and with outside sectoral specialists from Government, civil society, politicians, academia, and UNDP consultants. The information obtained from document review, discussions with the UNDP team, interviews with members and beneficiaries at a strategic and programme level as well as findings from direct field observations were validated in accordance with the principle of triangulation.

UNDP activities are a set of interventions of different actors, influenced by national factors such as history, public policies and economic cycles.

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7. Random sampling was performed to ensure unbiased representation. Projects were selected using data from the "Project Information Table" provided by UNDP's Monitoring and Evaluation unit. The sample was first depurated of projects approved before 2001. Then projects were listed by expected results of each strategy, i.e. the 18 outcomes of the 2001-2004 cycle and the seven of the 2005-2008 cycle. Next came random selection (random leaps). The details on the sample are available in Annex 3.

8. The Atlas system can provide project information liable to misinterpretation because financial contributions from different sources for the same activity recorded separately may be counted as different projects when, in reality, they are under the same award.

UNDP's contribution to development was assessed by seeking information on the exact nature of the interventions, as well as by identifying concrete examples of the effects of instruments, institutional mechanisms, resources, capacities and skills introduced by UNDP. This is a qualitative analysis based on evidence and the triangulation of available data. In one case, during field visits of communities affected by tropical storm Stan, the evaluation could consider "control observation" by including some communities covered by Project HABITAT and others not assisted.

Chapter 2

NATIONAL DEVELOPMENT CONTEXT

2.1 GEOGRAPHICAL AND DEMOGRAPHIC BACKGROUND

Guatemala is in Central America bordered by Mexico on the north and west, El Salvador on the south, and Honduras and Belize on the east. It has a surface area of 108,889 square kilometres, two thirds of which is mountainous, with dense jungles in the north and fertile plains on the coast. Of the 13.22 percent arable land, 5.6 percent is used for permanent harvesting. The climate is subtropical, hot and humid in the lowlands, and temperate in the highlands. The most important natural resources include petroleum, nickel, precious minerals (including gold), fish and gum sapota. Guatemala is at risk from natural disasters with occasional violent earthquakes. The Caribbean coast is extremely susceptible to hurricanes and other tropical storms.

With a population of nearly 13 million, Guatemala is the largest country in Central America. Population growth decelerated from 2.89 percent per year in 1950 to 2.6 percent in the 1970s. It is currently 2.5 percent, above the Latin American average of 1.6 percent[9]. This is explained by Guatemala's total fertility rate (4.2 children per woman), which is higher than the average in Central and Latin America and the Caribbean (both are at 2.5 children per woman). The population is characterized by high poverty, a strong urban-rural dichotomy, and high percentages of youths and indigenous peoples[10]. The young people (under 14 years of age) represent 41.4 percent of the population. Women represent 52 percent and indigenous people 38.4 percent. About 52 percent of Guatemalans live in rural areas.

2.2 POLITICAL CONTEXT

Multi-ethnic country. Guatemala occupies an area that was once the heart of the Mayan civilization. It is a country characterized by multi-ethnicity. There are 23 indigenous groups, each with its own culture and language. Historically, the indigenous majority has been marginalized from the country's political process.

After the Mexican conquest, the area of today's Guatemala came under the control of Spain, from which the country gained independence in 1821. Until 1944, it was ruled by a series of dictatorships, with transformation processes that, since 1871, favoured the establishment of large estates. In the 19th and 20th centuries, there was an increase in immigration from Europe. These immigrants seized large extensions of land and set up plantations, first for coffee and then for bananas. Attempts by a progressive government to institute democratic and agricultural reform between 1944 and 1954 failed amid a US-led military intervention, which restored power to the traditional elite.

Until the 1980s, the government assigned large extensions of land to high military commands. In the 1990s a small percentage of the population owned more than 80 percent of the country's best lands.[11] The problem of land possession remains unresolved. Guatemala lacks a general land registry covering a significant part of the country

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9. EIU (2007) Country Profile.

10. UNDP (2004) Draft Country Programme Document for Guatemala (2005-2008).

11. Morales, H. (2007) ¿Por qué tanta frustración? La cooperación internacional en la decada de la Agenda de la Paz en Guatemala. Editorial de Ciencias Sociales, Guatemala.

because of the opposition of large estate owners and, lately, the increased power and control of illegal entities such as drug traffickers.

Thirty-six years of armed conflict. From the 1960s to the mid-1990s, Guatemala was riven by domestic warfare between leftist guerrilla forces and militarized governments, whose main victims were indigenous people. The Historical Clarification Commission established in 1998 with the Peace Agreements estimated that, during the armed conflict, 42,000 human rights abuses were committed, including 626 massacres ("*clearing the land*") with 200,000 confirmed victims. With a few exceptions, these cases have still not been investigated. The conflict forced an estimated 400,000 people to flee the country. The armed conflict was brought to an end in 1996 with the signing of the Peace Agreements drawn up with UN support.[12] The process was started with the Esquipulas Peace Agreements in 1987, in which Central American presidents committed themselves to finding negotiated exits to the region's internal conflicts. It culminated in an "Agreement on a Firm and Lasting Peace" signed at the end of December 1996 between the Government of Guatemala and the Guatemalan National Revolutionary Union (URNG).

The peace agenda[13] proposed by these agreements attempts to resolve the structural problems that caused the armed conflict. Among the main issues are: (i) unequal distribution of land and income (ii) high poverty and extreme poverty indexes (iii) food insecurity (iv) unemployment (iv) lack of access to education (v) lack of access to healthcare, housing and other basic services (vi) numerous violations of human rights and impunity, and (vii) lack of justice, poor governance and absence of a true democracy.

Among the early successes of the peace process were the rapid demobilization of the guerrilla

forces (estimated to be 4,000 combatants), greater political openness and an end to political persecution. The size of the armed forces was reduced by one third and, in 2003, the presidential guard was abolished. However, the reduction of violence is proceeding slowly, causing popular frustration. Guatemala has a long tradition of violence, whether political (coups d'état, military governments, guerrilla uprisings, armed conflict, rightist paramilitary groups, political assassinations, etc.), social (intra-family violence, violence against women, etc.), economic (theft, kidnapping, extortion, and gangs) or institutional (community lynching, police participation in criminal acts, expansion of the influence and embedding of organized crime and drug-trafficking in State institutions etc.). Security forces capable of ensuring public order are lacking. Private security companies currently outnumber public forces by 75 percent.

On 29 December 2006, Guatemala commemorated the tenth anniversary of the Peace Agreements. They have brought such benefits as the end of political persecution, tolerance of leftist political ideas, and increased social participation and organization. However, an evaluation from the Secretariat of Peace (SEPAZ)[14] concludes that the three governments in office during this period used the peace agenda mostly to consolidate an external image, without carrying out substantial internal changes.

During the period considered for this assessment, Guatemala was under the governments of Alfonso Portillo (January 2000 to January 2004) and Oscar Berger (January 2004 to January 2008). The current government is headed by Álvaro Colom Caballero, the first president of a social democratic administration since the signing of the Peace Agreements[15]. After assuming power in January 2008, the Colom administration

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12. UN General Assembly: United Nations Verification Mission in Guatemala, Final report of the Secretary-General No. A/59/746, March 2005. The other information in this paragraph comes mostly from the EIU Country Profile 2007.

13. Annex 5 presents a summary of the main points of the Peace Agreements.

14. SEPAZ: Peace Agreements in Guatemala: Ten years after its signing: ¿Oportunidad Desperdiciada? Agenda Pendiente y Ningún Motivo para Celebrar; Guatemala, October 2006.

15. Economist Intelligence Unit. 2008. Country Report: Guatemala

designed an ambitious 100-day plan centred on governance, solidarity, productivity and social cohesion. The implementation of these programmes poses a challenge for the government, given the country's violent crime rates – one of highest in the world – as well as weak fiscal earnings, which, at around 12 percent of GDP[16], is one of the region's lowest.

Weak governance, violence and low citizen participation. The peace accords outlined a way to develop a democratic system and to strengthen regulation and law enforcement. Institutional weaknesses and lack of confidence in the judicial system, compounded by frail public security, make democratic governance in Guatemala one of the weakest in Latin America.

Law enforcement, particularly the issue of public security, remains the greatest concern. The current violence seems mainly influenced by gangs (or maras) and drug traffickers. As noted in the Resident Coordinator's 2006 Annual Report: "[I]n 2005, more than 11,500 criminal acts against humanity were reported, and 5,338 Guatemalan men and women were murdered, representing a rate of 44 homicides for every 100,000 inhabitants". This rate is comparable to those of other countries of Central America. Nevertheless, the total number of homicides rose from 2,665 in 1999 to 5,885 in 2006 (an increase of more than 100 percent).[17]

At the end of 2006, the Government and the UN finalized an agreement to establish the International Commission Against Impunity in Guatemala (CICIG), mandated with investigating the activities of illegal groups and organizations. CICIG began operations in March 2008 with funds from the governments of Denmark, Spain, Finland, Holland, Norway, Switzerland and, recently, Italy.

President Colom's government recognizes the many challenges to achieving sustained development and the need to stimulate social participation to reduce poverty. The programme document drawn up for the Government's first 100 days identified specific immediate actions directed towards strengthening public security, fortifying the justice system and the National Police, fighting corruption, facilitating development, and instituting democratic legislation.

Despite public frustration with their slow implementation, the Peace Agreements have been maintained as a point of reference for Government plans of action:

- The Government of Alfonso Portillo (2000-2004): The plan called "Social policy matrix 2000-2004", whose goal was the reduction of poverty by 80 percent and vigorous actions in the fields of education, healthcare, housing, employment, agriculture, promotion of women's issues, transportation, the environment, among others. Policies directed towards the indigenous peoples were also considered to promote wage increases for all employees and to boost the conclusion of the fiscal pact.

- The Government of Oscar Berger (2004-2008): The plan "Vamos Guatemala" contained an ambitious programme to create social solidarity, competitiveness and confidence. In 2006, the Government adopted a poverty reduction programme "Guate Rural Solidaria", in line with the MDGs, which focused on four areas: (i) social protection for risk management and support to vulnerable groups (ii) education and training (iii) basic social services, and (iv) projects to increase family income.

- The Government of Álvaro Colom (2008-2012): The "Plan of Hope 2008-2012" has a long-term focus (until 2032), introduced by way of a short-term plan "Actions of the first 100 days of Government"; it emphasizes governance, solidarity, productivity and social cohesion.

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16. According to the IMF (2008), the fiscal earnings between 2003 and 2007 were between 11.2 and 12.3 percent of GDP.
17. UNDP Statistical Report on Violence in Guatemala (2007)

Table 1. Key socioeconomic indicators							
Socioeconomic indicators	2000	2001	2002	2003	2004	2005	2006
GDP growth (annual %)	3.6	2.3	2.2	2.1	2.7	3.2	4.5
GNI per capita, PPP (current international $)	4.310	4.440	4.460	4.540	4.680	4.860	5.120
Inflation, GDP deflator (annual %)	6.8	7.6	8.0	6.3	7.0	7.8	6.3
External debt, total (current $ millions)	3.853	4.288	4.432	5.082	5.530	5.348	5.496
Military spending (% of GDP)	0.8	0.9	0.7	0.7	0.4	0.3	0.4
Life expectancy from birth, total (years)	67.9	..	68.9	..	..	69.7	69.9
Population in millions	11.2	11.5	11.8	12.1	12.4	12.7	13.0
Population growth (annual %)	2.4	2.4	2.5	2.5	2.5	2.5	2.5
Total fertility rate (births per woman)	4.8	..	4.6	..	..	4.3	4.2
HIV prevalence (% of the population between 15-49)	..	..	..	0.9	..	0.9	..
Primary school completion rate (% of the group in relevant state)	57.7	60.3	64.1	65.2	69.8	73.7	76.5
Rate of girls in relation to boys in primary and secondary education (%)	88.9	89.6	90.1	90.6	91.1	91.6	92.3
Total debt service (% of export of goods, services and income)	8.4	8.7	7.4	7.2	7.5	4.8	4.8
Worker remittances and employee compensations received (% GDP)	3.1%	3.0%	6.9%	8.6%	9.5%	9.6%	10.3%

Source: World Development Report, World Bank Group

2.3 ECONOMIC CONTEXT

Agriculture occupies a very important role in the Guatemalan economy. In 2006, GDP was $35.33 billion, 59 percent corresponding to the service sector, 22 percent to agriculture and 19 percent to industry. GDP per capita reached $5,442. In the same year, the export of goods and services represented 16 percent of GDP and the imports 31 percent. The negative balance has been compensated partially by the remittances of more than a million Guatemalans who live abroad. In 2007, the remittances represented 10.3 percent of GDP (Table 1).

Economic recovery since 2004. The national economy recorded discouraging rates of growth from 2001 (coffee crisis) to 2004 (Table 1), when the trend was reversed. In spite of general macroeconomic stability, company and consumer confidence was weak. From 2001 to 2003 the economic growth slowed down to below the population growth rate of 2.7 percent. Investor confidence has been reaffirmed in recent years by the implementation of the Free Trade Agreement among the United States, Central America and the Dominican Republic (DR-CAFTA), prudent macroeconomic management, increasing competitiveness and export diversification.

The fight to contain inflation, stimulated mainly by the constant rise in gasoline, wheat and corn prices, has complicated monetary policy. In 2006, the central bank was successful in maintaining inflation within the predicted range. In an effort to mitigate the economic shock of the country's dependence on agricultural exports like coffee, sugar and bananas, efforts of the last

Figure 3. Populations earning less than $1a day (GDP per capita)
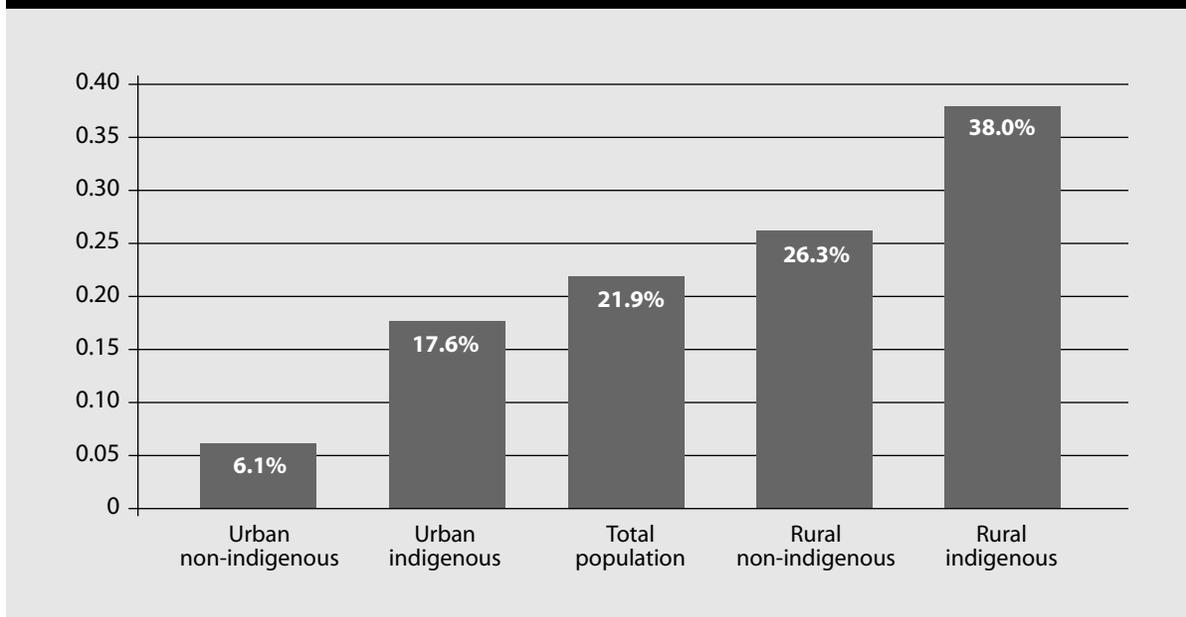
Source: UNDP Guatemala Human Development Report 2005

decade to raise export of non-traditional agricultural products and manufactured goods have increased earnings.[18]

During the 2004-2008 period, informal unemployment increased while formal unemployment fell. Unemployment, as a percentage of the labour force, remained at 3.4 percent. Agriculture continues to be the largest employer, providing 39 percent of the total of jobs, followed by the service sector (38 percent) and industry (20 percent).

Although direct foreign investment has grown under the new trade agreements (Annex 1, Figure 1.2) the Government still confronts the challenge of reaching a consensus on fiscal reforms that would stimulate investment and address social needs. Concerns about security, labour force quality, shortages, poor human development conditions and weak infrastructure will continue to impact investments and challenge the administration's

economic goals. According to a World Bank study on business friendliness, Guatemala ranks 112 among 181 countries, with particular problems in the opening of businesses and handling of construction permits.

2.4   HUMAN DEVELOPMENT CONTEXT

Poverty, inequality, and disadvantages for the indigenous. Poverty reduction, inequality and exclusion remain Guatemala's main challenges. According to UNDP CPD 2005-2008, in order to halve poverty by 2015, an annual economic growth rate of 2.5 percent must be coupled with an inequality reduction rate of 6 percent.

Guatemala is categorized as a country of medium human development, with a rank of 118 among 177 countries[19] and a Human Development Index of 0.689. It has the second highest inequality rate in Latin America (after Panama) with a

18. Guatemalan Central Bank, Study of the National Economy 2005, Available at www.banguat.org/publications
19. UNDP. 2007/2008. Human Development Report. *Fighting climate change: Human solidarity in a divided world*. New York: Palgrave Macmillan.

Figure 4. Education and poverty levels (%)
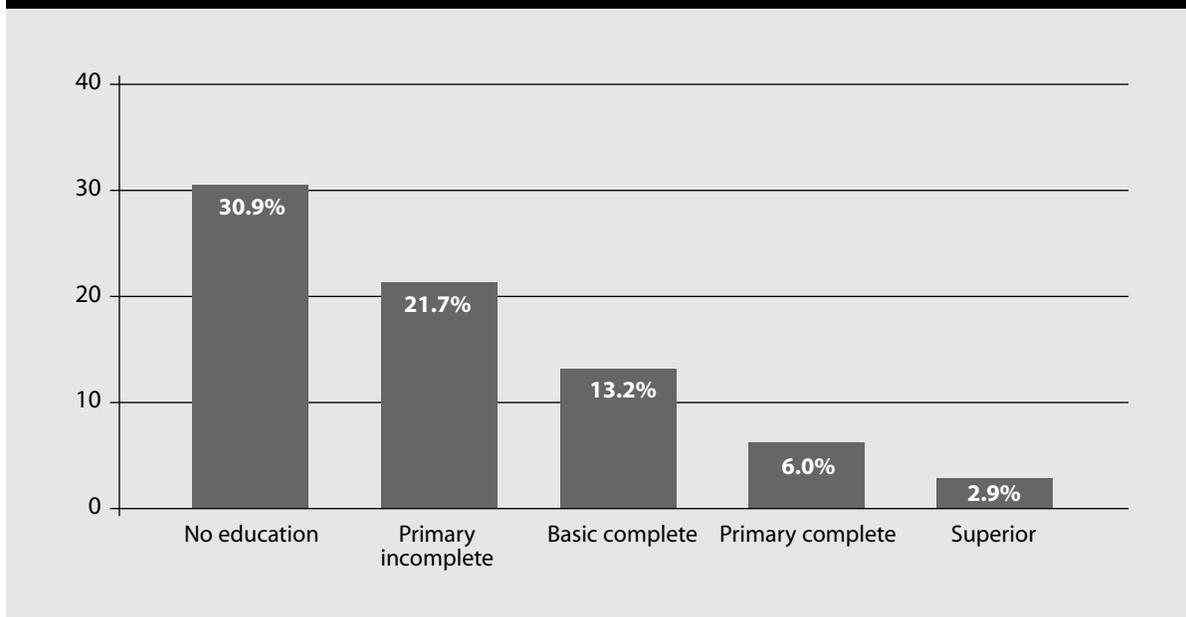
Source: NMDG Report 2006

very high Gini coefficient (55.1). Some 64 percent of the national income is in the hands of 20 percent of the population.

Extreme poverty declined during the 1990s but increased after 2000, owing to the coffee crisis and drought, reaching 21.5 percent in 2004 and falling again in 2005[20]. According to 2006 figures, more than half of the population lives in poverty and 15.2 percent in extreme poverty. Rural areas record the highest poverty rates at 72 percent, and extreme poverty is 24.4 percent[21]. Lack of opportunities propels strong migration from rural to urban areas, putting greater strains on basic services and exacerbating poverty in urban areas. The ethnic disparity is evident in the fact that 74.8 percent of the poor are indigenous people (NSI, ENCOVI 2006). The peace process has recorded the least progress when it comes to the safeguarding the identity and rights of the indigenous population. This is especially true in terms of land rights, legal jurisdiction, use,

and administration of natural resources (UNS CCC 2004). UNDP Human Development Report data on the population earning less than $1 a day show the obvious disadvantages of the indigenous people in urban and rural areas in comparison with the rest of the population (Figure 3).

Child malnutrition is still a concern. Maternal mortality rates remain among the highest in Central America, with an index of 148.8 per 100,000 childbirths compared with the regional average of 82. The national child malnutrition rate is 49 percent for children between 2 and 60 months (WHO, 2008), compared with 22.2 percent for Central America, which is similar to that of poor countries in sub-Saharan Africa. During the 1998-2002 period, some regions of Guatemala recorded improvements in nutrition. In the central region, indicators fell by half. The South-western and the North-western regions have reduced malnutrition by a third since 1987. In contrast, during the same period, the Northern

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20. Poverty reduction strategy. 2006. Guate Solidaria Rural
21. National Statistical Office of Guatemala, INE. National Survey on Living Conditions, ENCOVI VI-2006

region remained almost at the same level[22]. Furthermore, the disparities between indigenous and non-indigenous children in the prevalence of malnutrition are enormous: 69.5 percent against 35.7 percent (WHO, 2008). The percentage is still high for the non-indigenous.

Primary school attendance increased from 72 percent in 1991 to 84 percent in 2000 and 96 percent in 2007. Nevertheless, the rate of illiteracy of adults increased from 64.2 percent in 1995 to 69.1 percent in 2005. The average amount of schooling for adults over 14 years of age (4.3 years) remains the second lowest in Latin America. Gaps in education remain, with the lowest coverage for indigenous children and poor people and with greater incidence in rural areas. To reach the MDG for universal primary education, increasing school coverage and keeping children in the education system longer continues to be the main challenge[23]. This goal is of particular importance due to the reciprocal relationship between poverty and education (Figure 4)[24].

Greater attention is being paid to natural resources and the environment amid growing deforestation, soil erosion, loss of biodiversity and pollution. During the 1990s, protected areas increased from 2.6 million hectares to 3.2 million hectares, representing 29 percent of the national territory. Nevertheless, environmental controls directed to protect natural resources and potable water sources remain weak. According to the 2002 census, 89.5 percent of homes in urban areas had indoor plumbing and 94.6 percent had solid waste management systems. In the rural areas, these percentages were 59.6 percent and 76.3 percent respectively.[25]

Guatemala is exposed to natural disasters such as tropical storm Stan in 2005, which affected 75 percent of the territory, killing at least 1,500 people. Up to 3,000 disappeared after the disaster and thousands are still without homes.

2.5 THE MILLENNIUM DEVELOPMENT GOALS

Guatemala remains characterized by inequality and exclusion. The large gaps go beyond the varying incomes, and differences can be found between geographic locations, ethnicities, and genders. These inequalities are evident in the majority of MDG-related indicators.

The latest edition of the MDG National Report, published in 2006 by the Secretariat of Planning and Programming of the Presidency (SEGEPLAN), includes three important themes: (i) relevance of cultural diversity to the achievement of the goals, (ii) gender differences and their strong relationship to the progress of MDGs, and (iii) financial projections to achieve MDGs. Guatemala was selected as a pilot country for assessing national progress towards the MDGs. Therefore, it includes an analysis much more in-depth than other national reports.

According to UNDP's 2002 MDG Progress Report, the objectives for Goals 1, 2, 4 and 7 (eradicating extreme poverty and hunger, achieving universal primary education, reducing child mortality, and ensuring environmental sustainability) could possibly be achieved by 2015 through due diligence from the Government and international partners, although there is still much to be done. The objectives for Goals 3, 5 and 6, (promoting gender equality and empowering women; improving maternal health; and combating HIV/AIDS, malaria and other diseases), are not going to be achieved unless increased efforts are undertaken. (Annex 1, Table 1.2)

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22. SEGEPLAN (2006). Towards Fulfillment of Guatemala's Development Goals: Advancement Report II
23. IDB (2004) Country Strategy: Guatemala; UNDP, CCA 2005-2008
24. National Millennium Development Goals Report (2006)
25. UNS Guatemala (2004), Country Situation Analysis

Figure 5. Volume of international cooperation in Guatemala

1996–2006, in millions USD

TOTAL.D	3,307.44
Supporters	2,481.30
TOTAL	1,537.50
States	532.20
Japan	474.90
TOTAL.M	436.20
Spain	434.50
Cuba	332.24
Commission	310.10
Germany	239.20
Netherlands	199.90
Sweden	163.90
Norway	145.60
Canada	71.80
Austria	61.60
Denmark	48.80
UNFPA	36.70
WFP	34.90
Belgium	30.20
Switzerland	27.30
France	27.20
United Kingdom	23.50
IDB	23.00
Italy	22.00
UNDP	16.60
GFATM	15.60
UNICEF	14.40
UNTA	12.90
Other Supporters	12.40
Agencies	10.80
Finland	7.50
FIDA	6.50
Ireland	5.80
Luxemburg	2.00
New Zealand	1.60
GEF	1.50
UNHCR	0.90
Portugal	0.50

Source: Morales Henry: ¿Por qué tanta frustración? La cooperación internacional en la década de la Agenda de la Paz en Guatemala, Editorial de Ciencias Sociales, Guatemala, 2007.

2.6 INTERNATIONAL COOPERATION IN GUATEMALA

During the 1996-2006 period, Guatemala received $3.3 billion in ODA from external donors. In terms of groups of donors, member countries of the CAD/OECD channelled 76 percent of the total. The European Union, including 15 Member States and the European Commission, contributed 47 percent. The multilateral agencies (not including the European Commission) contributed 11.1 percent and the UNS 4.0 percent (UNDP aid was 0.5 percent). The UNS is included in Figure 5 in spite of not being a donor.

As for bilateral donors, the United States granted the greatest amount of aid with 16 percent of the net total, followed by Japan (14.5 percent), Spain (13 percent) and Cuba (10 percent). After Spain, the European Commission is the biggest source of aid within the EU with 9.5 percent, followed by Germany (7.3 percent) and the Netherlands (six percent). The EU, as a region, continues to be the largest contributor with $1.537 million, according to the OECD (see Figures 5 and 6).

Figure 6. ODA in Guatemala

1996–2006, in millions USD

2006	553.60
2005	304.41
2004	268.46
2003	296.23
2002	297.83
2001	267.98
2000	298.12
1999	320.04
1998	236.86
1997	268.94
1996	195.26
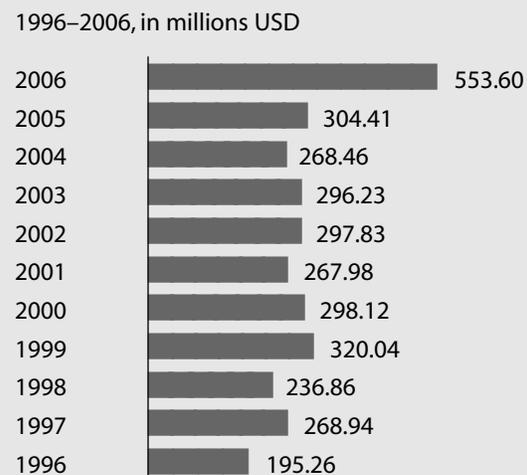
Source: Idem

Chapter 3

THE UNITED NATIONS AND UNDP IN GUATEMALA

3.1 EVOLUTION OF THE STRATEGIC FRAMEWORK

Historical role of the UN. The United Nations has played a high-profile role in Guatemala's peace process. In 1991, the UN acted as an observer in the negotiations brought about by the National Commission of Reconciliation. In 1994, the UN became moderator of the peace process after the Government of Guatemala and the URNG decided to sign a Global Agreement on Human Rights. In September 1994, the UN General Assembly decided to send a Mission for the Verification of Human Rights and of Compliance with the Commitments of the Comprehensive Agreement on Human Rights, which later came to be called the United Nations Human Rights Verification Mission in Guatemala (MINUGUA). Its mandate included not only the demobilization of the guerrilla forces but also the building of institutional capacity and confidence between the involved parties, with special regard to law enforcement.

In 1997, the mandate was extended to the fulfilment of the total Firm and Lasting Peace Agreement, with the added functions of facilitation, technical assistance and public information. In 1999, after the emergency phase and transition towards a peaceful state, the United Nations Office for Project Services (UNOPS) was designated as a project-organizing entity with fiduciary funds. Gradually, as of this year, UNDP Guatemala assumed greater functions to support development programmes, within the framework of the Peace Agreements.[26] In 2002, a member of the Mission of Verification Administration was named Resident Coordinator of the UN in Guatemala and Resident Representative of UNDP.

In 2004 MINUGUA completed its task and closed its mission, as decided by the UN General Assembly, and an Office of the High Commissioner for Human Rights in Guatemala was established. In the ten years MINUGUA was in operation, five countries of northern Europe as well as the United States and Canada contributed nearly $20 million for the fulfilment of its mandate. Of this $4.5 million was destined to reinforce the rights of the indigenous peoples and their access to justice. Most of the MINUGUA aid was assigned to aspects of security and justice, and some to processes of legislation and to preparing the ground to improve the country's agricultural conditions.

During this evaluation period, UNDP approved two strategic documents: the Country Cooperation Framework (CCF) 2001-2004 and the Country Programme Document (CPD) 2004-2009. In the same period, UN organizations in Guatemala approved two Development Assistance Frameworks (UNDAF) for 2001-2004 and 2005-2009. These documents represent the main framework for the evaluation (Table 2).

The reference documents for both programme cycles analyzed present logical frameworks organized in different ways, but they deal with the same main development of:

■ Anti-discrimination: the elimination of all types of cultural and economic discrimination, particularly those against the indigenous, women and other disadvantaged groups;

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26. UNDP-EO (2007) *Evaluation of UNDP Assistance to Conflict-affected Countries* and particularly the case studies on Guatemala

Table 2. Planning Documents - UNDP Guatemala		
Scope	**Programme cycles**	
	2001-2004	**2005-2008**
United Nations Development Programme	1st Multi-year Financial Framework[27] 2000-2003	2nd Multi-year Financial Framework 2004-2007
United Nations System in Guatemala	UNDAF 2001-2004 1st Common Country Assessment[28] 2001-2004	UNDAF 2005-2009 2nd Common Country Assessment 2005-2008
UNDP Office Guatemala	2nd Country Cooperation Framework[29] 2001-2004	Country Programme Document[30] 2005-2009
UNDP Guatemala with the Government of Guatemala		Country Programme Action Plan (CPAP)

Source: Developed by the ADR

- More equitable socio-economic develop-ment: the reduction of poverty through inclusive and equitable economic growth;

- Effective democratic rule of law: the consol-idation of democratic rule of law with ample opportunities for people's participation, capable of enforcing respect of human rights.

The content of the strategic documents is generic. The first UNDAF developed in 2000-2001 resembled an inventory of action areas requiring private and public efforts to achieve the goals of the Peace Agreements, spelling out the expected outcomes[31] (more than 140 in both cases). The document demonstrates the vast challenges facing the country after the end of the armed conflict. The second UNDAF, developed in 2004, was formed from the perspective of human rights, with a focus on gender and multiculturalism. The defined areas and effects demonstrate strategic continuity from the first UNDAF, but they are still generalized and provide little direction to prioritize and concen-trate the UN's intervention options.

UNDP's own strategic documents, the CCF (2001-2004) and the CPD (2005-2008), are short, in accordance with the Executive Board's standard format. Because of the brevity, it is difficult to go beyond a concise presentation of the large areas in which UNDP is involved. Both documents deal with the corresponding goals of UNDAF. Within these goals, UNDP's own sub-goals can be identified. In the 2001-2004 programme cycle, in consonance with UNDP headquarters directives on results-based manage-ment, no less than 18 expected outcomes were defined, which did not facilitate monitoring and evaluation. Almost all the great ambitions of State reform in support of democratic develop-ment were included.

CPD (2005-2008) does not present radical changes. What is noteworthy is the absence of goals related to the environment. However,

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27. In Spanish: Marco Financiero Multianual (MYFF)
28. In Spanish: Evaluación Conjunta del País (CCA)
29. In Spanish: Marco de Cooperación al País (CCF)
30. In Spanish: Documento de Programa del País (CPD)
31. The UN agencies active in Guatemala are UNDP, FAO, UNICEF, WFP, UNIFEM, ILO, UNESCO, OHCHR, UNFPA, UNAIDS, UNIFEM, PAHO/WHO, IOM and UNV.

they were reintroduced de facto in the effective programme. In CPD (2005-2008), the expected outcomes were formulated with more frugality and simplicity, identifying only seven formulated "outcomes".[32]

After the Executive Board approved the CCF and CPD, the country office reached agreements with the Government on a Plan of Action of the Country Programme (CPAP). The CPAP, which provides some additional information, is still quite generalized.

Absence of more technical and concrete operational guidelines. The CCFs, CPDs and CPAPs are documents presenting general goals necessary to establish high-level relations with State authorities. Until the most recent experiments, no operational internal guidelines have been produced by the country office for translating high-level political objectives into approaches, methods and modalities for more concrete interventions. Only recently in the areas of democratic governance and crisis prevention and recovery has an operational framework been developed to identify the comparative strengths of the country office and to define intervention approaches and modalities. The country office is considering developing operational frameworks for all the result areas.

At the same time, previous administrations lacked the institutional policies, plans and capacities to guide, assist and supervise international cooperation. The Government, for its part, did not speak with a single voice. Sometimes, contradictory opinions from State dignitaries negatively affected the formulation of a UNDP strategic framework.

UNDP programming and environmental, economic and political conjunctures. In terms of planning, UNDP must also consider the effects of political and electoral cycles, economic conjunctures, the international environmental agenda[33], and natural disasters. In addition, changes in UNDP country office management impact its directions (Chapter 5). Here we note how tropical storm Stan in October 2005 introduced rapid-response capacities for environmental catastrophes within the scope of UNDP cooperation. The perception of disadvantaged populations' greater vulnerability to the effects of climatic change led UNDP to introduce the concept of crisis prevention and post-crisis recovery.

Some directives from headquarters complicated informative systematization. As of 2006, UNDP has introduced throughout its system classification according to standard results areas, which have been adopted and adapted to the portfolio of already existing projects: (i) strengthening of democratic governance, (ii) crisis prevention and recovery, (iii) poverty reduction, and (iv) environment and energy.[34]

Incorporating the large number of ongoing programmes and projects into this classification system has not been easy. Nor has the process been completed. Important activities can be categorized in one or two ways, which has caused uncertainty. In 2004, UNDP headquarters, as part of its global directives, instructed UNDP-G to implement a new Atlas computerized classification system and project registry. This, according to this mission, has complicated procedures while still not facilitating effective classification of activities, projects and programmes. All this has impeded the systematization of data.

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32. It should also be noted that outcomes in the Atlas system and the Result-based Management platform are not the same as those in the CPD. This reality creates incongruity between objectives of programme documents and the verification measures. For example, there is an outcome on environment in the Atlas system that is missing in the CPD.

33. The Earth Summit held in Rio de Janeiro in 1992 was a historic landmark in the international environmental agenda. Guatemala was a signatory country to the Agreement on Biological Diversity, the United Nations Framework Convention on Climate Change and the Convention to Fight Desertification and Drought. The Global Environmental Facility (GEF) emerged from the Summit as a mechanism to finance programmes and projects that helped countries to fulfil the commitments set out in the agreement and conventions. UNDP is one of the implementing agencies of the GEF, and in Guatemala it has managed many of its projects in coordination with the respective Secretariats of the agreements and their respective focal points in Guatemala (CONAP and MARN).

34. Energy and environment previously fell under the area of equitable and sustainable economic development and most projects were classified under governance.

Table 3. UNDP Human Resources Office		
UNDP Office Units	**No. of Persons**	**% UNDP Office**
CR Office and Management	10	16%
Programme (projects and programmes)	22	36%
Operations (administration and other functions)	29	48%
Whole UNDP Office	**61**	**100%**
DEX projects staff and other UN agency personnel	128	-
General total	**189**	-

Source: UNDP Guatemala Human Resources Unit

3.2 STRUCTURE AND ORGANIZATION OF UNDP

The structure, organization and management of the UNDP office substantially affect its actions and strategic positioning. UNDP-G has 189 staff members, of whom 61 are UNDP personnel. The remaining 128 are professionals of projects executed directly by UNDP (DEX) and of the agencies of the UNS administered by UNDP (Table 3). The personnel of the operations area (finance, administration, human resources, acquisitions, information and technology) represent almost half (48 percent) of the country office staff. (Table 3).

The current organizational chart is the result of a long process of reorganization that took place between 2002 and 2005 and of other changes introduced in 2006 and 2007-2008 (see organizational chart, Annex 2, Graph 2.1). There are four main hierarchic levels:

1. **UNDP Resident Representative - FTA International**, who also acts as Resident Coordinator of the UN agencies in Guatemala

2. **Country Director - FTA International**, a position introduced to differentiate the functions of the Resident Coordinator in some countries with large or complex programmes like Guatemala.

3. **Deputy Country Director - FTA International**

4. **Managers of Operations - FTA (NOC)** with five area managers (financial, administration, human resources, acquisition, information and technology)

At the operational level, there are programme officials as well as assistants, technicians and support personnel.[35]

High level of decentralization in UNDP system. The top authority is the Resident Representative (RR). According to the 1998 Basic Agreement between UNDP and the Government, the RR is the head approval authority of UNDP strategy in the country. At the same time, it is the interagency coordinating authority of UNS in its role as Resident Coordinator. The UNDP system is characterized by a high degree of decentralization in strategic and programme decision making in a multilateral and international cooperation context with high staff mobility.

During this evaluation period, the office has passed through different senior-management changes. Between 2002 and 2008, there have been three Resident Representatives and two "interregna" (2005-2006 and 2008), during which an adjunct Resident Representative or

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35. Four fixed-term NOB and one SC NOA

a Country Director assumed the role of Representative ad interim.

The level of Country Director was established so that the Resident Representative could concentrate on the coordination of the UNS agencies. The Country Director acts upon delegation by the Resident Representative.

UNDP-G enjoys flexibility in scheduling and in adapting to change (of Government, for example) and emergencies. Supervision and strategic guidance from headquarters are subject to the following:

a) There is a Regional Bureau in New York and corporative tools to monitor the "performance" of country offices (e.g. executive snapshot, balanced scorecard, global staff survey). A dialogue exists between the country offices and the Regional Bureau and sometimes consultation missions are organized on strategic subjects. Several missions took place between 2005 and 2008, in addition to consultations at headquarters or in the region. In 2008, a new "compact" tool was developed to provide a strategic orientation to the Regional Bureau's support to and supervision of the country offices. Still, key limitations were noted: (i) the size of the portfolio under the focal points in New York (up to 10 countries), which constrains substantive contribution to each country (ii) limited technical input provided by some of the support missions, and (iii) the absence of a clear framework to provide supervision and support, at least until the recent elaboration of a compact. Discussions are going on in UNDP to offer more strategic guidance from headquarters to the country offices.[36]

b) There are regional UNDP bodies. Earlier UNDP had established centres of regional services (SURFs) that supplied ad hoc thematic support. UNDP has recently opened a regional office in Panama with the objective of: (i) managing support services (policy advisory, programme development, technical support, including functions of regional programme management); (ii) supporting the Regional Director team; and (iii) enhancing management services to country offices. It remains to be seen whether this effort would also help enhance strategic guidance.

Lack of integration in middle management of country office. All UNDP programme officials are currently under the direct supervision of the Deputy Country Director. There is a need to consider the complementarities among the thematic areas and to demarcate them. Officials with long experience in their respective areas have constructed programmes under their responsibility in a consistent manner. What is lacking is internal cooperation. Operational strategies in each area require institutional arrangements that provide a platform for interaction and exchanges among areas and hierarchical levels in the office.

MONITORING AND EVALUATION

As part of the UNDP mandate, the country office monitors and evaluates projects through different mechanisms:

■ **Monitoring and Evaluation Unit.** This is an office reporting to the Deputy Country Director. It prepares, among other things, independent evaluations of programmes and projects concluded, monitoring documents, annual reports on UNDP-G evaluation activities, and performance reports of specific projects.

■ **Programme officials.** Each programme official is designated a portfolio of projects/programmes, whose characteristics are documented in the project document (PRODOC). Each official performs follow-up on quality, amount and terms of the

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36. There was a recent intervention on this subject from UNDP Associate Administrator Ad Melkert.

programme activities. Periodic inspections are aimed to consolidate project output and progress.

- **Finance officials.** The finance office is in charge of the financial execution of projects. It grants financial resources, through direct payments, down payments or advances. It offers periodic reports to the executors and donors. Finance officers monitor the budgetary execution of each project.

- **Direct executors.** They offer periodic reports to programme officials on the progress of projects.

The Monitoring and Evaluation Unit has been making a sustained contribution to the Atlas system UNDP implemented in 2006. The unit concentrates on the use, development and monitoring of Atlas system (especially information on implementation) and is not so much involved in methodological and substantive support to the evaluation of outcomes (for example, at the project or outcome level). The unit develops a variety of reports responding to specific demands of the office management, rather than to a systematic project, outcome or strategic evaluation. Project and outcome evaluation needs substantive activities, including interviews, surveys and field visits. It is necessary to generate information in addition to that of Atlas.

A system that allows the monitoring of proposed outcome indicators in the logical framework of the strategies is lacking. Monitors and evaluators conduct their activities in relative isolation, without offering information automatically to other actors involved in the process. Only in specific situations are such ties established. There is no evidence of a regular flow of information or of a close association among the main stakeholders.

3.3 MAIN ASPECTS OF PORTFOLIOS 2001-2004 AND 2005-2008

The definition of outcomes. As observed above, action areas responding to expected outcomes in the CCFs and CPDs analyzed have similar contents from a qualitative perspective but a different number of expected outcomes. That is how the 2001-2004 programme strategy maintained 18 expected outcomes, whereas the corresponding 2005-2008 period considers seven. (Table 4). The existence of an ample number of outcomes in 2001-2004 did not facilitate a monitoring and evaluation system or a synthesis of the results. As previously noted, CPD 2005-2008 outcomes do not coincide with those of the Atlas system. Outcomes are sometimes defined in a general or abstract way, which impedes empirical verification. Evaluations of outcomes, a UNDP requirement, were not conducted for the 2005-2008 period. Sometimes, the connections between outcomes and projects and other activities are unclear or nonexistent. The information of the 2001-2004 programme cycle shows no corresponding project or specific activity for two expected outcomes.[37]

A surge of smaller and shorter duration projects in the 2005-2008 programming cycle. During the 2001-2004 cycle, the portfolio was made up of 78 "projects" to Atlas code, corresponding to 62 "effective" activities,[38] with a total budget of $356,289,265[39]. In the 2005-2008 cycle, 108

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37. The outcomes that do not have projects are: (i) Outcome 3: "A UN system that is better coordinated and focused on total implementation of peace and human development"; and (ii) Outcome 15: "Sustainable reintegration of the population affected by internal conflict".

38. The Atlas system can provide project information liable to misinterpretation because financial contributions from different donors for the same activity, recorded separately, may be counted as different projects when, in reality, they are under the same award.

39. In the 2001-2004 budget cycle, the most significant portfolio of projects corresponds to outcomes 17 ("the local authorities and the communities of the rural and urban areas involved in the planning and administration, and including the yield of services public") and 9 ("Efficiency and fairness improved in the yield of those public services"). The first has a total concentration of 10 Atlas projects; those that connected become two big programmes and one independent project, with a global budget of $134,923,281, 94.5 percent of which corresponds to the metropolitan development programme. The second, grouped into 13 Atlas projects, of which 11 are independent and two are connected to a programme, has a total budget of $114,083,958.

Table 4. Strategic outcomes of 2001-2004 and 2005-2008 periods	
CCF 2001-2004	**CPD 2005-2008**
1. Greater use by those making decisions on matters of sustainable human resources in the formulation and implementation of policies 2. Peace process that is consolidated and totally incorporated into the national agenda 3. A UN system that is better coordinated and focused towards total implementation of the peace and human development agreements 4. National anti-poverty strategy developed and implemented through a consultative process 5. Improved national capacity for monitoring human poverty and incomes and inequality 6. Reformed national political framework aimed towards universal access to basic services 7. National machinery in place in order to form policy and strategy related with the advancement of women and gender equality 8. Improved quality of decision making based on the evaluation of genders and the integration of statistics and information on gender-related issues 9. Improved efficiency and equality in the rendering of public services 10. Revised regulatory frameworks to ensure the poor persons' rights to productive goods and finances 11. A global focus on sustainable environmental development integrated into national development planning and linked with poverty reduction 12. Improved capacity of authorities to plan and implement approaches integrated to environmental administration and energy development, which respond to the needs of the poor 13. Regional capacity improved to coordinate national policies and programmes for the management of shared natural resources and the sustainable development of energy, according to the Agreements on Climate Change and Biodiversity 14. Disaster reduction and national response system in operation 15. Sustainable reintegration of the population affected by internal conflict 16. Fair and effective administration of justice 17. Involvement of local authorities and rural communities in the planning, administration and rendering of public services 18. Consensus at the community and national level on strategic alliances for the consolidation of peace and for sustainable human development	1.1 Greater incorporation of the human development principles in the debate on and in the practice of national policies 2.1 Greater level of knowledge and exercise of non-discrimi-nation rights 3.1 The system of justice and democratic security can count on improved strategic guidance capacities and human resources strength-ened in technical, operational and coordination capacities 3.2 Process of State reform and modernization advanced in accordance with national priorities 4.1 Greater transparency and efficiency in the administra-tion of basic services 5.1 Exercise of human rights and citizenship in organiza-tions of representation and greater room for dialogue 5.2 Greater continuity and coherence in the application of policies and the execution of commitments derived from the Peace Agreements

Source: Elaboration from CCF and CPD

Figure 7. Project portfolios in each programme period according to mode of execution
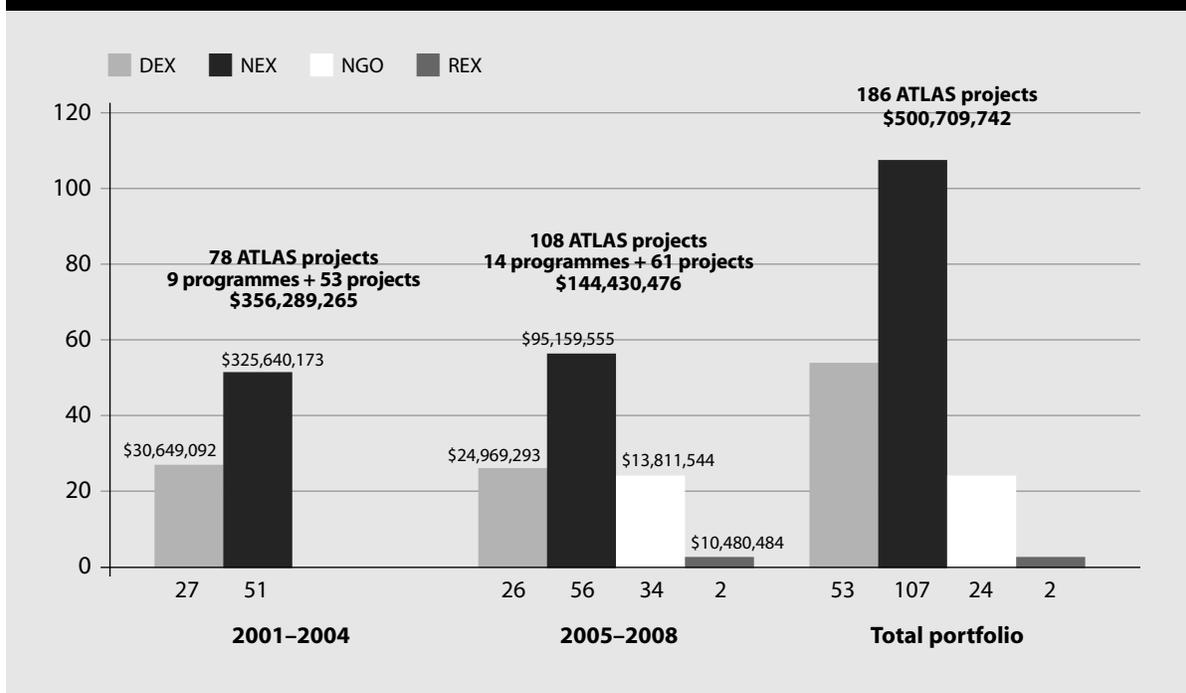
Note: Elaboration from UNDP Executive Snapshot, September 2008

Atlas "projects" were generated corresponding to 75 effective activities. In the second programme, a greater diversification of projects can be observed. These projects are of a shorter duration and have a lower budget. This situation stems from the fact that, although a larger number of projects exist in the cycle, the global budget is significantly smaller ($144,420,476).[40,41] During the 2001-2004 cycle, 45 percent of the generated projects lasted five years or more, whereas, in the 2005-2008 period, 96 percent lasted less than five years, with most running for one or two years. In short, there has been a transition towards a substantially greater number of projects, but of a smaller scale (a third of the budgets on average) and of a smaller duration, with a greater diversity of small actions.

In the 2001-2004 cycle, 35 percent of the projects were directly executed by UNDP (DEX) and 65 percent were executed by a national agency (NEX). In budgetary terms, however, DEX projects represented 8.6 percent and NEX 91.4 percent (Figure 7).[42] In the 2005-2008 cycle, new modalities emerge. While projects have been executed through NGOs and at the regional level (REX), the most relevant continue to be DEX and NEX (Figure 7).

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40. Nevertheless, while in 2005-2008 the budgets fell in comparison to 2001-2004, execution was greater because programmes approved in 2001-2004 were executed in 2005-2008.

41. During the 2005-2008 cycle, the outcomes with greater numbers of projects are the "4.1. Greater transparency and efficiency in the administration of the basic services" (32 Atlas projects: seven independent programmes and seven projects) and 1.1. "Greater incorporation of the principles of human development in the debate and the national political practices" (17 Atlas projects: one independent programme and 24 projects). The most outstanding result in terms of budget is 3.2. "The process of reform and modernization of the State has advanced in compliance with the national priorities", with $51,073,070 for the financing of 16 Atlas projects (one independent programme and 13 projects).

42. Within the NEX modality, the most relevant in budgetary terms is the Metropolitan Development Programme (39.2 percent).

Table 5. Execution and management costs of UNDP (2004-2008)					
	2004	**2005**	**2006**	**2007**	**2008**
A. Total programme execution ($ millions)	51.9	62.6	102.7	130.7	81.1
B. Administrative spending ($ millions) *Management expenditures*	2.4	2.6	2.7	3.0	3.2
C. Regular UNDP resources ($ millions)	0.9	1.2	1.2	1.1	1.3
D. Ratio C/A (%)	1.7%	1.9%	1.2%	0.8%	1.6%
E. Ratio C/B (%)	37.5%	46.2%	44.4%	36.7%	40.6%

Source: Elaboration from UNDP Executive Snapshot, December 2008

3.4 FINANCIAL MANAGEMENT OF THE OFFICE

In terms of finances, UNDP-G reached the highest level of project execution in 2007 when initiatives involving more than $130 million were in operation. Guatemala was in seventh place in the general portfolio of UNDP and fifth in Latin America and the Caribbean for the year. It is noteworthy that the growth from 2004 to 2007 corresponded to the tenure of a single government.

An important decline is noted in 2008 (Table 5) due mainly to the 2007 Budget Law.[43] As has been explained to the evaluation mission, the contribution of public resources to UNDP programmes has tended to fall during the first year of a government before rising.

Dependence on external resources. The administrative expenses of UNDP-G in 2007 amounted to $3 million, which represents 2.3 percent of total programme execution. Over the past few years, the core budgets of UNDP covered a small portion of the total expenses and less than half of the administrative expenses. The core funding of UNDP comprised nearly $1 million per year between 2005 and 2007,

which corresponded to 1 percent-2 percent of the total expenses and between 46.2 percent and 36.7 percent of the administrative expenses. (Table 5). This is typical of UNDP offices in Latin America and, more generally, in middle-income countries. Since limited activities can be handled with the core resources, UNDP depends on external funds for its current programme level. [44]

Expenditure figures by project for 2004-2008 show that most resources come from the Guatemalan Government itself, whose participation in project financing is nearly 50 percent. The resources from multilateral organizations come next, at 25.8 percent, especially those from the World Bank and the Inter-American Development Bank. Multilateral resources are mainly loan grants to the Government.

In third place are bilateral donors, with a contribution of 20.2 percent. Among them, Sweden, Norway and the US stand out, whose contributions altogether represent 65 percent of bilateral contributions. The Netherlands, Finland, European Union, Spain, Denmark and Italy provide amounts equivalent to 30 percent. (Figure 8) The execution of bilateral programmes allows UNDP

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43. At the end of November 2007, Congress approved the 2008 budget. The Ministry of Finance of the previous Government on 20 December 2007 issued Ministerial Agreement 66-2007 "Manual for the budgetary execution through agreements with international Organizations". In practical terms, the manual prevents the majority of Government institutions from working with the UN system. The Ministry of Finance was driving changes in the budget to regulate the transfer of state resources to international organizations.

44. According to UNDP practices, the core funding finance an office structure that manages the "core" programme and coordination with UNS. The "non core" framework is derived from income generated by the office that implements programmes financed with resources from third parties.

Figure 8. Project resources of the two programme periods by financial source

% of total financing of the projects of the evaluated period

Financial source	Percentage
Government of Guatemala	49.4%
Multilateral	25.8%
Bilateral	20.2%
UNDP and UN System organizations	4.3%
Others	0.3%
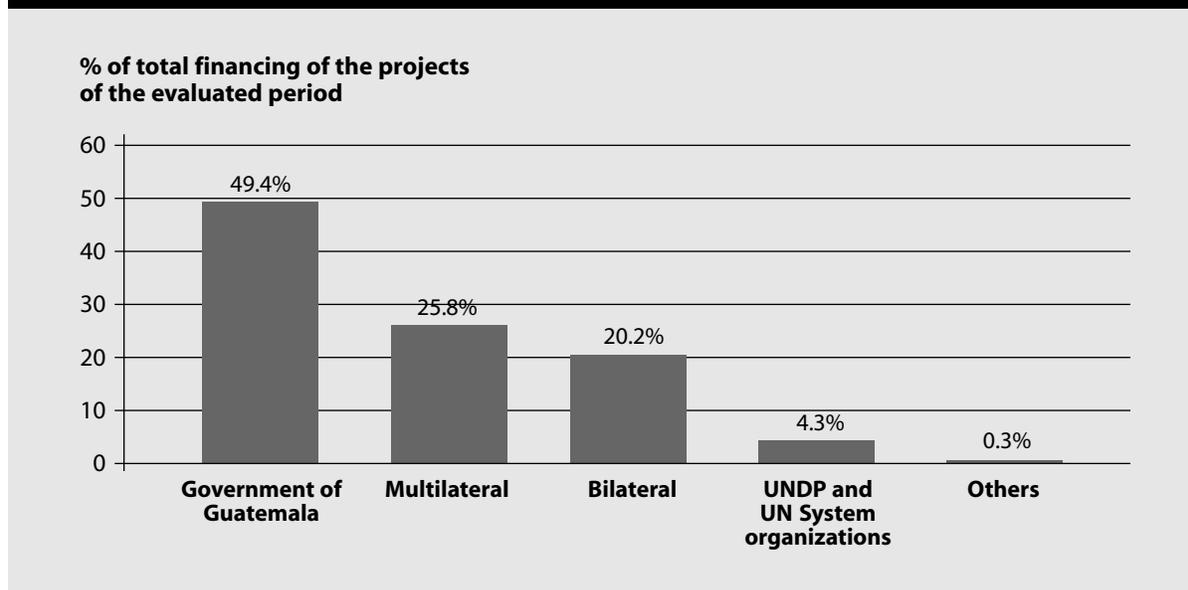
Source: Developed from UNDP Expenditures 2004-2008 by project–fund–donor, September 2008

to negotiate a "recovery of costs" greater than in programmes executed by UNDP at Government request.[45] The value added by UNDP cannot be identified in its financial contributions alone; it is evident in its substantive contributions and quality of interventions.

Most of the existing projects will close by the end of 2008. Most of the ongoing projects will end in 2008, with 83 percent of the budgeted resources having been executed within the first half of the year. As for the remaining period (2009-2013), the balances executed correspond mostly to those of 2009.[46] At the end of 2008, of all the 186 "Atlas projects" approved between

2001 and 2008, only 27 will be ongoing, seven of which were developed during the 2001-2004 cycle. The UNDP portfolio in Guatemala is in a process of rapid reduction.[47]

The project execution timeline respected the original plans. Considering the closing year of the projects, the majority of those executed ended on schedule (Table 6), even though the rate of execution did not reach 100 percent for all the years. 2005 saw the largest amount of unused funds; with a rate of execution of 90.2 percent, the unused portion reached $3,162,877. In 2004, it was just $541,397.

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45. According to UNDP-Guatemala, a reduction of office costs has been combined with the mobilization of resources from bilateral donors. With bilateral donors having a more elevated recovery cost level than government donors, the financial sustainability of the office has not been impacted despite the low level of execution.

46. This does not include funds from Spain within the framework of the MDG window. As of October 2008, Guatemala received $16.6 million from the Spain Fund for the Achievement of the Millennium Development Goals (Intervention from the President of the Republic of Guatemala in the event "Achievement Fund: Lessons Learned and Way Forward", 24/09/2008).

47. According to a UNDP RBLAC email communication of 17 February 2009: "At the global level, UNDP promotes the principles of the Paris Declaration of appropriation, alignment and harmonization, simplification and result-based management. For this reason, it orients its cooperation and technical support to the development of those capacities that will allow the Government to fully apply these principles. In those cases in which the Governments face problems of limited capacity, they may request UNDP support in programme and project implementation, financed through government budget. As far as RBLAC is concerned, the new strategic orientation of the Management is to ensure that our collaboration will always be focused to developing sustainable capacities and to offer substantive and programmatic technical assistance in all the expertise areas of the organisation, taking the opportunity of the value added accumulated through its history in 166 countries."

Table 6.	Levels of execution according to year of project end						
Year of project's end	No. of projects	Total budget of projects	Amount used by last year of project	Used by 2008	Balance to be used in 2008	Execution level at the last year of project	Execution level in 2008
2004	30	25,991,529	25,449,959	25,450,132	541,397	97.92%	97.92%
2005	33	32,301,992	29,150,745	29,139,115	3,162,877	90.24%	90.21%
2006	21	15,400,994	15,418,751	15,391,864	9,132	100.12%	99.94%
2007	27	59,232,321	59,184,167	59,203,217	29,104	99.92%	99.95%
2008	84	333,029,017		276,143,925	56,885,091		82.92%
2009	17	170,272,928		18,050,136	152,222,793		10.60%
2010	7	132,694,908		65,784,855	66,910,053		49.58%
2011	1	766,214		120,756	645,458		15.76%
2012	1	7,347,795		1,127,203	6,220,592		15.34%
2013	1	9,980,084		3,496,393	6,483,691		35.03%

Source: Developed from UNDP Executive Snapshot, September 2008

3.5 EFFICIENCY OF OFFICE MANAGEMENT

In order to evaluate the efficiency of the UNDP office, a qualifications table has been applied by the evaluation team. The established criteria are based on the basic requirements of an organization to run efficiently. The aspects analyzed are: organization, programmes, time of execution, and management of resources. Each criterion has been broken down into sub-criteria with the purpose of rating each evaluated aspect (Table 7).

The results obtained from this model show that:

■ The office has high levels of efficiency in the criteria corresponding to project execution time, because the majority of the projects/programmes end within the scheduled year, and no delays are noted on the calendar of activities; and, management of resources, due fundamentally to high levels of financial execution of the majority of the projects.

■ In the criteria related to organization and programmes there were limitations and restrictions worth noting for the implications they have on the efficiency of the office. Concerning organization, the limitations identified highlight the complexity of the organizational structure and the need to ensure platforms to promote interactions among areas clearly demarcated. As for programmes, one can see restrictions in the projects' structure as a result of programme strategies, such as proliferation of several projects not connected to each other, outcomes without projects, unclear definitions of outcomes, incongruence between outcomes according the CPD 2005-2008 and those according to Atlas, limited use of monitoring and evaluation functions and capacity.

■ The overall assessment shows that the level of office efficiency is intermediate: good efficiency in terms of execution time and resource management, but with organizational complexity and proliferation of projects not well put together and outcome definitions that are sometimes unclear.

Scorecard. UNDP uses an evaluation tool called a "Balanced Scorecard", which is based on several

Table 7. Management efficiency evaluation criteria and sub-criteria			
Criteria	**Assigned weight**	**Justification**	**Sub-criteria**
Organization of the UNDP	30%	This criterion has been considered the most important because, if an institution's organizational structure is adequate, the communication and coordination between the different existing hierarchical levels will be fluid and orderly; and the decision-making process will be developed quickly and with no major problems.	Levels of hierarchy
			Coordination levels
			Functional structure
Programmes	25%	The evaluation of this criterion has been based on the development results that should be achieved through the projects implemented/ directed by UNDP; that is, the existence of projects and budgets directed towards achieving each one of them.	Results/programmes
			Scattering of projects
			Project portfolio vs. budget
Execution time of the projects	20%	This criterion has a lower weight, since the execution of projects also depends on the institution perform- ing the project and not just on the UNDP Office directly	Delays
Management of resources	25%	The weight assigned to this criterion reflects the importance of fulfilment of the levels of execution of the resources assigned for each project and the amounts to be used, if any.	Levels of execution of resources
			Balances to be executed

Source: Developed for ADR

criteria (Annex 2, Table 2.4). The scorecard shows a "green flag" when the values of reference are satisfied and a "red flag" when they are not.

Of the 12 available criteria in the December 2008 scorecard – some cannot be evaluated until 2009 – five have "green flags" (completed)[48], three have yellow and four have red.[49] Those with red flags include: (i) management efficiency (administrative costs/total execution), (ii) sound project management and monitoring supported by Atlas, (iii) cost recovered from trust funds and third-party cost sharing and (iv) programme expenditures. The 2007 Budget Law has probably affected the last two indicators.

Some of the scorecard assessments, such as management efficiency, are similar to those of the present evaluation.

Comparison with the 2007 scorecard shows that the area of "sound project management and monitoring supported by Atlas" was also classi- fied as problematic (red flag). On the other hand, there have been noticeable improvements in the ratings in the sub-criteria of learning and growth. In particular, "Participation in the Knowledge Network" changed from a red flag (2006 and 2007) to a green flag in 2008 and "Participation in Learning Programmes" changed from a red flag (2006) to a yellow (2007 and 2008).

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48. Programme Expenditure Ratio within Development Focus Areas, Website Updated and Reflects Key UNDP Priorities, Financial data quality, Gender balance in professional position, Non-core Resources Mobilized
49. http://scorecard.undp.org/reports/2008/management_report.cfm (20 October 2008).

Box 1. Summary of the principal findings in Chapter 3

- UNDP programme spending reached a record high of $130.7 million in 2007 but declined in 2008, due in part to the Budget Law. This calls attention to the coincidence of UNDP's programme management volume with government cycles. UNDP heavily depends on the mobilization of outside resources for its administrative and programme costs.

- The planning documents (UNDAF, CCD/CDP, and CPAP) are of a general nature. Only very recently has the country office begun elaborating operational internal guidelines to translate general (and sometimes abstract) objectives into executable programmes.

- As in all country offices, UNDP enjoys a high level of independence in its decision-making and strategic orientation. This allows for flexibility, but the tools and resources available at headquarters have not always facilitated systematic strategic guidance. Recent initiatives, such as the 2008 "compact", are an attempt to create more effective orientation tools from headquarters.

- The UNDP structure requires a platform to ensure integration between areas that are clearly demarcated in order to facilitate the application of the organization's interconnected operational strategies and the management of knowledge and information within the country office.

- A large number of outcomes (18) are identified in the 2001-2004 programmes, some without projects or specific activities. Although the 2005-2008 programmes contain fewer outcomes, they are fragmented in many projects of shorter duration and of smaller budgets.

- By applying a rating system established by the evaluation team, the UNDP country office is assessed as generally efficient in the level of disbursement and timeliness of project implementation. As for internal organization of the office and programme management based on results, performance was weaker. The rating of the UNDP "balanced scorecard" (2006-2008) provides some support to selected findings of this evaluation and, on the other hand, shows elements of improvement in the area of learning and growth (although further progress is possible).

Chapter 4

CONTRIBUTION TO DEVELOPMENT RESULTS

4.1 AREAS OF PRIORITY FOR UNDP

UNDP development efforts in Guatemala were first directed towards the construction of a democratic state that focused on such social aspects as crisis recovery, social integration, healthcare, education, housing and more inclusive development. UNDP programme documents (CCF 2001-2004, CPD 2005-2008) noted the inheritance of large setbacks in these areas (see also Chapter 2), particularly in the form of confrontational dynamics between the State and civil society, non-inclusive economic policies and social exclusion. The result areas and the expected outcomes are summarized in Table 8.

Strengthening of democratic governance. UNDP recognized the centrality of greater political dialogue and institutional development and focused its efforts on creating the necessary conditions to achieving these. Efficient and transparent institutions carry greater legitimacy among citizens and are better able to represent the interests of the entire population. Institutional efforts in this area were especially evident in the 2001-2004 programme strategy, where the portfolio comprised 47 Atlas projects, with a budget of $240.53 million (Table 9). This represented 67.5 percent of the total resources for the period in the entire UNDP portfolio. In the 2005-2008 period, this decreased to 34 percent because, among other things, some projects were reclassified *ex post* in the areas of "poverty reduction" or "crisis prevention and recovery".

Crisis prevention and recovery. This thematic category, created in 2006, has gained budgetary importance. The Peace Agreements' pacification process includes a long-term dignity recovery process. The vulnerability of the population has increased due to the effects of natural disasters, especially hurricane Mitch in 1998 and tropical storm Stan in 2005.

Poverty reduction. UNDP support was directed towards the improvement of social services rather than income generation. Projects of greater volume in both programme cycles were executed by the Ministry of Public Health and the Ministry of Education (both NEX), comprising 90 percent of the budget. National Human Development Reports (INDH), prepared by a separate unit in the UNDP country office, also focused on this area. UNDP supported SEGEPLAN in the monitoring of MDGs. Three larger projects in the pipeline are geared towards local economic development. The first will be financed by Italy (approximately $4 million), the second by AECI (approximately $6 million), and the third by IFAD (approximately $34 million). The rise in the percentage of resources dedicated to poverty reduction (from 20 percent in 2001-2004 to 32 percent in 2005-2008), as in other cases, is the result of the reclassification of areas.

Environment and energy. Although this practice area is not explicitly mentioned in the 2005-2008 CPD, the projects are being executed with GEF funds at a regional level.[50] There is a notable

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50. Until the beginning of 2007, UNDP's Energy and Environment Area was under the Area of Sustainable and Equitable Economic Development, along with natural disaster risk management and poverty reduction. As it is known today, the area answers to the 2008-2011 Strategic Plan at a corporative level. In UNDP programme documents at the corporative level between 2001 and 2008, the environmental theme is prioritized as a transverse axis but it is not specified what the UNDP is expected to achieve, beyond the development of an enabling framework at the policy level for the issues of biodiversity and climate change at the regional and national level. (According to the UNDP-G Office.)

Table 8.	**UNDP strategies in programme cycles 2001-2004 and 2005-2008**	
Priority of development	**Strategic aspects**	**Expected outcomes**
Strengthening of democratic governance	Political dialogue	■ **Room for dialogue** between the State and civil society, particularly with the disadvantaged groups, to allow convergence in national, regional, departmental, municipal and community development with cultural relevance and gender perspective. ■ Greater use of the **human development concept** in the forming and implementation of policy. ■ Establishment of a national framework for forming policies and strategies related to the advancement of women and with **gender** equality (CPR and poverty reduction). ■ The policies, plans and programmes of the State as well as the media promote **the fulfilment of the commitments of the Peace Agreements**, a culture of respect for human rights, and ethnic, cultural and gender diversity.
	Public institutionality and civil service responsibility	■ Greater efficiency and equity in the **provision of public services**, with active participation from the local authorities and rural and urban communities in planning and management. ■ The **national human rights institutions** and the organizations of civil society have capacities for defence, litigation, surveillance, lobbying and mediation for the protection of human rights.
	Administration of justice (also considered in CPR)	■ Coordinated **justice system**, with protective capacities and a public administration that guarantees the protection of human rights. ■ Existence of an integral **legal framework**, policies and greater institutional capacity for the protection and promotion of equality and non discrimination.
Crisis prevention and recovery (CPR)	Implementation of Peace Agreements	■ Peace Agreements consolidated and incorporated into the national agenda. ■ Public programmes and integral policies of democratic security guaranteeing the prevention/reduction of violence and the generation of opportunities for rehabilitation and social inclusion. ■ Consensus attained at the national and community level and strategic alliances established for the consolidation of peace and **sustainable human development**.
	Disaster response capacity	■ System of **disaster response** and reduction of its effects with capacities for the prevention, mitigation, preparation and response to the basic needs of the populations at risk in operation.
Poverty reduction	Strategies and policies	■ National **poverty reduction strategy** developed through the use of consultants and being implemented; greater national poverty monitoring capacity. ■ Social and economic public policies incorporating the national and international standards **of human development, environmental sustainability and human rights** in its formulation, execution, monitoring and evaluation. ■ Government programmes prioritizing and protecting the **right to food** of the vulnerable population and fostering means to obtain food security for the population in poverty.
	Public services	■ Public policies and programmes promoting more availability, access, quality and adaptability of the basic services in education, healthcare, water and sanitation, nutrition and AIDS/HIV prevention awareness, with cultural relevance and gender perspective. ■ Regulatory frameworks revised in order to facilitate access to production and financial resources to the poor. ■ Increase in productivity and access to markets through strengthening of small and medium-sized enterprises, cooperatives and community based organizations and addressing labour rights.
Environment and energy	Policies	■ Global focus on **sustainable environmental development** integrated into national development planning and linked with poverty reduction
	Institutional capacity	■ Greater capacity of national authorities to plan and implement integrated approaches to environmental administration and to the development of energy that respond to the needs of the poor. ■ Greater regional capacity for coordination and harmonization of national policies for managing shared natural resources and the sustainable development of energy under the Conventions of Climate Change and Biodiversity.

Source: Developed from the strategic documents of UNDP

Table 9. Number of projects and their budgets by area and cycle						
Areas	2001-2004 Strategy			2005-2008 Strategy		
	No. of projects	Budget*	(% of resources)	No. of projects	Budget*	(% of resources)
Democratic governance	47	240,527,340	68%	34	49,519,503	34%
Crisis prevention and recovery	10	42,034,177	12%	44	36,325,001	25%
Poverty reduction	14	70,067,666	20%	19	46,525,216	32%
Energy and environment	7	3,660,083	1%	11	12,050,756	8%
Total	78[a]	356,289,265	100%	108[a]	144,420,476	100%

* Multi-year budgets recorded on date of approval. a. As previously noted in Chapter 3, the 78 ATLAS projects of 2001-2004 and the 108 of 2005 correspond respectively to 62 and 75 executed projects and programmes.

Source: ATLAS 2008

increase in resources in absolute and relative terms (from 1 percent to 8 percent) because of the reclassification of some activities. Efforts have been made towards the creation of the Ministry of the Environment and Natural Resources, and the institutionalization of its Clean Development Mechanism and Climate Change units. Actions have been geared towards improving its capacity for structuring and implementing programmes, for participating in regional and international activities, and for evaluation and planning. There has also been work on an enabling framework for implementing international agreements ratified by the Government, mainly on biodiversity, climate change, land degradation, and chemical substances. The capacities of the National Council of Protected Areas (CONAP) as well as municipalities and NGOs for environmental management have been strengthened.

Chapter 1 introduced the main methodological aspects of this evaluation. The outcomes of the CCF and CPD refer to results that are not always easily measured. Some projects and programmes are long-term, although many have a duration of two or three years. Even where the final outcomes have not yet been achieved, effectiveness can still be assessed in terms of "intermediate

achievements" and from the dynamization processes generated. The evaluation of sustainability will help to identify and discern the favourable or risk factors. Most of the projects have a set of actors who participate in the formulation and execution of actions. To the extent possible, the evaluation will attempt to identify the contribution of UNDP and of the other actors to the observed results.

4.2 EFFECTIVENESS

4.2.1 STRENGTHENING OF DEMOCRATIC GOVERNANCE

Political dialogue: In this strategic area, this evaluation focuses on the dialogue of UNDP with the main actors and on a few projects. Involving the direct participation of UNDP, these include initiatives on strengthening development councils, establishing alliances between civil society and the Government (PASOC I and II), the Promotion of Democracy in Latin America (PRODDAL) as well as projects geared towards the development of capacities for multi-party dialogue. The projects' contributions to development results can be seen in (i) the strengthening of community development councils, municipalities, grassroots

social organizations and other local actors, (ii) development agendas of the departments, (iii) spreading of democracy and development of training instruments and methodologies, (iv) civil society initiatives in the thematic areas of transparency, discrimination and access to justice, and (v) the strengthening of the capacities of political parties for dialogue.

These projects have facilitated dialogue among such diverse actors as central State authorities, local public entities and civil society. However, there are some problems relating to the lack of clarity in the intervention strategy. In the projects directed towards development of local capacities, there is a lack of connections with SEGEPLAN departmental offices and authorities such as the governors.

Associations of civil society strengthened. In accordance with UNDP's commitment to supporting civil society, the last two programmes' strategies were translated into action through the PASOC I and II programmes. The first aimed to enlist and enhance civil society's role in promoting participative democracy. The second envisaged constructive alliances between State institutions and civil society organizations in order to create legal frameworks, implementation tools and sustainable links for participative democracy. In PASOC I, civil society associations were strengthened through augmentation of resources and technical capacities. Training/awareness efforts were promoted on various issues of interest to civil society, such as justice, respect for human rights, adult literacy and micro-business. In a country emerging from decades of conflict that, among other things, eroded civil society, this support was timely and valuable.

A conceptual framework for supporting civil society was initially missing. According to the PASOC I evaluation, and this mission's findings, the initiative was limited by an absence of a clear

intervention strategy. Financial resources were channelled to individual civil society organizations without creating coordination mechanisms and networks of associations around themes of common interest. Also, despite the intention of generating dialogue between the Government and civil society, this was not possible due to lack of a conceptual framework and application of a suitable method. Based on the lessons learned, PASOC II is trying to build a more congenial environment.[51] Although it is too early to evaluate PASOC II's effectiveness, the changed formulation itself is significant.

Some interesting and substantive initiatives remain without follow-up. PRODDAL has generated a dialogue process between diverse actors through, among other things, the distribution of the Report on Democracy in Latin America and informative kits for schools. Interesting activities were initiated but then impeded. For instance, theatrical representations for children sought to show democratic dialectics in a simple way. However, the initiative had to be abandoned for lack of funding. The action strategy developed within the project framework was considered "academic" by UNDP management in 2007 and was put aside. However, the current government is using the proposal to design and apply a new programme, "Government with the People", at the regional and local levels.

Fulfilment of Peace Agreements: UNDP has played a vital role in facilitating the implementation of the Peace Agreements. It has done so through active participation in the consultative groups formed for this purpose as well as through the inclusion of this perspective in the vast majority of its projects. The "peace as a foundation for development" project reactivated participation and the search for consensus as part of the re-launching of the Peace Agreements. However, its mode of execution was not entirely

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51. In the framework of PASOC II, the proposal design and selection process went through the creation of alliances between civil society organizations and their state counterparts, in order to give them an incentive to present coordinated projects. All of the initiatives approved by the PASOC II are required to clearly establish the coordination agreements between presenting civil society organization and its institutional counterpart within the State.

appropriate to the project type. While the intervention envisaged discussion forums in the field, the project ended up repairing infrastructure, something not part of the original plan. This underlines the lack of strategy and of a clear intervention method.

The issue of land remains central to the fulfilment of the Peace Agreements. Over the past decade, UNDP has been providing continual support towards resolving the agrarian conflict. One project UNDP has been promoting in coordination with donors is that of a Land Registry[52] which has included up to 10 initiatives.

Land registry information was attained, but not the legalization of property. Through the Land Registry projects, cadastral surveys have been carried out in 20 out of 333 municipalities registered in Guatemala. The municipalities have responded satisfactorily. UNDP aided the transition of the Legal Technical Unit, which had been overseeing the land registry since 1997, into a permanent institution, the Registry of Cadastral Information (RIC), in 2005. However, the property legalization process remains at a standstill because the RIC statute limits its operations to surveys and identification of irregularities in the registry. The population still has no method of acquiring property titles, with small farmers and indigenous peoples suffering the most. UNDP has supported advisory services towards the development of a strategic plan. Timely coordination with donors has facilitated the approval of the law and commencement of the process, which would not have been possible without UNDP intervention.

On 30 April 2002 the Secretariat of Agricultural Issues of the Presidency (SAA) was created. UNDP has supported the strengthening of the institution. Key work areas have been implemented, including that related to conflict resolution. Between 2005 and 2007, 1,230

agrarian conflict cases were resolved, a small fraction of the total number of cases. Given the scale of the agrarian problem, much more remains to be done.

Use of the human development concept in public policies: One notable project in this area is related to the strengthening of the National Statistical System (Improvement of Living Conditions – MECOVI)[53], whose goal is to establish and develop an integrated survey system. The project helped to improve the quality of the surveys, increase the geographic and thematic coverage of statistical information, provide better input for the reports and foster greater debate on human development in the country. UNDP's role in this project is underlined not only in terms of its financial management, but also in its mobilization of financial resources through donors. Effective collaboration was established between UNDP and the National Statistical Office of Guatemala (INE) in order to provide support to UNDP projects such as the Human Resources Inventory Management (developed with the Ministry of Education) and the Petén cartography (developed with RIC).

More efficient institutionalization in the provision of public services: UNDP's effort in this broad area, although fundamentally centred on financial management, has been significant. Multiple government and local organizations are supported through different initiatives of institutional strengthening, planning and strategic analysis, but especially in system modernization and management support. Among the institutions receiving particular assistance are the Vice-presidency, the Superintendence of Tax Administration and the Ministries of Economy and Finance as well as various municipalities.

In the municipal sphere, the large Metropolitan Development Programme for the Municipality of Guatemala – PRODEME – (NEX project) is

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52. The land registry project has been financed by various donors, including the World Bank, Norway, the Netherlands, GTZ Germany, the Navarra Government (Spain) and Sweden.
53. MECOVI is funded by multiple donors, the main ones being the World Bank and USAID.

Table 10. Examples of findings by project (democratic governance)		
Project	**Main outcomes and generated processes**	**Sources**
PASOC I	(+) Civil society organizations have improved capacity (technical equipment, experience, skills) for the management of mini-projects for training and awareness (respect for women, tolerance of diversity), and micro-business projects. (-) No creation of organizational networks. Limited creation of connections/tables of dialogue with public authorities	UNDP interviews; 2007 field visits of civil society organizations. Sololá. San Marcos. Documentation
Transport in Municipality of Guatemala	(+) Development of a municipal development plan linked to the Long-Term 20/20 Plan, which was sustained in six strategic axes. An initiative centred on the construction of the TRANSMETRO became an integrated development proposal (-) Axis of institutional strengthening is still pending.	UNDP interviews, mayor, vice-mayor and project coordinator. Documentation
National competitiveness programme	(+) Development of the National Competitiveness Agenda, Investment Promotion Agenda Strategic alliances with Facilitator Groups (-) The participation expected from the micro and small businesses did not take place.	UNDP interviews, former manager of the programme, Vice-minister of Economy. Documentation
Land Registry	(+) Institutionalization of the Registry of Cadastral Information (RIC), which had only been a technical unit (Legal Technical Unit - UTJ) (-) The RIC can only identify irregularities but cannot legalize property. Incomplete legalization process (the population still cannot certify property). Lack of Regulating Law	UNDP interviews, former coordinator of UTJ PROTIERRA, RIC officials and field visits. Documentation.
Strengthening of the Secretariat of Agricultural Affairs	+) Definition and implementation of the organizational structure of the Secretariat. UNDP facilitated, through administrative and financial support, the implementation of the Secretariat. (-) The Secretariat still has not attained the scope for which it was created, its most urgent tasks being: (i) that the arbitration centre achieve a capability of attending to all case demands; (ii) that studies be carried out for the cases of greatest impact;	Interview with the ex-secretary of agricultural affairs, Agrarian Conflict Report executed for 2005-2007, developed by SAA. Documentation
Observance of Water and Sanitation	(+) Study conducted for the development of sector policies; Forming of the Water Commission; Development of Management Models (-) None of the management models was formalized. However, in the framework of the development of the Water and Sanitation Plan, the approaches developed by UNDP have been considered.	UNDP interviews. Interview with the coordinator of Potable Water and Sanitation, SEGEPLAN, Interviews with environmental NGOs, Documentation.

Source: Developed by the ADR 2008

worthy of note. UNDP's involvement in these large-scale infrastructural projects was and continues to be a source of controversy. The matter of UNDP's management of public funds will be dealt with separately in this report. What is noteworthy in this case is that UNDP assistance was not simply confined to public resource management. Initially, the project was to involve only the construction of the TRANSMETRO, with funding from the IFC and through loans from private banks. The consultancy and facilitation from UNDP helped an infrastructure project convert into a long-term development programme, to which other

financial resources were added, essentially from the Municipality of Guatemala. These new resources were directed towards other strategic areas including urban mobility, environment and solid waste management, territorial arrangement, recuperation of the Historic Centre, and institutional strengthening of the municipality.

Less substantive administrative support to the financial sector. Notable in this area is the Integrated Financial Management System (SIAF III) project financed by the World Bank, whose goal is to increase and deepen the Government's financial-sector reforms initiated by SIAF I and SIAF II. A system has been institutionalized that allows government officials access to information on government financial operations in real time, ensuring transparency in the use of public resources. UNDP's role has been to verify the appropriate use of funds and provide training in transparency norms and procedures.

The Ministry of Economy lent significant support to competitiveness through the World Bank-financed PRONACOM project. The process initiated within the project framework has been contributing to increasing investment and promoting a national competitiveness agenda. Also, strategic alliances have been generated with facilitator groups and the Universidad del Valle in Guatemala. However, the effects of the project on poverty reduction are not evident since the most favoured enterprises are essentially large and medium-sized ones, as opposed to small ones foreseen at the outset. UNDP centred its intervention on financial management of the project and development of capacities in norms and procedures. These were important in the initial phase, especially considering the sector's limited experience in resource management. However, UNDP did not participate in defining the strategy, which was set out in the loan agreement between the Government and the World Bank.

In the area of basic services, one of the projects assessed was "Observation of Water and Sanitation", whose technical and administrative direction was managed by UNDP. The project involved diagnostics of water and sanitation services at the municipal level with the participation of municipal authorities, the forming of the Water Commissions and the development of three management models. Although none of these proposals were institutionalized, they are currently being reviewed within the framework of the Government's Water and Sanitation Plan.

Justice Administration: Despite national efforts to strengthen institutions and to apply an integrated legal framework, an effective system to watch over the rights of citizens is lacking. UNDP, with a view to contributing to this development outcome, promotes the inclusion of access to justice in various projects. Although some shortfalls were identified in PASOC I, they were the result of unstructured project design. Other assistance came in the form of technical and financial support to the Office of the General Attorney for its Re-engineering Plan.

4.2.2 CRISIS PREVENTION AND RECOVERY

Peace Agreements consolidated and incorporated in the national agenda: Various projects are being promoted towards achieving national priority issues. Among these are (i) supporting implementation of the National Compensation Programme; unit of analysis and strategic proposal for the accompaniment of Peace Agreements; and Dignity and Psychosocial Assistance of Victims of Armed Conflict (DIGAP); (ii) supporting the fulfilment of Peace Agreements; national peace culture programme; and strengthening of the institutionalization of peace with an emphasis on the role of supporting human rights, the access to justice and overcoming racial discrimination against the indigenous peoples (FORPAZ).

Dignifying conflict victims as a foundation for future pacification. The interventions were able to lay the foundation for the efforts of the State, civil society and international organizations to drive attention to sensitive issues such as dignifying the victims of internal armed conflict. Through DIGAP, forces were mobilized from the social arena to drive the very complicated

process of bringing the victims and the State together. Psychosocial awareness actions were galvanized, a process of exhumation of the victims of armed conflict was started and the capacity of civil society organizations to negotiate with the State was strengthened. Another important contribution was the creation of political and technical conditions for historical clarity and justice processes.

The Berger Government's acceptance of responsibility for the crimes committed during the armed conflict represented an important step forward. UNDP interventions contributed to the consolidation of what was formerly named the "National Compensation Programme" (PNR). This programme had three important aims: institutional strengthening of the programme that allowed for the existence of an institution dependent on Secretariat of Peace – SEPAZ – providing direct follow-up to the PNR; the building of a database for the National Registry of Victims that is being used to follow up on established cases; and acts of dignification and psychosocial reparation to victims and survivors that, unfortunately, are currently not taking place. A measure of economic compensation for the victims is the most advanced part of the programme.

Clear gaps limiting effectiveness have been identified. PNR and the organizations accompanying DIGAP are facing varying proposals on the process PNR should follow, where the mediation and actions taken by UNDP have not allowed for the creation of the adequate synergies required to strengthen and complement diverse existing initiatives. There is no internal coordination allowing the different projects to complement their efforts and prevent the dispersion of its territorial or thematic application (e.g. DIGAP-PASOC I-PNR). Grassroots organizations believe the lack of coordination between PASOC I and DIGAP created conflicts in the allocation of resources in some communities. The exit strategies of "sensitive" projects have not generated adequate organizational and technical conditions to guarantee follow-up.

Orientation of public policies on the issue of security. The contributions by the "Citizen Security and Violence Prevention" project are valuable in creating a new concept of people-oriented security. UNDP has been a main interlocutor in generating public debates. In the spirit of public-policy dialogue and influence, conditions have been created for the eventual emergence of public safety and citizenship from a perspective of democratic security. Similarly, advances have been made in the design of public policies geared towards citizen safety in concert with several institutions involved in the area. In relation to impunity, initiatives have been developed to galvanize processes and create technical and legal conditions for follow-up. One such case relates to the recovery of the historical archive of the National Civil Police. In terms of strengthening civil society, UNDP has contributed to the enhancement of capacity for negotiation and impact and strengthening of political actions on public security and citizenship.

Results were less significant when support was confined to operational and training aspects. The limited strategic achievements in the field of democratic security are directly linked to external factors such as the State's limited capacity for far-reaching reform, organized crime and lack of political will as well as factors within UNDP. Projects such as "Citizen Security and Violence Prevention" having a stronger policy and strategic focus are not well integrated with the rest of the UNDP programme. Institutional backing from UNDP is also limited. There are technical and strategic weaknesses in the institutions responsible for guaranteeing public safety, which are reflected in the limited outcomes of the fight against organized crime and common delinquency. There is a lack of determination and political will on the part of the donors involved in State reform. Advances in public security will continue to be restricted if the efforts of UNDP and other international organizations remain limited to formative and operational aspects (such as training modules and equipment for police officers) instead of more strategic and

Table 11. **Examples of findings by project (crisis prevention and recovery)**		
Project	**Progress towards expected outcomes**	**Sources**
DIGAP	(+) Introduction of a holistic framework for dignifying victims (psychological support), information and evidence on events has been generated, technical capacities have been developed (forensic anthropology, now DNA) (-) Cases of limited integration with PASOC I have generated divergences in some communities.	Reports, technical follow-up, interviews with NGO executors, focus groups with beneficiaries and indigenous groups in the field.
PROHABITAT	(+) Creation of crisis response units in the municipalities. Methods and protocols for reactivating economic income (certification of bricklayers/carpenters), introduction of diagnostics of reconstruction sites, adoption of participative planning systems (housing configuration, basic infrastructure). Quality housing (-) Still lacking framework for follow-up of medium-term post-reconstruction activities	Follow-up reports and final revisions, SCEP interviews, NGO executor interviews, mayors, beneficiary family interviews, direct observations in beneficiary and non-beneficiary sites
National Civil Archive Policy	(+) Recovery of official material as a basis for future historical research. Participation of the highest level of technicians.	Report, archive visits, personal archive interviews
Citizen Security	(+) Quality studies; inputs to encourage discussions on public policies (-) Limited synergies with other UNDP projects	Reports and studies, interviews with former civil police officials, Ministry of Governance, sectoral and academic specialists
FORPOL	(-) Courses and teaching materials not always "practical", insufficient involvement of technicians (e.g. policy officials) from other countries	

Source: Developed by the 2008 ADR

political processes. This is the case with FORPOL, which remains largely unsuccessful in institutionalizing the National Civil Police because of its limited focus on logistical and formative support at the expense of reforming the public-security system.

As a result, relevant contributions from UNDP-promoted projects have not been included in government plans. Nor have they been transformed into public policies geared towards the improvement and reform of the security and justice system. In the area of democratic security, there are difficulties in maintaining viable and permanent mechanisms of compromise and dialogue among the State, civil society and the international community.

Disaster response system: This outcome is linked to the execution of several projects such as risks and development; improvement of

Government capacities in the reconstruction process; post-Stan response and rehabilitation; risk and disaster training and management; decentralized environmental reconstruction and management in the departments of San Marcos and Quetzaltenango; community habitat reconstruction risk reduction programme; Prohabitat (Canton Pacua, Canton Chitinamit, October 4th, the Palmita, Xecotoj, Potrero Grande and Chokmuc); and local risk management in the department of San Marcos.

A methodological contribution to post-disaster reconstruction. UNDP projects contributed to the overall design focus on prevention and risk within relevant national institutions, as well as in municipalities and communities where reconstruction initiatives were taking place. A particularly noteworthy contribution is that of PROHABITAT in the development of methods and instruments for the improvement of response

to natural disasters such as tropical storm Stan. The methods and plans created by PROHABITAT are being discussed and publicized. The approach combines a reconstructive perspective with risk management and economic initiatives for income generation. Thanks to the participative planning methods of PROHABITAT, a superior quality was achieved in housing reconstruction in comparison to houses reconstructed by the State without the help of PROHABITAT.

The limitations identified in UNDP-promoted projects and programmes in this area are related fundamentally to difficulties within public institutions in building a national sustainable risk management plan that directs, coordinates and regulates its interventions. Interruptions and delays were noted in operational management. For instance, many families affected by tropical storm Stan continue to live in temporary lodging after three years. This is rooted in administrative problems in and lack of implementation capacity of the executing agencies. Moreover, few interventions have an exit strategy focused on sustainability. After the reconstruction, economic problems will arise. The majority of the households affected by the disasters will have lost their sources of income. UNDP would need to change the nature of its intervention from reconstruction to economic development.

4.2.3 POVERTY REDUCTION

Strategies and policies

Strengthening of SEGEPLAN: Each of the three governments in office during the evaluation period has presented its own set of national strategies. Although introduced as long-term agendas, they have been limited to the four-year tenure of the concerned government. Officials from the current and previous governments, as well as those from civil society groups and international organizations, agree that the poverty reduction strategy remains highly generalized. In fact, several agendas have existed, including those envisaged by the Peace

Agreements, those linked to the MDGs, and those belonging to different governments. There are 49 public policies in existence, of which 25 – global and sectoral – have been developed and have drawn consensus (e.g. gender, environment, rural development, food security, but not health-care and education), some with technical assistance from UNDP. In the majority of cases, implementation has been limited. Multilateral and bilateral agencies have made – and continue to make – important contributions to the Government's efforts to develop longer term development strategies. UNDP reinforced the analytical and statistical capacities of SEGEPLAN for follow-up and monitoring of MDGs. Two MDG progress reports have been published. UNDP support for the Government system to measure the progress of presidential goals – SIGOB – incorporates a module for MDG follow-up. However, none of these efforts has resulted in a clear strategy with solid consensus for the four years of any government.

IDH contributed to political debates and formation of public opinion: Since 1998, the instrument *par excellence* for achieving this result have been the National Human Development Reports (see paragraph 5.2). The director of the 2002 report (women and health) participated in the health law debate in the Congress. An evaluation of the INDH in 2006[54] found senior politicians and Government officials to be two of the largest audiences. The reports have made a substantial contribution to the orientation and planning of key development themes and have influenced the plans, policies and proposals of different sectors.

Public Services

Resource management and support to the improvement of primary education. Since 1993, the Ministry of Education has pledged to extend school coverage throughout the country. In 1996, it implemented the National Education Programme (PRONADE) as a principal instru-ment. The programme is active through private

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54. UNDP-EO (2006) *Evaluation of the National Human Development Report System*, New York

Educational Services Institutions (ISE) and Education Committees (COEDUCAS) of parents. UNDP has concentrated on resource management (two NEX projects), not so much on the definition of policies, and contributed to the extension of primary school coverage from 69 percent in 1996 to 96 percent in 2006. UNDP administration of the programme has been instrumental in ensuring greater agility, neutral management, and oversight of transparency. However, previous governments expanded education coverage through decentralized self-management and with the participation of sub-contracted private entities. This has created tensions in the teaching community (e.g. on teachers' working conditions). The current government has decided to close PRONADE before its scheduled 2009 end and is deciding what to do with the over 11,000 primary school teachers who were working in the programme and are now on the Ministry of Education payroll.

UNDP responded to the Ministry of Education's request to support the management of a project enabling bilingual bicultural Mayan education, focusing on girls, in two indigenous towns (Mam and Kaqchikel). In two years, the initiative established foundations for curricula and teacher training and materials. The girls trained would help to establish general bilingual education, a fundamental contribution towards reducing discrimination against indigenous peoples. In the Intercultural and Multilingual Education Programme of Central America (PROEIMCA) – which includes Honduras and Nicaragua – UNDP has helped to monitor and expand progress.

Basic health and nutrition services. UNDP has collaborated with the Ministry of Health and Social Assistance in half a dozen projects, including AIDS control, reduction of acute malnutrition, basic healthcare, regulation and control, as well as administration of health service providers, and malaria reduction. The

project selected for this evaluation was geared towards the prevention and control of sexually transmitted diseases and HIV/AIDS, which has been active since 2002. The project helped the Ministry of Health to coordinate and connect with international mechanisms such as UNAIDS and to nationalize the agreement 27-2000 to fight AIDS. AIDS outbreaks have been recorded in parts of the indigenous population, where there is a risk of spread. This requires large and permanent prevention campaigns. UNDP advised the entire process, from establishing the legal foundation to obtaining medications, with a limited role in strategic and substantive aspects. By entrusting UNDP with part of the management, the ministry was able to re-stock, at a very low prices, for more than a year. Some ministries cite this as the convenience of working with UNDP.

Marginal interventions in "economic-productive" programmes. UNDP focused mainly on social development, where it has the most experience and specialists, and very little on production projects. UNDP provided marginal contributions to expected outcomes like the "regulatory frameworks leading to the access to production and financial means directed towards the poor sectors", or the "strengthening of small and medium-sized businesses, grassroots production cooperatives and organizations" (Table 8). These activities are mainly supported by multilateral financial institutions such as the World Bank, Inter-American Development Bank and the International Fund for Agricultural Development. These institutions have their own funds, operate on the basis of loan agreements with the Government, and have sectoral specialists. UNDP does not have specialists in economic-production and rural development.[55]

4.2.4 ENVIRONMENT AND ENERGY

A small programme with achievements in institutional strengthening. This is the smallest result area, not mentioned in the 2005-2008 CPD[56], with a predominance of regional

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55. Efforts were made, with their own funds, to attract other agencies to promote the economic empowerment of women, continuing with support to SEPREM (NEX), but the new Government changed the institutional configuration in this area.

56. However, it is mentioned in the Atlas outcomes that do not coincide with the CPD outcomes.

Table 12. Examples of findings by project (poverty reduction)		
Project	**Progress towards expected outcomes**	**Sources**
PRONADE	(+) Project of more than 20 years; succeeded in extending coverage through private providers (NGOs) and committees of parents of families (contracting, payment and control of teaching assistance) achieving self-sufficiency and change in teacher activities; acceleration through neutral, transparent, more agile administration by UNDP (NEX); (-) Management by MinEdu until 2004 slow, impenetrable, "politicized" lacking operational criterion; change of government in 2008: project closed prematurely with 11,000 teachers in regular system and on MinEdu payroll (now no subcontracting; lack of continuity; danger of setback); teacher training still at mid-level, not university; impact not measured; little support from UNDP at the level of sectoral policy.	2005 PRODOC, final report, previous support, audit report, technical file, interviews with UNDP managers, with ex Vice-minister of Education, with project director, with two former managers in the MinEdu
INDH	(+) Pioneer conceptual contribution, mobility, national capacities, on human development in the country; stimulation of public debate based on statistics, raising awareness of the conditions of the whole population; from 2003 policy proposals, collected by political parties and programmes and academia, especially in the capital; today distribution via multipliers all over the country; INDH team supports monitoring of Government and fulfilment of the MDGs in the country. (-) Little follow-up once a INDH is launched, although each report continues building on a previous one; within UNDP, they are used little for debate and strategic orientation; next step stagnant (observance of human development), also for lack of funding	1999 PRODOC; 2005 Evaluation report; INDHs; technical file; financial and donor reports; interviews with current and previous managers of UNDP, with the College of Medicine of the Universidad Landivar (INDH 2003), with NGO/ private think tank, with deputies
Prevention and Control of ITC, HIV/AIDS	(+) A pioneer in putting the issue on the public agenda and creating technical, legal and institutional conditions (Ministry of Health) to tend to the high risk poor (urban) population through a national decentralized programme; alliance with PAHO, UNAIDS and NGOs; political will mobilized and public resources opened; in administrative aspects, UNDP intervened in 2006 to solve a blockage in the provision of anti-retrovirals (efficient and effective administration). (-) Lack of continuity in alliances (stop-go) today, UNAIDS wants more UNDP involvement in substantive aspects (not just administrative); lack of indicators and measurement and M&E to confirm qualitative and quantitative advances.	2001 PRODOC; UNDP follow-up report; 2007 final report; interviews with UNDP manager, ex manager of NGO programme

Source: Developed by the 2008 ADR

interventions with GEF funds. UNDP has developed several initiatives directed towards promoting sustainable environmental development. The application of a multisectoral and inter-institutional focus has made it possible to improve mechanisms of collaboration with the State. Projects like RECOSMO (sustainable management of natural resources) and PROBOSQUES (geared towards consolidating regional municipal parks) have promoted greater participation from local actors (municipalities, social organizations, community organizations) with a view to creating sustainability of resources in the medium term.[57] In collaboration with the State, UNDP interventions have helped to consolidate institutions related to the environment and energy, specifically MARN, INAB CONAP, MAGA and the Ministry of Energy

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57. The municipal authorities have managed to cover 66 percent of the expenses and, at the time of the evaluation mission, there were discussions on measures to generate resources for the remaining 34 percent.

and Mining. The existence of a system of monitoring windows represents a first step on the path to improving control, follow-up and decentralization of environmental management. On the legislative side, UNDP has encouraged the development of laws and policies directed towards the generation of a more functional and viable energy sector.

Among the inhibiting factors in this area are the diversity and complexities of existing environmental legislation, which have resulted in increasing incompatibilities and disorganization. According to interviewees, the legislation is inadequate considering the scope of the problems and the country's socio-cultural and economic realities. It is difficult for public institutions to agree on a single work agenda. Undoubtedly, an influencing factor is the environmental impunity that makes it impossible to control the diverse political and economic interests – legal and illegal – already surrounding the issue. Political conflicts over energy and mineral resources are growing and may become real factors of political and social instability if not dealt with appropriately, as exemplified by the case of open-ceiling mining exploitation.

UNDP has come out with valuable initiatives geared towards sustainable management of environmental goods and services such as ecotourism, the carbon market and coffee production. New projects have been developed to promote the productive use of renewable energy, encourage actions against desertification and drought, and sharpen the focus and action on climate change and environmental management from a global perspective. Although it is too early to evaluate their results, the environment is noticeably isolated from the rest of UNDP's programme. With new initiatives like "Strengthening Environmental Governance Regarding Climate Risks in Guatemala" (SEGEPLAN, MARN, MAGA, MSPAS, FAO,

UNICEF, UNDP), attempts are being made to set guidelines for better integration of environment and energy with other thematic areas such as governance and poverty reduction.

According to some environmental and sectoral experts, UNDP's role has been marginal when it comes to organizing debates and discussions on key issues. This could reflect the country office's limited financial and human resources and high turnover of senior management.[58] Also, financial uncertainty in UNDP on environmental issues favours short-term interventions, rendering follow-up of long-term projects difficult.

4.2.5 GENDER

Gender as a mainstream theme: Gender equality has been handled as an overarching theme in UNDP interventions. UNDP's 2001-2004 strategy included an outcome related specifically to the issue. Gender-oriented projects are located first within the Atlas category in the crisis prevention and recovery area, which included support for the creation of the Presidential Secretariat of Women (SEPREM) in October 2002 (a DEX project that became a NEX initiative), as well as the strengthening of the Indigenous Women's Defence Council (DEMI) from 2001 to 2008. Studies in this field, including the National Human Development Reports, established a statistical differentiation in national surveys, as well as reports on the situation of women, a valuable contribution towards substantive debate. The institutional weakness in the Government, however, stood in the way of an effective long-term agenda.

There is not enough information to form conclusive opinions on the results of the programme's gender focus. An UNDP DIGAP project evaluation in 2005 characterized the process towards greater gender equality in the following way: "[T]here has been no evidence found of inadequate practices" by the implementers in the focus

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58. According to UNDP-G, the high staff turnover is a result of the difficult and complicated process involved in the formulation and execution of GEF projects. Other GEF-UNDP regional projects (e.g. CamBio, ARECA, PEER) and the Small Donations Programme (GEF-UNOPS-UNDP) need more time and work than currently scheduled.

Table 13. Examples of findings by project (environment and energy)		
Project	**Progress towards expected outcomes**	**Sources**
PROBOSQUES	(+) Capacities have improved for municipalities to promote sustainable processes on environmental issues; policies and laws have been created with a territorial and decentralization perspective; mechanisms have been generated for greater social participation. (-) There is little determination on the part of the State to promote processes of environmental governance; lack of integrated vision (social, economic, cultural and political) in dealing with the environment; no conditions exist for generation of sustainable processes in the management of sustainable resources;	Technical reports; evaluations of results; Prodoc; San Marcos Municipality interview, interviews with park guards; interviews with specialists; interviews with UNDP personnel.
Recosmos	(+) The technical capacities of institutions and organizations have been strengthened to improve the actions related to conservation of protected areas; there is community involvement in the environmental conservation processes. (-) Limited public funding; illegal interests that make long-term sustainable processes impossible.	PRODOC; technical follow-up information; interviews at State institutions; interviews with beneficiary organizations and individuals; field visits.

Source: Developed by the 2008 ADR

towards women "nor traces of incidents due to lack of sensitivity on the issue". On the other hand, the PASOC I evaluation of 2005 stated that, with few exceptions, the activities and organizations supported under that initiative did not incorporate a gender perspective into their diagnostics, planning and execution of activities, an aspect that may improve in PASOC II. Nevertheless, the majority of representatives of women's organizations interviewed during this evaluation believe that women's participation, indigenous and non-indigenous, in associative and public activities has increased significantly.

A former Resident Representative tried to promote the issue of gender along with other UNS agencies, especially UNIFEM. In 2006, with modest funds, the Economic Empowerment of Women project began as a DEX, which was converted into a NEX of SEPREM. Attempts were made to establish a strategy for the mainstreaming of gender perspective in the economic sphere. After the last change of government, SEPREM has been confined to a less visible mandate.

4.3 PROGRAMME EFFICIENCY

Chapter 3 touched on aspects of efficiency in office management. How efficient has the support been for the processes indicated in relation to the programme aspect of UNDP? This mission has gathered, through interviews, observations and document review, the following related elements:

a) The introduction of norms from headquarters (Atlas system) has not yet contributed to greater management efficiency at the country programme level. Moreover, there have been growing complaints that projects co-financed by multilateral and bilateral donors have become slower, more bureaucratic and less efficient over the past two years.

b) Dependency on the Government and outside donors for resources, due to the low core funds of UNDP, puts a strain on the country office in terms of obtaining projects to execute as well as recovery costs UNDP receives for its services. This need – and opportunity – has at times motivated the

acceptance of projects with little strategic weight, which is not an efficient way of fulfilling the organization's goals.

c) Incentives exist for both UNDP and the Government to entrust the management of public programmes to UNDP. Governmental entities are subject to the laws on contracting personnel, tender of goods, State salary structures, annual budget norms and audits. When project administration is turned over to UNDP, the latter withholds 3.5 percent of the funds for its services and applies its own norms in these crucial matters.

There are two positions on this matter. Some maintain that UNDP management makes public administration more efficient by transferring capacities and by ensuring transparency and neutrality in public resource management. This evaluation has been able to confirm such an assessment in different cases.

Others consider UNDP management of state resources to undermine the imperative of transforming State institutions into more efficient implementing bodies. They also believe that UNDP's intervention in administrative activities is of little or no substantive value. The mission observed this to be the case in other areas. To achieve efficiency while avoiding government norms is, in fact, not a sound proposal considering the overall imperative of boosting national execution capacities. However, with inadequate legislation and regulation for State efficiency, an actor like UNDP – still bureaucratic, but more agile and flexible than the State – would be an attractive way of implementing programmes more quickly and transparently.

d) The present evaluation found a few selected cases in which financial and execution reports were submitted late by UNDP or in which quality did not conform to standards. This, in turn, caused delays in the delivery of financial resources to projects funded by multilateral organizations such as the World Bank and the IDB[59]. In part for these reasons, the World Bank and the IDB prefer that the Government not solicit UNDP management for their new loans. When such a modality is adopted, programme management is complex, as it must abide by administrative requirements of the multilateral agency, as well as those of the Government institution in charge of execution. Moreover, if the Government requests UNDP to be involved in management, the latter applies its own rules. Institutions such as DEMI have also indicated late delivery of financial reports.

e) Several changes have been observed in the mode of project implementation between the two UNDP programme cycles (Annex 2, Table 2.2). In governance, there is an expected decrease from 19 to six DEX projects, and an inverse trend in crisis prevention and recovery, due to the need to react against tropical storm Stan, although in this case UNDP has been much more involved in civil society organizations compared to the previous phase. UNDP explains that national execution (NEX) is most appropriate from the national ownership perspective, although some programme officials argue that direct execution procedures (DEX) allow a larger scope of actors to coordinate, making the mediating and connecting role that UNDP plays more valuable, with effects that are not attainable through NEX.[60]

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59. Executed by the Government of Guatemala, which had requested UNDP management support.

60. According to UNDP's new Operation and Programme Manual, the programme is to be in its totality executed by the national authorities and may be implemented by UNDP when this offers a specific and necessary value addition. This modality will be applied from 2010 with a harmonised implementation cycle. See: http://content.undp.org/go/userguide/results/programme/initiating/?lang=en#2.0%20Relevant%20Policies (paragraph 2.6).

4.4 SUSTAINABILITY

Ultimately, UNDP's main contribution to development in Guatemala consists of strengthening the country's institutional capacities. The sustainability of results achieved depends above all on the structures, policies and processes involved. These vary widely and are difficult to understand due to the nature of the projects, which try to facilitate dialogue, overcome divisions between historically opposing groups, remedy injustices and create technical and political capacities. The projects evaluated demonstrate an impressive range of processes promoted by UNDP, from the dignifying of victims of conflict, citizen participation and development of basic services to the increase of research capacities.

In accordance with its mandate, UNDP works first with the Government and in this function has supported the creation and strengthening of a series of State institutions, mostly linked to the implementation of the Peace Agreements. Several secretariats and ministries have been created for specific purposes. These entities have facilitated the creation and implementation of policies and programmes at the municipal level.

The biggest obstacles in achieving sustainability in structures, policies, programmes and processes are institutional instability and the lack of continuity within and between different Governments, as well as within UNDP itself. For this reason, too many times, learning processes in support and management of projects and programmes have been interrupted. The two incoming governments in the time under consideration (2004, 2008) carried out substantial staff and policy changes. While the party and political configuration in the country continues to be unstable (reflecting the non-integrated status of the voting majorities), the incentives for groups in power are medium-term (four-year time-frame). The aggravating factor is that there is no law framing a professional career path in the civil service. The low tax collections seriously limit the possibility of creating capacities in the public sector. UNDP has tried to strengthen NGO and community involvement, which is fundamental to the building of sustainable frameworks. It has also lent support for the development and follow-up to the Fiscal Pact proposal, a measure laid out in the Peace Agreements but practically not implemented.

Another factor affecting sustainability is State legislation that, as in many developing countries, contains heavy regulations aimed at preventing corruption. A system of competencies and regulations characterized by general mistrust constrains the possibilities of making public administration more efficient, particularly in an environment affected by scarcity of public funds. For a public administration subject to the annual budget that often makes it impossible to fulfil its activities and expenses plan, the temptation to go to an outside administration like UNDP, before losing a large part of the yearly budget, is huge. The failure in achieving greater sustainability is also rooted in the lack of a legal framework encouraging a professional career path in the civil service independent of political parties. After each presidential election, almost all of the ranks of the public sector (also those at the mid and lower levels) are affected. There is a drastic change of personnel, which blocks the action of public administration during the first year of government and, at times, for prolonged periods.

Some characteristics within the UNDP programme can have a negative effect on sustainability. The lack of connections among projects constrains the capitalization of achievements when the interventions end and can generate conflicts among the different intervention modalities. There are also cases of small pilot initiatives (e.g. PRODDAL) that remain without follow-up, perhaps due to personnel changes or lack of a clear vision of objectives. Finally, excessive fragmentation of the programme into dozens of short-term projects does not help in attaining UNDP's goals.

Box 2. Summary of the main findings in Chapter 4

- **Democratic governance:** Key achievements include the dynamization and empowerment of civil society, the creation of long-term planning capacities in the municipality of Guatemala City. At the beginning, there was no conceptual framework for the promotion of dialogue between civil society and the State and for the creation of networks of civil society associations.

- **Crisis prevention and recovery:** Initiatives to dignify the victims of armed conflict have been a fundamental element for future national reconciliation. The conditions for the follow-up of these activities without UNDP have still not been met and synergies are not always maintained with other projects in the area of governance (PASOC I). Some interventions of UNDP in the matter of security have helped to guide discussions on policy and strategy. Others have concentrated solely on the formative and operational support to the National Police (courses, equipment) without substantial value added in regard to interventions from other donors, PROHABITAT introduced conceptual framework and participative approaches in order to respond to natural disasters that can form the basis for future public strategies.

- **Poverty reduction:** The INDHs have a high profile and promoted debates and awareness of public opinion on sensitive issues. With the managing of resources, UNDP contributed to more agile, neutral management in education and healthcare, not always with a strong contribution to the definition of public policies. The interventions in the "productive sector" were marginal.

- **Environment and energy:** The creation of basic capacities in the Ministry of the Environment has been supported. Also capacities to manage natural resources (parks) were created in selected municipalities. This thematic area remains isolated in relation to the rest of the programme and still has limited visibility in public debates. With new initiatives, attempts are being made to create stronger connections with the areas of governance and poverty reduction.

- **Efficiency:** The introduction of norms and procedures from the central office (e.g. Atlas) has generated complaints that UNDP has become slower and more bureaucratic.

- **Resource dependency:** Government and donors at times encouraged the acceptance of less substantive projects or interventions not clearly related to the defined strategy.

- **Short-term measures:** There are initiatives to entrust the administration of State projects and funds to UNDP. On one hand, it makes management relatively more efficient, transparent and neutral. On the other hand, it is a substitute for the need for more efficient State management and it overloads the UNDP office with less substantive administrative activities. It is a short-term measure that, without other interventions, makes no sustainable contributions to increasing national institutional capacity in the long run.

- **Risk factors:** Weakness and institutional instability of the State – e.g. very low tax collection and lack of a legal framework for a civil service career that is independent of political parties – are risk factors to sustainability. Add to that problems within the UNDP programme such as limited connectivity between projects, excessive fragmentation of the programmes into short-term projects and lack of exit strategies, perhaps too much compliant to short-term demands of donors or of governments.

Chapter 5

STRATEGIC POSITIONING OF UNDP

This section will evaluate how UNDP has added value to development in Guatemala, how relevant its interventions have been, and whether it has been able to respond to challenges in an equitable way and to form alliances to increase the value of its contribution. The relevance of the contributions to development not only refers to the areas and themes supported, but also to the implementability of the support proposals in order to achieve results.

The Peace Agreements as guiding long-term agenda. The peace process and its agreements define the history of Guatemala of the last decade. In that sense, the historic role the UN has played in this process must be noted.

The peace process reached its climax when the agreements were signed and the disarmament and demobilization process was assured. The URNG, unlike other guerrilla forces in the region, did not have the power to ensure the consistent start of the deep and complex processes proposed in the Peace Agreements, in exchange for demobilization. Given the setbacks in the agreements' implementation from 1997 to 2000 – particularly in tax, constitutional, and military reforms – the pending agreements were rescheduled for the 2000-2004 period. From this, it became clear that implementation of the agreements could not simply consist of establishing a "list" of individual commitments awaiting fulfilment. It depended on the agreements' nature, scope, and interrelation with other processes – political, social, cultural, international, etc. It was also necessary to facilitate a larger discussion process, encouraging participation of all stakeholders, to achieve lasting change.

In view of the transition to the new Government entering in January 2008, UNDP supported the National Council of Peace Agreements (CNAP) in planning and rescheduling the 2008-2012 Peace Agreements. The document recorded 45 items that remained to be implemented. (Annex 5) Commentators observe that there are far more unfulfilled items than those that have been fulfilled. This batch of non-completed items, more than 11 years after the onset of the peace process, is an indicator of the sluggishness of the process. Furthermore, institutions created towards this end have neither the appropriate framework nor regulations, leading UNDP to help build their administrative capacities, which is arduous work due to the high turnover of personnel in public institutions. In several instances, UNDP has been the factor of greatest continuity in the follow-up of the Peace Agreements.

5.1 RELEVANCE

Positioning of UNDP. According to the 20 July 1998 agreement with the Guatemalan Government, UNDP "will only lend cooperation in response to requests presented by the Government and approved by UNDP." In other words, UNDP acts at the request of the Government. How, in reality, is the organization positioned?

a) The UN and UNDP played a crucial mediating role in the peace process, opening spaces and facilitating processes of dialogue between opposing groups, mobilizing international capacities and connecting processes. This role includes *peace-building* functions of mediation beyond the support and reinforcement of Government capacities, e.g. with in-depth analysis of issues in order to clarify national realities, or with the promotion of capacities in civil society. Guatemala was one of the few cases in which

the UN managed to combine the security and development agendas, giving weight to both at the same time, with the disadvantage that MINUGUA had the power to take measures without much consideration for their sustainability after its closure, a prerogative UNDP does not have nor seeks.

b) The vision of the UN and UNDP in assisting a country's development endeavours is inscribed in the legal mandate to promote human rights, in accordance with the corresponding legal setting approved by the Government and the international community.

Role of UNDP and positioning vis-à-vis the Government. UNDP is an actor with visible importance and recognition in the country. It cooperates not only with the State (executive, legislative, and judicial authorities) but also with civil society, academic centres, and the private sector. Moreover, it has an engagement with values expressed in terms of human development, based on human rights and with processes that improve the respect of human rights. To the extent that Government plans include all these aspects, they can provide a strategic setting for UNDP involvement. However, at the level of general UNDP orientation, several informants of this evaluation reckoned the absence of a strong strategy of past Governments. Moreover, the Government can easily be tempted to use UNDP to fill its own gaps and inefficiency, without any perspective to strengthen State capacity. A substantive contribution of UNDP to the development of the country starts from a vision that goes beyond a single Government timeframe and is oriented to the creation of conditions for a better human development. Accomplishing the UNDP mandate does not simply consist of responding to Government demands. This position can create tensions. Representatives of the current and former governments mentioned the ambivalence within the Government and other actors (such as the media) in   requesting UNDP to provide an

increasing number of services, particularly substantive ones in terms of policy and implementation advice, but making it clear that UNDP would not impose its own positions.

Thematic dispersion. UNDP has been involved in most areas of the Peace Agreements. All such areas are, in principle, relevant to the development mandates based on human rights. However, it is difficult to specialize on everything, especially when core financial resources are limited. This evaluation noted (Chapters 3 and 4) the dispersion of projects, particularly from 2005. The strategic guidelines of the last two scheduling cycles have been too abstract and they have not been translated in operational guidelines, with defined methods and approaches.[61]

Such a wide range gives the UNDP office decision-making freedom, the ability to respond to various demands of the Government and of donors. However, this comes with the classic trade-off between the UNDP mission (e.g. Peace Agreements and strengthening national capacities) and responding to Government and donor demands. A large number of interviewees, inside and outside of UNDP, believe the organization has sacrificed the former (mission, quality) in favour of the second (responding to short-term requests, volume of the programme, financial resources) between 2005 and 2007. This trend, they state, has damaged UNDP's position and the perception of the value it adds. Comparing the documentation of UNDP with inputs from interviews, this evaluation has often noted a desire of UNDP to be present in different areas, not always with a clear approach or method. The most recent example is the involvement in economic-productive projects, responding to requests from the Government, where UNDP has little specialized knowledge.

The determinants of actual programming orientations. In practice, UNDP programming decisions have been determined by four factors:

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61. UNDP-G has made a first step in the area of democratic governance (*Democratic governance: Identification of possible areas of cooperation, ICA, EC, UNDP, April 2008*).

- the evolution of the national context (in particular, changing demands from the Government) as well as changes in international contexts and UNDP headquarters directives (milestones mentioned in Annex 2, Table 2.3; changes in government, new thematic and administrative guidelines from UNDP central office);

- funding from the Government and from donors subject to the evolution of their preferences and of their respective electoral cycles;

- the shifting preferences of the different senior managers of the UNDP country office, who changed five times over the past eight years;

- the limited resources available from UNDP headquarters to offer a systematic strategic guidance.

The lack of a precise strategy and limited resources have been at the root of programme dispersion, a fact that has influenced the perception of the role and function of UNDP inside and outside of the organization, and not always favourably. At the same time, the most important roles of UNDP as an objective, trustworthy and transparent player have been appreciated. The organization is recognized, in particular, as a promoter of knowledge and proposals, a facilitator of capacities and resources at all levels, and a connector with the power to bring together opposing players and a catalyst of new processes. More than just an executor of projects, it is desired that UNDP be a high-level advisor and support projects that influence structural transformation to resolve deep-rooted problems.

5.2 RESPONSIVENESS

Analysis and proposal capacity. Ten years ago, UNDP initiated a DEX project to analyse the national situation on human development through research of development themes, subsequently published in National Human Development Reports (INDH). Between 1998 and 2008, eight such reports have been published. The INDH has become a reference instrument for the debate on development. Amid the general restrictiveness in access to statistical data, the first reports facilitated vigorous public debate on human development, something not always received positively by the Government or the traditional elites. The fundamental reference work on the multi-ethnic character of the country is the INDH published in 2005. The Government of the time did not accept it, arguing that it had been developed without its participation and used obsolete statistics. Generally speaking, the INDH has had great relevance to public awareness on keys elements of human development in Guatemala. The INDH initiatives were not restricted to presenting established analyses, but included political proposals; some influenced by public policies, e.g. in the health sector or the elimination of the racial discrimination. In order to distribute nearly 40,000 printed copies of the 2005 INDH, a training of "multipliers" was conducted all over the country.

High external profile of INDH but limited use for formulating UNDP strategy. In 2006 a corporate-level evaluation of the INDH[62] stated that the documents have been generally successful. It characterized them as part of a progressive process that contributes to the generation of knowledge on the country and to creating an installed capacity to interpret this knowledge, as well as, the promotion of national debate on the policies geared towards the poorest and most excluded sectors of the population. These findings are endorsed by this evaluation. At the same time, in line with the corporate evaluation, this evaluation found that UNDP has not followed up on the information published in the INDH in defining UNDP's own strategies. Moreover, the impact of the reports has been limited to within the UNS and UNDP.

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62. UNDP-EO (2006) *Evaluation of the National Human Development Report System*, New York.

Long-term versus short-term processes. A correlation is observed between the programme volume of UNDP[63] and the cycle of the various Governments, with a typical pattern of reduction of the volume of public programmes under UNDP management during the first year of a new Government. After the first year, Governments have started appreciating the advantages of working with the organization and have tended to raise the volume of public programmes under UNDP execution. UNDP has the capacities to respond to the challenges of development by supporting projects and public programmes. Nevertheless, this capacity needs a strategy that outlasts a Government cycle. Furthermore, it needs to be based on approaches and methodologies that include exit strategies to ensure better sustainability.

For NEX projects, UNDP usually carries out an initial evaluation of the State's execution capacities. Based on this, the organization defines its involvement. In the last four-year cycle, only in 5 percent of the proposed projects did the State fully meet the execution capacity requirements of UNDP. Where public-sector capacity is limited, UNDP supports programme administration, which explains the volume of UNDP administrative-financial-accounting personnel (48 percent of the total, Chapter 3). Therefore, the response capacity exists, but inside and outside UNDP, it is questioned whether it is really the organization's role to manage national projects instead of strengthening Government institutions over the long term.

5.3   EQUITY

Focus on gender equality. The issue of gender slowly acquired importance in both programme cycles evaluated. The Resident Representative in 2006 proposed a mainstreaming policy focusing on gender and the empowerment of women in UNS offices in the country. In 2007, an internal initiative was developed with the aim of systematically applying the gender focus in all programme areas. The activities included research, analysis, a series of workshops as well as publications that were put out at the end of 2007 and beginning of 2008 (Quick Guide, Gender Training Manual, Guide for the mainstreaming of the gender focus in the cycle of UNDP programmes and projects). Given the conjuncture of the change of the Government and the budget of 2007 with the closing of a series of projects, it was not possible to observe concrete effects of these efforts on UNDP strategy and programmes, aside from the ones indicated in the previous chapter.

Inclusion of Indigenous People. After the Peace Agreements were signed, the donors first insisted on creating conditions to solve the agrarian problem – access to land and generation of means of subsistence – with particular attention to indigenous peoples. Interviews with a wide range of people – indigenous, political, authorities of previous and present governments, academic leaders, etc. – as well as published analyses[64] show considerable disappointment. The indigenous leaders maintain that indigenous people have remained marginalized for almost a decade. They point out that only 18 out of 158 members of parliament are natives, despite the fact that indigenous people consist of around 40 percent of the population. The indigenous leaders believe that a true structural transformation – a precondition to eliminating the discrimination against the indigenous peoples victimized for centuries – has not occurred.

The institutional weakness of the State – in representativeness, resources, legal framework, policies, services, continuity – prevented the promotion of opportunities for indigenous peoples. The Agreement on the Identity of the Indigenous Peoples is the least fulfilled in terms of its expected results.

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63. In 2008 this depended also on the 2007 proposal law.
64. See SEPAZ: Peace agreements in Guatemala: Ten years after signing: Wasted opportunity? Pending Agenda and No Reason to Celebrate; Guatemala, October of 2006 (see Chapter 2).

The overview of the relevant projects executed and supported by UNDP in the field is more encouraging (mainly in the departments of Sololá, Huehuetenango, Chiquimula and San Marcos), since concrete advances have been made by and in favour of indigenous people (with DIGAP, PASOC I, PROHABITAT, PRONADE and others). With the INDH, UNDP has contributed substantially to shedding light on the reality of the indigenous people. In addition to individual projects, a broader, more clearly focused strategy on the theme of indigenous peoples would be required and pitched at the level of the desired development outcomes.

5.4 PARTNERSHIPS

Given its limited resources, UNDP needs alliances to fulfil its mandate and uses them widely. This is one of the factors that explain the organization's high profile in Guatemala.

Alliances with State entities. Practically by mandate, UNDP has been allied with a great number of State organizations, from the Presidency and the Vice-presidency to ministries, secretariats, institutes and programmes. UNDP's relations with the public sector are constructive. Representatives from present and past governments indicated that UNDP has been frequently mentioned during official meetings. In fact, UNDP and its programme are characterized by a high visibility in Guatemala. It is an active agency of cooperation with the capacity to make proposals as well as administer resources from the Government and bilateral and multilateral organizations.

Many times throughout this evaluation, representatives of the Government, in particular of the Chancellery and SEGEPLAN, expressed the desire for UNDP help in implementing the Declaration of Paris on the Effectiveness of the Cooperation to the Development (appropriation, alignment, and harmonization). In previous negotiations, UNDP faced the limits of SEGEPLAN in the matter of coordination of international cooperation as well as execution of projects by Government entities. The experiences

with the last two Governments (2004 and 2008) – particularly the considerable reductions in project portfolios during the first year the incoming administration – leave little room for satisfaction from the yardstick of implementation soundness.

Alliances with civil society. An essential element in the promotion of democratic governance is the establishment of alliances between State institutions and civil society organizations to produce legal frameworks, tools of implementation and sustainable links. Generally, UNDP has begun to work more widely with NGOs during the second programming cycle considered by the present evaluation. Some representatives of the present and previous governments expressed reservations, considering NGOs as competitors of institutional roles of the State. Nevertheless, this evaluation has been able to observe in the field sound interventions of NGOs, supported within the framework of UNDP projects. Without questioning the validity of alliances with NGOs, in particular those linked to the indigenous peoples and women, this evaluation has observed cases in the past where UNDP has supported NGOs without creating connections with the public sector, a shortcoming the organization is working to correct.

Alliances with the private sector and private foundations. There has been little work with the business sector, given the difficulties in cooperation in the past. PRONACOM has been one of the few projects managed in this sector. Indeed, business social responsibility is in its infancy in Guatemala. The NGO Centrarse, which encourages a change in the private sector's business culture, today has 110 member companies. These are mostly large organizations that subscribe to codes of values that include social responsibility towards the community, the law and ethics. Potential partners are emerging in the private sector with interest in forming alliances with UNDP to execute projects with communities.

Coordination of international cooperation. UNDP has supported the national process towards harmonization and alignment of

international cooperation in Guatemala. UNDP is currently the multilateral reference point for the discussion group on justice and security, which is led by State institutions and benefits from full participation by SEGEPLAN. At the level of ambassadors, Sweden presides over the "Group of 13" (G13), whose secretariat UNDP supports. In operational terms, the donors – multilateral and bilateral – are asking for substantive support beyond the administration of funds, considering the principles of the Declaration of Paris on the Effectiveness of International Cooperation. Several donors agree that harmonization among agencies that could lead to alliances to direct common projects under a national administration, would be desirable and necessary.

New challenges emerge with the presence of donor countries that do not participate in the G-13 concerning South-South cooperation. In the evaluated period, UNDP facilitated high-level technical assistance by Latin American experts to the Government of Guatemala, most recently from Chile. UNDP recognizes that this modality has remarkable potential, which has been little exploited so far.

5.5 INTERAGENCY COOPERATION WITHIN UNS

The UNS in Guatemala is made up of 19 agencies, funds and programmes (resident and non-resident). These organizations belong to the three large segments of the UN: peace and security (Security Council), development (Economic and Social Council) and human rights (Human Rights Council.). The work of the UNS in a country is based on UNDAF, which seeks to define the development strategy carried out by the UNS as a whole.

The evaluation team interviewed representatives from agencies relevant to the UNS development segment: UNICEF, UNAIDS, UNIFEM, OPS/OMS, UNV[65] and an ex-representative of UNOPS. The interviewees consider that UNDAF has represented an important effort of coordination, but has limits in its orientation. The general contents of UNDAF as well as of the Government strategy limit applicability.[66] Interviewees note UNDP's efforts in the exchange of information with other UNS agencies (e.g. in the context of the INDH), but also observe duplication in programmes (e.g. in the health sector or in the case of environmental emergencies).[67] In addition, each agency continues to plan its activities independently. A framework like UNDAF is a necessary but not sufficient condition to bring together the concrete work of the different agencies; planning at a more operational level is required.

The interviewees recognize the services of UNDP in terms of resource management, personnel and acquisitions. The resources of small representations such as those of UNAIDS and UNIFEM are completely run by UNDP, which manages a yearly volume of around $20 million for other UNS organizations in Guatemala. A small organization like UNAIDS expects greater involvement from UNDP in its area, noting that in other countries the organization is able to obtain financing for more substantive programmes. UNIFEM, on the other hand, applauds the existence of an interagency gender group, with intermittent but quite substantive UNDP participation. Nevertheless, "mainstreaming" of the gender focus in the UNS is very far from the desired level.

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65. There were few common initiatives between UNDP and UNV, such as the project "Peace Promoters - promotion of citizens' participation," whose phase 3 was evaluated in 2006-2007. The results of this evaluation suggest that a more systematic cooperation plan between UNDP and UNV would boost the sustainability of common initiatives and would help coordinate the several UNDP activities out of the capital, particularly in those municipalities where several UNDP projects are implemented.

66. Advancement is observed, nonetheless, in the preparation of the positioning of political parties during election time: the proposals presented in 2007 were much better defined than those in the 2003 election, a process to which the UNDP project of multi-party dialogue has contributed.

67. The attribution of competence between emergency interventions versus support of long-term reconstruction is not strong within UNS agencies.

Box 3. Summary of the principal findings in Chapter 5

- UNDP is recognized as an element of continuity in providing follow-up to the Peace Agreements.

- In the 2005-2007 period, UNDP's programme was characterized by thematic dispersion due to the absence of a clear and conclusive strategy, the need to look for outside financing, the short-term demands of the various governments, and the shifts in the orientations of the several senior management teams of the UNDP country office without strong guidance from headquarters. It is not possible for UNDP to be a specialist in everything; in some cases, there is a lack of clear approaches and methods, which damages the perception of the role played by UNDP. The National Human Development Reports have left an important mark on the public debates, but evidence shows scarce results in the formulation of a strategy for UNDP.

- UNDP demonstrated good response capacity to the demands of the various governments, sometimes at the risk that its assistance remain situational, without insisting on long-term strategies. This characteristic includes the management of public funds carried out by UNDP as a response to the lack of capacities of the State but without creating more long-term capacities for the country itself.

- From 2007, UNDP committed itself to adopting gender focuses in its activities. These are recent interventions and with the Budget Law of 2007, projects are closing, therefore, it is too early to assess results in this field. With regard to the indigenous peoples, some UNDP-executed projects in different departments have made concrete progress, but there is evidence of absence of political dialogue with representatives of indigenous people.

- UNDP has worked extensively with public entities and has enjoyed high visibility and consideration in the governmental sphere. It has worked increasingly with civil society organizations, although not always with a clear conceptual framework. It has still not worked with those parts of the private sector and private foundations that have started to take an interest in development projects.

Chapter 6

CONCLUSIONS AND RECOMMENDATIONS

6.1 CONCLUSIONS

Overall, this ADR concludes that UNDP has made substantial contributions to human development in Guatemala in the present decade, but that its strategy has not been sufficiently cogent to avoid a dispersion of activities in the second programming cycle under consideration. Its positioning resulting from its peace-building role in the 1990s is increasingly challenged by emerging development issues.

1. In Guatemala, the UN combined the peace-building mandate of the General Assembly with post-conflict development interventions, leading to the high visibility and reputation UNDP still enjoys with national authorities.

Guatemala has been one of the not-so-frequent cases in which the United Nations closely combined the peace-building mandate of its General Assembly with post-conflict development, as a recent UNDP Thematic Evaluation confirmed[68]. During the initial period covered by this evaluation, MINUGUA supported peace-building efforts with an important presence in the country in terms of staff and attributions. The main purpose was to help establish and implement the Peace Agreements and heal the wounds of three decades of internal armed conflict and human rights violations, particularly against indigenous peoples. Along with MINUGUA, UNDP provided ample technical assistance and project management services, appreciated by both the Guatemalan authorities and donors.

This history strongly marked UNDP's strategy and portfolio, involving it in many parts of the

Peace Accord agenda signed at the end of 1996. Today UNDP in Guatemala is recognized as a neutral agency, a broker, facilitator and promoter of dialogue on sensitive issues and between opposite groups. It has gained substantial reputation, visibility and credibility in the country.

2. UNDP has generated considerable value addition in the areas of governance and crisis prevention and recovery; they will continue to be important for UNDP and the country. UNDP's record is less strong in poverty reduction, energy and environment. Yet with the outbreak of the global economic crisis, the latter two areas will rise in importance and may require a revision of UNDP's strategy, challenging its past priorities in the country.

UNDP managed to build a relatively solid programme in governance and crisis prevention and recovery, with some cases of good practices at the regional level. The record is less strong in the areas of poverty and environment, with the notable exception of the National Human Development Report (INDH) and connected activities, which were not sufficiently taken into account in strategy formulation. Yet poverty and environment are likely to acquire more prominence in the near future: the first symptoms of the global crisis have become visible in early 2009 in Guatemala, with an inverted flow of migration and decreasing remittances for the first time in many years.

UNDP has strong analytical capacity and experience in the social sectors through its INDH group. It has been relatively successful in supporting the implementation of social public

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68. UNDP Evaluation Office, 'Evaluation of UNDP Assistance to Conflict-Affected Countries, Case Study Guatemala', 2006

programmes but less so in helping to shape the related policies and in providing high-level advisory support to decision makers. Its environmental agenda has been driven by external funding (GEF) and has limited visibility in the country. UNDP has little experience in promoting economic-productive programmes for poverty reduction in Guatemala.

3. While UNDP has made efforts to introduce strategic planning in this decade, the effects have been relatively weak in terms of orienting and improving its programmes. This is partly due to the complexities of the political and socio-economic context of Guatemala and partly attributable to a number of systemic and organizational factors within UNDP.

The context in Guatemala has been characterized by deep divisions in the population, reflected in a shifting political party spectrum. The evaluation has perceived a high variability of policies and directions within and between governments in Guatemala, also as a consequence of weak coalitions since the Peace Accords. Furthermore, overall tax collection has traditionally been very low, and the legal framework for public administration is complicated, impairing effective government action.

In this context, UNDP Guatemala's strong dependence on external resources provided incentives to respond to shifting external demands for its services, not always in accordance with its substantive mandate. And internally, UNDP has been perceived as an institution in permanent change. Resources and tools have been limited for substantive support from the headquarters to the country office. Senior management of the UNDP country office changed frequently in the evaluated period, with consequent changes in priorities. Against this scenario, the strategy defined by UNDP and its partners has retained little power to orient its activities. At the country level, no strong mechanisms (e.g., an advisory council with high-level members from major sectors in the country) are in place to introduce greater continuity in the achievement of its strategic objectives beyond government cycles.

In the second programming cycle evaluated, a portfolio of activities emerged which was characterized by smaller projects of shorter duration in a broader spectrum of areas, mostly without a defined exit strategy, all under the broad roof of the approved CPD and UNDAF. Moreover, when acting "upon demand" of the Government, such as in the case of the management of public programmes, UNDP has not always kept a balance between short-term requests and long-term development goals nor always contributed to longer-term capacity building of national institutions.

4. The effectiveness of the support of international cooperation and UNDP for the development and security agenda of the Peace Agreements has been moderate; twelve years after they were signed, a sobering recognition of limited advances in attaining their objectives prevails, pointing also to the need for a more effective use of international resources.

Both representatives of the indigenous peoples as well as the Government, when analysing the progress in the implementation of the Peace Agreements in the latter stages of the previous government (November 2007), presented a sobering account on the achievements so far, in particular for the indigenous peoples. Crucial socio-economic structures such as access to and ownership of production factors, inclusion into political decision centres, and enforcement of human and civil rights changed little. International cooperation and UNDP, while providing support in many public areas, have produced limited results for a more equal development in favour of disadvantaged groups, and of indigenous peoples in particular.

In the field of security, due to the configuration of the political forces in the country and limited public and external commitment including from UNDP, the spread-out support could not reverse a continuously worsening situation of violence and insecurity in Guatemala during the period under consideration, and this during a time of economic stability and growth. The most cited indicator is the homicide rate which has increased every year and doubled during this

period[69]. For both the development and the security agenda, there is an urgent need to better align and harmonize international development cooperation with government policies and local efforts, calling for national professional coordination capacities to be strengthened, a role UNDP could support, at the request of the government, to a greater extent than has been the case.

6.2 RECOMMENDATIONS

This ADR recommends that UNDP take advantage of the opportunity of programming a new cycle in the country to redefine its strategic positioning. Twelve years after the end of the armed conflict and the signing of the Peace Agreements, Guatemala and its context have evolved, challenging UNDP to adapt its role and strategy. For the new planning cycle 2010-2014, the present evaluation recommends a revisiting of UNDP strategy, orientation and role in the country.

RECOMMENDATIONS TO THE UNDP OFFICE IN GUATEMALA

Strategies and programmatic areas

1. UNDP should establish priorities between and within its thematic areas and prepare a specific strategy in each thematic area, highlighting synergies within the UNDP programmes and linkages with plans of other UN agencies. In particular: (i) the area of public security will require special attention due to the high social and opportunity cost of the current weak security conditions; (ii) UNDP needs to clarify the role that it intends to play and the value addition it intends to bring in the areas of poverty reduction, energy and the environment. While UNDP's strategic positioning in these areas is low-key, they are likely to strongly impact the political agenda in the country in the coming years.

2. The two cross-cutting issues of gender and indigenous people require increased attention at the strategic level: it is recommended that a gender equity dimension be explicitly included in the programming of future activities, based on the existing guidelines. Furthermore, the social, political and economic inclusion of indigenous people should be an integral part of UNDP's political dialogue.

3. UNDP should rebalance its support to the Government in favour of increased high-level advisory services to the Executive, Legislative and Judicial powers, reducing the emphasis on the provision of programme administration services. At the same time, the focus on the regional level should be increased, in terms of themes and resources, in view of regional integration and common challenges.

4. UNDP should accompany its project management services with an insistence on an improvement in the conditions for public administration capacities; this requires, in the first place, stronger support for the modernization of the State, especially to achieve (i) a professional public administration career which is independent of political parties; (ii) increased democratic and multiparty dialogue; (iii) the renewal of the Fiscal Pact for a wider-ranging and progressive tax collection; and (iv) the review of laws that encroach upon the administration of Government policies and programmes.

5. Although UNDP acts upon requests from the Government, it should not coincide its strategic planning with the electoral cycles but should express its commitment with development objectives in the country through long-term strategic plans (from six to eight years), in a planning cycle with reviews every two or three years (one, evidently, after a change of Government).

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69. A 2006 UNDP Guatemala study, *The Economic Cost of Violence in Guatemala*, estimated that violence had cost 7.3 percent of GDP, or close to $2.4 billion in health lost, institutional costs, private security expenses, investment climate and material losses.

6. Projects and programmes should be established with longer duration, larger volume and defined exit strategies in accordance with strategic plans, in order to achieve greater sustainability of the effects of UNDP support.

Organizational aspects

7. Unexpected external shocks and multiple influences on programme decisions require a strengthening of reflection and periodic review of the strategic orientation of the UNS and UNDP in the course of the programme cycles; one recommended measure is to institutionalize a high-level advisory mechanism in the country which represents its major sectors and supports senior management in shaping and maintaining its long-term strategy.

8. Reinforce communication and strategic leadership within and between the country office programmatic teams by strengthening integration at an intermediate management level. It is also recommended that advisors, directors and officers of proven experience – including the IDNH team – be involved in the formulation of strategies.

9. Reinforce the function of monitoring and evaluation at the UNDP project and programme level in order to establish a more systematic evaluation of the development effects and outcomes. In parallel, the capacities of the Government to monitor and evaluate the implementation and results of its sectoral policies should be supported.

Coordination, harmonization and cooperation with partners

10. Given the universal nature of the United Nations, it is recommended that UNDP differentiate itself from the image of being "a development agency among others", reinforcing its role as a neutral, transparent and professional coordinator in the field of external development cooperation in Guatemala; it is also well positioned to support the Government when and where it requests help to better comply with the Paris Agenda regarding development effectiveness.

11. Within the UN system, it is recommended that UNDP support a process of greater harmonization among the agendas of each agency, with a comparison of annual project portfolios already at the planning stage, eliminating duplication and acting with one voice where pertinent from the perspective of the national authorities.

12. Regarding policy dialogue with partners, opportunities should be increased for collaboration with the private sector on the issue of corporate social responsibility, including private, national and overseas foundations.

RECOMMENDATIONS TO THE HEADQUARTERS

13. In view of the past high turnover of UNDP senior country office management, the ADR recommends creating incentives for a longer permanence of senior management staff.

14. The Regional Bureau should assume a more systematic role in the strategic and programmatic support towards the country office, from its central office in New York and/or from its sub-regional office in Panama. The division of functions and work between RBLAC and the office in Guatemala should be defined with greater precision.

Annex 1

GUATEMALA: SOCIO-ECONOMIC INDICATORS

Table 1.1 Guatemala: Key socio-economic indicators							
Key socioe-Economic indicators	2000	2001	2002	2003	2004	2005	2006
Agriculture, value added (% of GDP)	22.8	22.6	22.5	22.7	22.9	22.8	22.2
Cash surplus/deficit (% of GDP)	-1.8	-1.7	-0.9	-2.3	-0.9	-1.5	-1.7
Energy use (kg of fuel per capita)	636.4	635.5	626.2	603.2	610.6	628.4	..
Export of goods and services (% of GDP)	20.2	18.8	17.1	16.7	17.0	15.7	15.7
External debt, total (current $ millions)	3,853	4,288	4,432	5,082	5,530	5,348	5,496
Fertility rate, total (births per woman)	4.8	..	4.6	..	..	4.3	4.2
Fixed and mobile telephone subscribers (per 100 people)	13.7	16.5	20.5	24.6	34.7	45.3	65.5
GDP (actual in $ millions)	19,291	20,978	23,268	24,881	27,399	31,717	35,352
GDP growth (annual %)	3.6	2.3	2.2	2.1	2.7	3.2	4.5
GNI per capita, PPP (current international $)	4,310	4,440	4,460	4,540	4,680	4,860	5,120
Gross capital formation (% of GDP)	17.8	17.8	19.1	18.8	19.8	19.0	18.7
Immunizations, measles (% of children between 12 and 23 months)	88.0	91.0	92.0	94.0	95.0	94.0	95.0
Import of goods and services (% of GDP)	29.0	29.0	29.5	29.4	31.1	30.2	30.6
Improvement of urban sanitation (% of urban population with access)	85.0	..	..	..	90.0	..	..
Improvement of water provision (% of urban population with access)	91.0	..	..	..	95.0	..	..
Revenue sharing kept under 20%	3.5	..	2.9	..	3.9	..	..
Industry, value added (% del PBI)	19.8	19.6	19.3	19.2	18.9	18.9	19.1
Inflation, GDP deflator (annual %)	6.8	7.6	8.0	6.3	7.0	7.8	6.3
Internet users (per 100 persons)	0.7	1.7	3.4	4.5	6.1	7.9	10.1
Life expectancy at birth, total (years)	67.9	..	68.9	..	..	69.7	69.9
Prevalence of malnutrition, weight per age (% of children under 5)	..	..	17.7	..	..	..	..
Commercialization of markets (% of GDP)	38.8	38.5	50.8	50.59	53.0	50.1	50.8
Military expenditures (% of GDP)	0.8	0.9	0.7	0.7	0.4	0.3	0.4
Mortality rate under 5 years age (per 1,000)	53.0	..	..	..	..	43.0	41.0

Table 1.1 (contd) Guatemala: Key socio-economic indicators							
Key socio-economic indicators	2000	2001	2002	2003	2004	2005	2006
Official development assistance and official aid (current in $ millions)	263.5	226.5	248.3	246.8	220.2	254.2	487.2
Population growth (annual %)	2.4	2.4	2.5	2.5	2.5	2.5	2.5
Population in millions	11.2	11.5	11.8	12.1	12.4	12.7	13
Prevalence of HIV, total (% of population between age15-49)	..	..	..	0.9	..	0.9	..
Primary school completion rate, total (% of group in relevant age)	57.7	60.3	64.1	65.2	69.8	73.7	76.5
Ratio of girls to boys in primary education (%)	88.9	89.6	90.1	90.6	91.1	91.6	92.3
Services, etc., value added (% of GDP)	57.4	57.8	58.2	58.1	58.2	58.3	58.7
Total service debt (% of export of goods, services and revenues)	8.4	8.7	7.4	7.2	7.5	4.8	4.8
Remittances of workers and employee compensation, receipt ($ millions)	596	634	1,600	2,147	2,592	3,033	3,626

Source: World Bank Group (2008)

Figure 1.2 Flow of Direct Foreign Investment 1990–2007 [py/]

Note: does not include income from State asset privatization
p/: 2006- Preliminary
py/: Projected numbers
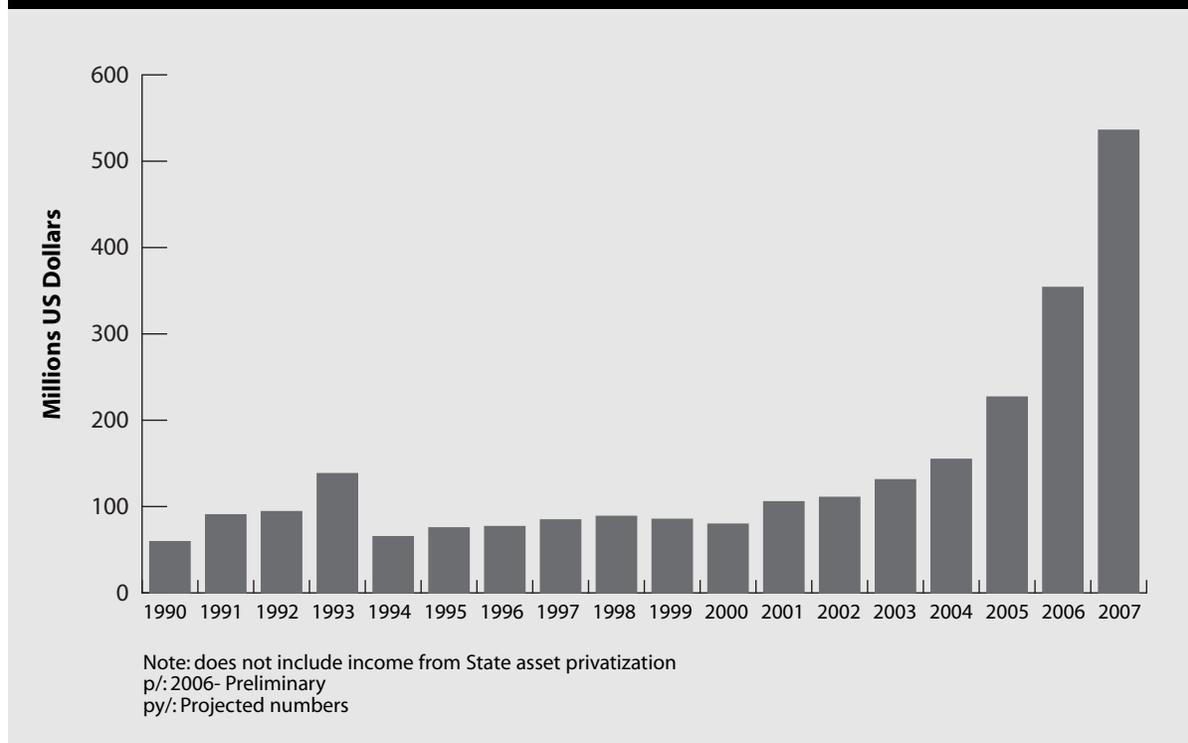
Source: Guatemala Central Bank

Table 1.2 Millennium Development Goals and probability of achieving them			
Goals, Targets and Indicators	**Years/Value**	**2015 Goal**	**Likelihood of achieving**[1]
Goal 1-Eradicate extreme poverty and hunger			Potentially
Target 1. Halve, between 1990 and 2015, the proportion of people whose income is less than $1 a day			
	1989	**2006**	
Extreme poverty (people in millions)	1.6	2.0	9.05
Total poverty (people in millions)	5.4	6.6	31.4
Target 2. Halve, between 1990 and 2015, the proportion of people who suffer from hunger			
	1987	**2002**	
Percentage of children under the age of 5 who are underweight	33.5	22.7	16.8
Percentage of children under the age of 5 who are below normal height	57.9	49.3	29.0
Goal 2-Achieve universal primary education			Potentially
Target 3. Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full primary course			
	1991	**1996**	
Net enrollment ratio in primary education	71.6	94.5	100
Pupils who enroll in first grade and reach sixth grade	35.9a/	60.0b/	100
Literacy rate among the 15-24 age group	76.0a/	87.8c/	100
Goal 3-Promote gender equality and empower women			Unlikely
Target 4. Eliminate gender disparity in primary and secondary education, preferably by 2005 and in all levels of education no later than 2015			
	1991	**2006**	
Ratio of girls to boys in primary education	0.99	0.96	1.0
Ratio of girls to boys in the basic cycle of secondary education	0.91	0.92	1.0
Ratio of girls to boys in the diversified cycle of higher education	1.08	1.04	1.0
	1994	**1996**	
Ratio of women to men in higher education	0.54	0.88	1.0
Ratio of literate women to men in the 15-24 age group	0.85	0.93	1.0
	1989	**2006**	
Share of women in wage employment in the non-agricultural sector	35.0	38.3	---
	1990	**2007**	
Seats held by women in parliament	0.7	12.0	---

Goals, Targets and Indicators	Years/Value		2015 Goal	Likelihood of achieving*1
Goal 4-Reduce child mortality				Potentially
Target 5. Reduce by three-quarters, between 1990 and 2015, the under-five mortality rate				
	1987	**2002**		
Under 5 mortality rate (for every 1,000 live births)	110	53	37	
Infant mortality rate (for every 1,000 live births)	73	38	24	
Percentage of children under one vaccinated against measles	55	72c/	100	
Goal 5-Improve maternal health				Unlikely
Target 6. Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio				
	1989	**2006**		
Maternal mortality ratio (for every 1,000 live births)	248	133	62.0	
	1987	**2002**		
Medically assisted births	29.2	41.4	---	
Goal 6-Combat HIV/AIDS, malaria and other diseases				Unlikely
Target 7. Have halted by 2015 and begun to reverse the spread of HIV/AIDS				
HIV prevalence (in percentage)	**1995**	**2007**		
Pregnant women who seek prenatal care services	0.2	0.5	---	
Population between the ages of 15 and 49 years	0.4	0.9	---	
Sex workers	2.3	5.3	---	
Uniformed soldiers based in stations	0.4	0.8	---	
Inmates	1.5	2.3	---	
Goal 7-Ensure environmental sustainability				Potentially
Target 9. Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources				
	1990	**2005**		
Forested land areas (%)	40.0	40.0d/	---	
Ratio of protected area to maintain biological diversity to surface area	24.0	30.0	---	
Energy supply (apparent consumption kg oil equivalent per $1,000 (PPP) GDP)	148	157e/	---	
Carbon dioxide emissions annual per capita (tonnes)	0.47	1.0	---	
Target 10. Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation				
	1990	**2006**		
Sustainable access to water	63.0	78.7	82.0	
Access to better sanitation services	32.0	54.5	66.0	

Table 1.2 (contd) Millennium Development Goals and probability of achieving them

Annex 2

INFORMATION ON UNDP AND UNDP-G OFFICE 2001-2008

Table 2.1 Budget of projects in each programme cycle by expected outcomes			
Expected Outcomes	**No. of projects**	**Budget (in US$)**	**Average amount per project ($)**
Strategy 2001-2004	**78**	**356,289,265**	**4,567,811**
1. Greater use of sustainable human development concepts by decision-makers in the formulation and implementation of policies.	8	7,012,602	876,575
2. Consolidation and total incorporation of the peace process into the national agenda.	11	41,828,075	3,802,552
3. A UN system that is better coordinated and strengthened, focusing its efforts on total implementation of the Peace Agreements and human development.	0	0	
4. Development and implementation of the national anti-poverty strategy through a consultative process.	3	22,212,300	7,404,100
5. Improved national capacity for monitoring human poverty and income and inequality.	2	742,629	371,314
6. A national framework of policy reform with a goal of universal access to basic services.	3	13,023,179	4,341,060
7. National machinery in place for the formulation of policy and strategy related to the advancement of women and gender equality.	2	651,234	325,617
8. Improved quality of decision-making based on the evaluation of genders and the integration of statistics and information on gender-related issues.	0	0	
9. Improved efficiency and equality in the rendering of public services.	13	114,083,958	8,775,689
10. Regulatory frameworks revised to provide secure rights to the poor as users of produced goods and finances.	0	0	
11. A global approach towards sustainable environmental development integrated into the national development planning and linked with poverty reduction.	4	1,187,504	296,876
12. Improved capacity of authorities for planning and implementing approaches integrated into environmental administration and energy development which respond to the needs of the poor.	5	3,583,324	716,665
13. Improved regional capacity to coordinate and reconcile the national policies and programmes for the administration of shared natural resources and the sustainable development of energy, according to the Conventions on Climate Change and Biodiversity.	1	1,295,744	1,295,744

Table 2.1 (contd) Budget of projects in each programme cycle by expected outcomes			
Expected Outcomes	**No. of projects**	**Budget (in US$)**	**Average amount per project ($)**
14. Disaster reduction and national response system in operation.	2	282,302	141,151
15. Sustainable reintegration of the population affected by the internal conflict.	0	0	
16. Fair and efficient administration of justice.	3	3,178,828	1,059,609
17. Involvement of local and community authorities in rural and local areas in the planning and administration and even the provision of public services.	10	134,923,281	13,492,328
18. Consensus reached at the community and national levels and strategic alliances established for the consolidation of peace and for sustainable human development.	11	12,284,306	1,116,755
Strategy 2005-2008	**108**	**144,420,476**	**1,337,227**
1.1. Greater incorporation of human development principles in the national debate and political policies.	27	19,737,474	731,018
2.1. Greater degree of knowledge and exercise of non-discrimination rights.	5	3,481,756	696,351
3.1. A system of justice and democratic security with a greater strategic leadership capacity and with strengthened human resources in technical, operational and coordinational capacities.	13	11,090,552	853,119
3.2. Reform and State modernization process advanced in accordance with national priorities.	16	51,073,070	3,192,067
4.1. Greater transparency and efficiency in the administration of public services.	32	37,193,644	1,162,301
5.1. Strengthened exercise of citizenship rights in representative bodies and spaces of dialogue and consensus building.	7	11,494,940	1,642,134
5.2. Greater degree of continuity and coherence in the application of policies and the execution of the commitments derived from the Peace Agreements.	8	10,349,039	1,293,630

Table 2.2 Budget and number of projects executed directly (DEX) and executed by public national (NEX) or private (NGO) or regional (REX) counterparts during the programme cycle

BUDGET IN DOLLARS

Area	2001-2004			2005-2008				
	DEX	NEX	Total	DEX	NEX	NGO	REX	Total
Democratic governance	17,111,259	223,416,081	240,527,340	5,854,907	43,664,597			49,519,503
Crisis prevention and recovery	8,336,530	33,697,647	42,034,177	17,945,430	10,187,162	8,192,409		36,325,001
Poverty reduction	5,067,164	65,000,503	70,067,666	1,168,957	40,764,157	4,092,102	500,000	46,525,216
Energy and environment	134,140	3,525,943	3,660,083		543,639	1,527,033	9,980,084	12,050,756
General total	30,649,092	325,640,173	356,289,265	24,969,293	95,159,555	13,811,544	10,480,084	144,420,476

NUMBER OF PROJECTS

Area	DEX	NEX	Total	DEX	NEX	NGO	REX	Total
Democratic governance	19	28	47	6	28			34
Crisis prevention and recovery	3	7	10	19	9	16		44
Poverty reduction	4	10	14	1	12	5	1	19
Energy and environment	1	6	7		7	3	1	11
General total	27	51	78	26	56	24	2	108

Source: Developed from UNDP-G data

**Table 2.3 Examples of external events that impacted UNDP-G planning**

External event	Effects in the country
The surprisingly negative result of a referendum in May 1999 - with less than 25% voter participation. (The referendum proposed almost 50 changes to the Constitution in favour of greater equality for the indigenous.)	■ Disappointment and a demobilizing effect on the implementation of the Peace Agreements ■ Need to strengthen the participation of civil society
In 2001, Guatemala pledged its support to the chievement of the Millennium Development Goals (MDGs), without, however, developing a strategy to reduce poverty.	■ Competence for the dynamic of a international development agenda ■ Poverty reduction as new international strategic framework of development
ll farmers and indigenous day labourers. This also caused a crisis in the system of coffee cooperatives, which since the 1960s had contributed to raising this crop as one of the country's largest exports.	■ Increase in poverty ■ Expulsion/migration towards the United States of America ■ Loss of credibility of the cooperative system
In September 2005, tropical storm Stan increased the exposure of destructive national phenomena, exposing the State's lack of response capability.	■ Consciousness of crisis and the need to take preventive measures and increase response capability

Source: ADR Development

Table 2.4 Criteria of UNDP Balanced Scorecard (2007)

Quality of the programmes	Customer satisfaction	Internal efficiency	Training and development	Financial resources
■ Annual objectives achieved ■ Ratio of programme expenditures within the development focus areas	■ Government satisfaction ■ UN satisfaction, IFI, donors and other actors ■ Website updated to reflect key UNDP priorities	■ Implementation of audit recommendations ■ Management efficiency ratio ■ Quality of financial data ■ Balance of gender in professional positions ■ Joint programmes ■ Staff perception ■ NEX audit management ■ Main projects managed and monitored by Atlas ■ MOSS conformity of UNDP operations	■ Participation in Knowledge Network ■ Knowledge shared among country offices ■ Participation in training programme	■ Cost recovered from the cost-sharing of country programme ■ Cost recovered from trust funds and cost-sharing with third parties ■ Programme expenditures ■ Non-central resources mobilized

Figure 2.1 Organizational Chart of the UNDP Office - Guatemala
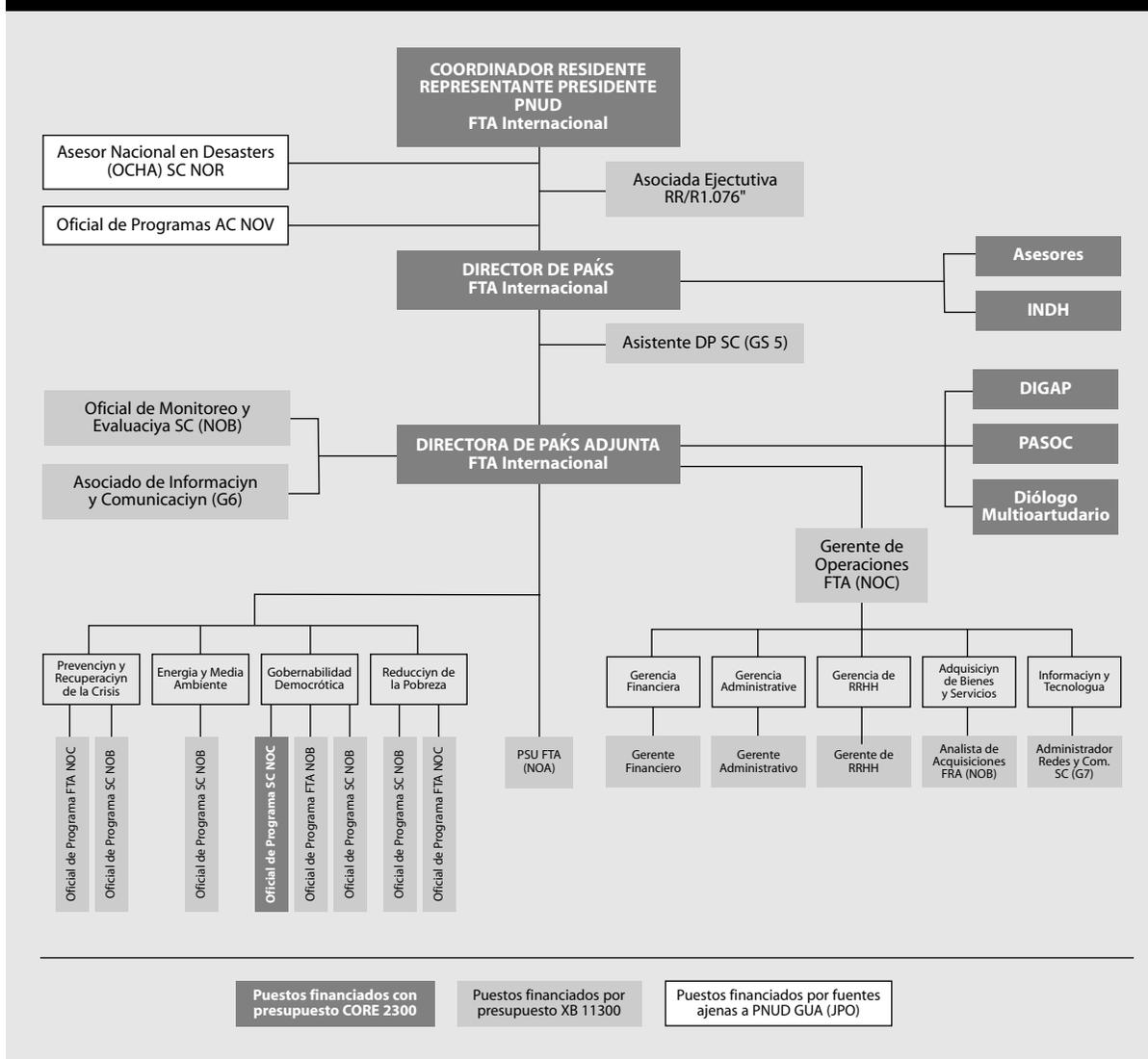
Source: UNDP-G

Annex 3

SAMPLE OF PROJECTS SELECTED BY THE ADR GUATEMALA

Non-italicized projects = Cabinet Study of documentation

Italicized projects = Cabinet Study and interviews with partners and users in the capital

Italicized projects and * = Cabinet Study and interviews with partners and users in the capital and interviews in the field

DEMOCRATIC GOVERNANCE

- *PRONACOM*
- *SIAF*
- *OBSERVANCE OF WATER AND SANITATION*
- *LAND REGISTRY**
- *METROPOLITAN DEVELOPMENT*
- STRENGTHENING OF THE DEVELOPMENT COUNCILS
- *INSTITUTIONAL STRENGTHENING OF THE SECRETARIAT OF AGRICUL-TURAL AFFAIRS*
- *PRODDAL*
- *PROGRAM OF ALLIANCES WITH CIVIL SOCIETY-PASOC I**
- MECOVI GUATEMALA

CRISIS PREVENTION AND RECOVERY

- *DIGAP**
- *SUPPORT TO THE IMPLEMENTATION OF THE NATIONAL INDEMNITY PROGRAM*
- *INSTITUTIONAL STRENGTHENING OF DEMI*
- *RISKS AND DEVELOPMENT*
- *STRENGTHENING OF THE NATIONAL CIVIL POLICE PHASE III*

- IMPROVEMENT OF GOVERNMENT CAPACITIES IN THE RECONSTRUC-TION PROCESS
- *CITIZEN SECURITY AND PREVEN-TION OF VIOLENCE*
- POST-STAN RESPONSE AND REHABILITATION PROGRAM
- *PROHABITAT **
- UNIT OF ANALYSIS AND STRATEGIC PROP. FOR THE ACOMP. OF THE PEACE AGREEMENTS
- PEACE AS A FOUNDATION FOR DEVELOPMENT
- *RECOVERY OF THE HISTORIC ARCHIVE OF THE NATIONAL POLICY*

POVERTY REDUCTION

- *HUMAN DEVELOPMENT REPORT*
- *AIDS PREVENTION AND CONTROL*
- MILLENNIUM DEVELOPMENT GOALS
- PRODEL IN HUEHUETENANGO AND QUICHE
- ECONOMIC EMPOWERMENT OF WOMEN PROGRAM
- *EDUCATIONAL DECENTRALIZATION**
- *BILINGUAL EDUCATION MULTIPLIER PROJECT*
- FOREST FIRE PREVENTION SYSTEM

ENVIRONMENT AND ENERGY

- *SUSTAINABLE NATURAL RESOURCE MANAGEMENT EAST*
- *MUNICIPAL AND REGIONAL PARKS**

Annex 4

EVALUATION CRITERIA AND SUB-CRITERIA

PROGRAMME CRITERIA (TOR) AND ADR SUB-CRITERIA

EFFECTIVENESS
ADR Sub-criteria

- Proposal of methods/approaches
- Institutional strengthening
- Produce/promote change in partner behaviour
- Create/promote knowledge/information/ formation of public agendas
- Potential (or actual) effect in problem-solving

EFFICIENCY
ADR Sub-criteria

(Programmes)
- Training in project administration
- Agility/flexibility
- Greater resources
- Institutional credibility, depoliticization
- Bureaucracy
- Transfer of goods
- Cascades of subcontracts

(Of the Office)
- Organization/Organizational chart
- Programme definitions, M&E
- Project execution (respecting timelines)
- Resource management (level of execution)
- UNDP Scorecard

SUSTAINABILITY
ADR Sub-criteria

- Policy
- Institutional

- Resources
- Exit strategy

STRATEGIC CRITERIA (TOR) AND ADR SUB-CRITERIA

RELEVANCE
ADR Sub-criteria

- Theme
- Articulation
- Knowledge
- Partners
- Strategic vision

RESPONSE CAPACITY
ADR Sub-criteria

- Long-term processes
- Circumstantial processes
- Resources (availability and mobilization)

EQUITY
ADR Sub-criteria

- Gender
- Indigenous peoples
- Geographical focalization

ASSOCIATIVITY
ADR Sub-criteria

- Mandate and partners
- Harmonization of agency assistance
- Interagency coordination
- Political dialogue
- Private-sector partnership

Annex 5

PENDING COMMITMENTS
OF THE PEACE AGREEMENTS

SOCIO-ECONOMIC ASPECTS

EDUCATION

- 50 percent increase in public spending compared to that of 1995

- Total incorporation of school-aged population

- Significant increase in bilingual education coverage

HEALTHCARE

- 50 percent increase in public spending compared to that of 1999

- Strengthening of preventative healthcare and reduction in percentages of infant and maternal mortality

- Establishment of decentralization and deconcentration mechanisms that guarantee community participation in the promotion of healthcare

- Improvement of efficiency and quality of healthcare spending

HOUSING

- Earmarking a mínimum of 1.5 percent of tax revenues to be spent on housing

LAND AND RURAL DEVELOPMENT

- Approval of Rural Development Law by Congress

- Creation of agricultural tribunals

- Productive projects programme

- Completion of the recording of land registry information

FISCAL POLICY

- Organize a pact to consolidate fiscal policy and concrete measures that allow the achievement of goals established in the Peace Agreements and complete pending processes established in the Fiscal Pact of 2000

- Take corresponding action to ensure a 50 percent tax receipt increase compared to that of 1995

SECURITY AND DEFENCE

- Approve a series of laws (Public Order, Security Framework Law, of Arms and Munitions, Law of Private Businesses and Security, Reform to the Law establishing the Army, Intelligence Framework Law, Law of Habeas Data, Law of Free Access to Information)

- Transfer of Registry of Weapons to the Ministry of the Interior

- Reform of the National Civil Police

- Strengthening of supervisory functions of the governors in citizen security at the departmental level

- Creation of communication channels between municipalities, PNC and population to monitor police labour

LEGISLATIVE AGENDA

- Approve constitutional reforms contained in the Peace Agreements

- Ratification of the Rome Statute (International Criminal Court)

HUMAN RIGHTS AND JUSTICE

- Develop legal norms for the recognition of indigenous peoples for the handling of their internal affairs in accordance with their customary norms

- Creation of a career for those in the Public Ministry

- Put in operation the International Commission against Impunity in Guatemala

- Regularize and consolidate the coordination of institutions of justice and public security

- Examine and increase the number of judges and interpreters in the judicial system

- Full functioning of the National Institute of Forensic Sciences

- Reform to Laws: Protection, organization judicial, tenancy, additional qualification, penal process code, civil and merchant process code, penal code, notorial law

SITUATION OF WOMEN

- Approval of law: to regulate domestic labour, and to combat sexual assault

- Room for the political and economic participation of women on a basis of equality, including in the adjudication of lands, access to credit and other productive resources and technologies, from work training to housing, recognition of women as agricultural workers (valuation, remuneration)

- Disclose and fulfil the Convention on the Elimination of all Forms of Discrimination Against Women, also in education

- Implement national comprehensive healthcare programmes

INDIGENOUS PEOPLES AND LOCAL AUTHORITIES

- Revision of legislation in order to eliminate/modify the norms that result in the discrimination of the indigenous peoples (including those related to sexual assault, national languages, definition of sacred places, national cultural heritage, radio communications)

- Deepen the norms on the right to the promotion, respect and use of indigenous dress in private and public establishments

- Implementation of the Universidad Maya

- Nationalize and implement indigenous rights and Mayan rights

- Examine and increase the number of judges and interpreters in the judicial system as part of a guarantee of due process, and to implement a judicial career path for indigenous professionals

- Regularization, legalization and acquisition of lands for the development of indigenous communities through the Lands Fund

- Guarantee continuity to the Development Council System (national, departmental, municipal and community)

- Promote training of municipal and departmental officers on social audits, and training of social audits commissions in the respective councils

RECONCILIATION

- Institutional strengthening of the National Recompensation Programme, and approval of its law

- Approve the Enforced Disappearances Law

STATE REFORM

- Approve the Civil Service Law of the Executive Body in order to professionalize public service and public management

INSTITUTIONALITY OF PEACE

- Integrate complementary agencies into the CAAP

- Ratify and increase functioning of Commissions (incorporation of the URNG into Legality, Educational Reform Board, Parity of Lands)

PENDING ASPECTS OF A TEMPORARY NATURE

- Renew legal validity of the Temporary Commission of Base Agreement Follow-up for the incorporation of the URNG into legality

- Conclude the land adjudication cases and finalize the negotiation of conditions of payment of the farms acquired

- Conclude the construction of the housing units already approved and categorize pending applications

- The Ministry of Public Health must increase the coverage and improve the quality of services in the areas of settlement of the demobilized and the uprooted, particularly in: healthcare services, water and basic sanitation, infrastructure and minimum equipment, strengthening of management of the municipal health district

- Recognition of formal and non-formal studies of the promoters of healthcare and midwifery

- Establish monitoring mechanisms of persons disabled by the domestic armed conflict

- Continue the exhumation process, with the goal of clarifying the whereabouts of the ex-combatants who died during the armed conflict

- Administrative ratification of the "Support Development for Sustainable Incorporation" Project

Source: Developed from the evaluation

PEOPLE INTERVIEWED AND SCHEDULE

PEOPLE INTERVIEWED

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Ana de Méndez, Secretary of Social Works of the Wife of the President

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Kurt Schneider, Director, Helvetas Guatemala

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- Karla Castillo, Chisa Mikami Assistant

August – September 2008						
Monday	**Tuesday**	**Wednesday**	**Thursday**	**Friday**	**Saturday**	**Sunday**
18	19	20	21	22	23	24
Appointment Planning and Arranging						ARRIVAL OF MISSION
25	26	27	28	29	30	31
UNDP OFFICE	APPENDIX 1	APPENDIX 2	APPENDIX 3	APPENDIX 4		
1	2	3	4	5	6	7
APPENDIX 5	APPENDIX 6	Field work - Appendix7 (Western Region: Sololá, El Quiché and San Marcos); Field work - Appendix 8 (Northeastern Region: Izabal and Petén)				
8	9	10	11	12	13	14
APPENDIX 9	APPENDIX 10	APPENDIX 11	APPENDIX 12	APPENDIX 13		

FIELD VISIT

NORTHEASTERN REGION - DEMOCRATIC GOVERNANCE, ENVIRONMENT AND ENERGY

Team accompanied by Silvia Mazzarelli

WEDNESDAY, SEPTEMBER 3, 2008

Rosa Flores   Sylvia Mazzarelli   Henry Morales

Leave for Morales, Izabal 6:00 a.m.

Stop in Sarita at El Rancho for breakfast at 8 a.m.

13:00 Arrival in Morales

Meet MARVIN TURCIOS, Head of the Land Registry Area (Mobile phone: 5704-0174)
at the Texaco petrol station, Entrance to Morales

13:00 Lunch with Marvin Turcios in Morales

LAND REGISTRY PROJECT

14:30 – 15:30 hours. Meeting with Marvin Turcios, Area Head and his team
Land Registry Office in Morales Izabal

15:30 – 16:30 hours. Meeting with Land Registry beneficiaries and authorities
Place: Tour around the communities of Izabal.

Leave for Puerto Barrios approximately at 17:00; 1-hour ride.

Dinner, accommodation in Puerto Barrios

Hotel Marbrissa, 25 calle 20 Av. Colonia Virginia, telephone number: 7948-1450

THURSDAY, SEPTEMBER 4, 2008

Rosa Flores   Sylvia Mazzarelli   Henry Morales

JADE Project (Protected areas
and biological corridors)

07:00 Leave for Cerro San Gill communities

Meeting with Engineer ISMAEL GARCÍA,
telephone number: 40057650 (hotel)

The following communities are
to be visited: Las Escobas, Las Pavas,
La Cocona and San Pedro

12:00 Return to Puerto Barrios

PASOC PROJECT

09:00 Meeting with ASOMOGAGUA

DILIA PALACIOS, 4149-3399

Former coordinator of the project supported
by PASOC I

ELIZABETH ARZÚ 4140-1038

Representative of ASOMOGAGUA

Place: 11 calle 4ª. At the corner of Puerto
Barrios next to the Coca Cola head office

Sign: ASOMOGAGUA and clínica de la mujer

Victoria Cayetana

12:15 Leave for Flores

13:15 Lunch in Río Dulce

19:00 Arrival in Flores, Petén

Dinner, accommodation at the hotel Villa Maya Petén 7926 0806 22235000

FRIDAY, SEPTEMBER 5, 2008

Rosa Flores   Sylvia Mazzarelli   Henry Morales

Breakfast at the hotel at 7:00 a.m.

8:15 Meet JOSÉ RODOLFO AXPUAC (50011129) at the hotel
(Person responsible for the Offices of Petén, Land Registry)

8:30 to 9:30 hours. Meeting with the Land Registry Team
At the Land Registry offices in Santa Elena, Petén

9:30-11:30 visit to "VALLE DE LA ESMERALDA" Community, Municipio de Dolores

12:00 − 13:00 hours. Lunch

13:00 − 14:00
Transportation to the community Salvador Fajardo (close to la Libertad)

14:30 − 16:00 Meeting with the community "SALVADOR FAJARDO",
An old "community of population in resistance (CPR)"
Located in La Libertad, about 30 minutes from Flores.

VALENTÍN VICENTE LÓPEZ (57870846)
President of Asociación de Desarrollo para la Comunidad Desarraigada de Petén (ADECODEP)
[Association for the Development of the Rootless Community of Peten]

And with SEÑOR JULIÁN VERÓN (41464543)
President of the Board of Directors of ADI − CPR − P

Projects, GUA/98/L904 Agroforestry Productive Development and
GUA/04/L04 ATC, livestock, reforestation and allspice projects

16:30 − 17:30 Transportation from La Libertad to Flores Petén

Dinner, accommodation at Villa Maya Petén 7926 0806 22235000

SATURDAY, SEPTEMBER 6, 2008

Rosa Flores   Sylvia Mazzarelli   Henry Morales

Breakfast at the hotel

16:15 Flight back to Flores - Guatemala TA 7977
Arrival in Guatemala City at 17:15

FIELD VISITS TO THE WEST

STRATEGIC VISION, CRISIS PREVENTION AND RECOVERY

Team accompanied by Nely Herrera

WEDNESDAY, SEPTEMBER 3, 2008

Markus Reichmuth   Nelly Herrera   Fabrizio Felloni

Team accompanied by Christina Elich - DIGAP in El Quiché

7:00 a.m. Departure from Guatemala City to Chichicastenango, El Quiché

8:30 a.m. Stop at Katok or Pedregal (Santa Apolonia) for breakfast

11:00 a.m. Arrival in Chichicastenango

12:00 – 15:00 hours. Meeting – Lunch at Hotel Santo Tomás in Chichicastenango, El Quiché

FOCUS GROUP WITH DIGAP AND PNR PROJECTS
1. Representatives of CONAVIGUA, Quiché, (Julia) María Q'anil will make the arrangements there.
2. Francisco Velásquez, President of the Regional Board of Ixil,
3. Diego Rivera from ASOMOVIDINC
4. Diego Gallego from MOVDES, Ixil Area
5. Flor Manzano, Director of Utz Kaslemal,
6. Virginia Searing, Sisters of Cáritas

16:00 Leave Chichicastenango for Panajachel, Sololá

Dinner and accommodation at Panajachel, Sololá

Hotel Regis, Calle Santander 3ª. Avenida 3-47, Zona 2

THURSDAY, SEPTEMBER 4, 2008

Markus Reichmuth   Nelly Herrera   Fabrizio Felloni

Team accompanied by Antonio Rosa - PRO HABITAT in Sololá

Breakfast in Panajachel. Meet Antonio Rosa, colleague of PROHABITAT Project

8:30 a.m. Transportation in motorboat from Panajachel to Santiago Atitlán

9:30 a.m. Arrival in Santiago. Meet the Mayor of Santiago Atitlán, Manuel Reanda Pablo and Francisco Coché Pablo, Coordinator of ADECCAP (Association for Community Development in the Canton of PANABAJ, based on Stan)

9:30 a 11:00 Visit to Panabaj, Tzanchaj and Chukmuk

11:00 Meeting with the Mayor of Santiago Atitlán, Manuel Reanda Pablo and Francisco Coché Pablo, representative of the NGO ADECCAP
At the Municipal Office. Santiago Atitlán, for Q&A

12:00 Return to Panajachel

1:00 – 2:30 p.m. Lunch in Panajachel

3:00 p.m. Meeting with Eduardo Secaira, legal representative of the NGO "VIVAMOS MEJOR", which worked together with the UNDP in the Project to Expand Healthcare Coverage and in the Pro Habitat Project. In "Vivamos Mejor", meet Rubén González, 5445-5152, department consultant of PASOC (colleague)

4:00 – 4:30 p.m. Transportation to Sololá

4:30 p.m. Meeting with Juliana Julajuj de Nutzij- Racism and discrimination, PASOC

5:30 p.m. Return to Panajachel

Dinner and accommodation in Panajachel

FRIDAY, SEPTEMBER 5, 2008

Markus Reichmuth   Nelly Herrera   Fabrizio Felloni

In San Marcos, the team will be accompanied by Asdrúbal, colleague from PRO HABITAT

6:00 a.m. Leave Panajachel for San Marcos

11:00 Meeting with Sister Bernarda Rojas Rodríguez,
Legal Representative of the diocesan Caritas office in San Marcos

Diocesan Caritas Office, Pro Habitat Project

12:30 – 2:00 p.m. Lunch meeting
Project: Regional Parks
Juan José Méndez, Project Manager, Telephone number 7760-8368 and 5613-3228

PASOC PROJECT

2:30 p.m. Meeting with Rolando López, Coordinator of Ajchmol, Project supported by PASOC -
Racism and indigenous peoples access to justice
Subject: Interviews with indigenous peoples.
PLACE: Ajchmol Office, San Pedro, San Marcos.

PASOC PROJECT

4:00 p.m. Meeting with Gloria Bautista and ADICOMAR Team
Women's organisation - Racism and Discrimination
PLACE: ADICOMAR Office, San Marcos
The Ombudsman Office for Indigenous Women (DEMI) is located in the same building

Project: Regional Parks
Juan José Méndez, Project Manager
Address: The Municipality
6ª. Avenida 5-40 zona 1
San Pedro Sacatepéquez, San Marcos
At the moment
Telephone number7760-8368 and 5613-3228
Address:

Dinner and accommodation in San Marcos

SATURDAY, SEPTEMBER 6, 2008

Markus Reichmuth   Nelly Herrera   Fabrizio Felloni

8:00 Transportation to La Palmita in Coatepeque

10:00 Visit to urban area in La Palmita with the company of Asdrúbal

Meeting with the Mayor of Ocós

12:00 Return to Guatemala City

Lunch on the way back to Guatemala City

Back in Guatemala City

Annex 7

TERMS OF REFERENCE

1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Program (UNDP) conducts country evaluations called Assessments of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level. ADRs are carried out within the overall provisions contained in the UNDP Evaluation Policy.[70] The overall goals of an ADR are to:

■ Provide substantive support to the Administrator's accountability function in reporting to the Executive Board

■ Support greater UNDP accountability to national stakeholders and partners in the programme country

■ Serve as a means of quality assurance for UNDP interventions at the country level

■ Contribute to learning at corporate, regional and country levels

In particular, EO plans to conduct an ADR in Guatemala during 2008. The ADR will contribute to a new country programme which will be prepared by the concerned Country Office and national stakeholders.

2. BACKGROUND

Guatemala, a country of more than 13 million inhabitants, has been undergoing a process of democratic transition with respect to the fulfill-ment of the Peace Agreements. The final agreement was signed between the Government and the URNG under the auspices of UN in December of 1996 after more than 36 years of armed conflict. The peace accords set out a comprehensive blueprint for political, social and economic reform, embracing the rights of the majority indigenous population; socioeconomic and land issues; demilitarization; constitutional reform; the legalization of the URNG; a partial amnesty for crimes committed during the conflict; a formal ceasefire; and a timetable for implementing the peace commitments.

The Human Development Index for Guatemala is 0.689, which gives the country a rank of 118th out of 177 countries with data, according to the 2007 Human Development Report. 56% of the population lives in poverty and 16% in extreme poverty. Both the NHDI and the Country Programme identify exclusion as a fundamental problem, which has three dimensions: economic exclusion, through lack of participation; political and legal exclusion, through lack of representation, rights; and social exclusion, as much from gender as ethnicity, in the means in which the indigenous population lives in poverty and in marginality.

In the Country Programme 2001-2004, UNDP-Guatemala reinforces its objective "to support the full implementation of the Peace Agreements and to reduce social exclusion," an objective shared with the other bodies of the UN System in the UNDAF. In the area of governance, UNDP launched projects in the judicial area, including citizen security, and the strengthening of local organizations and consensus at the community and national levels to consolidate the peace and sustainable human development.

The goal of UNDP in Guatemala for its 2005-2008 programming cycle was to support the country in the peace consolidation process and to

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70. http://www.undp.org/eo/documents/Evaluation-Policy.pdf

strengthen democracy as conditions for the achievements of the MDGs and human development. UNDP was expected to continue providing quality policy advisory services, share best practices and support Government efforts to build its capacity to address development challenges related to poverty reduction and the fulfilment of the Peace Agreements.

UNDP Guatemala goals were to support programmes in the areas of poverty reduction and the achievement of the MDGs promoting a broad base inclusive economic growth; promoting sustainable local development processes. In the area of democratic governance it was expected to support Government's efforts to eradicate all sorts of discrimination against indigenous population, women and other vulnerable groups of population through the establishment of inclusive public policies. UNDP in Guatemala worked for strengthening state institutions for a full respect of human rights in accordance with a democratic security policy. Finally, it was expected to broaden the access of larger parts of the population to basic social services. While other UN agencies have a direct mandate in this field, UNDP was concentrated in capacity development of Ggovernment counterparts and the development of social control and accountability mechanisms.

The completion of the 2005-2008 Country Cooperation Framework in Guatemala presents an opportunity to evaluate UNDP contributions and short comings over the last program cycle and before. The findings will be used as inputs to the 2009-2011 Country Programme Document (CPD) within the context of UNDAF.

3. OBJECTIVES, SCOPE AND METHODOLOGY

The objectives of the Guatemala ADR include:

- To provide an independent assessment of the progress or lack of, towards the expected outcomes envisaged in the UNDP programming documents. Where appropriate, the ADR will also highlight unexpected outcomes (positive or negative) and missed opportunities.

- To provide an analysis of how UNDP has positioned itself to add value in response to national needs and changes in the national development context;

- To present key findings, draw key lessons, and provide a set of clear and forward-looking options for the management to make adjustments in the current strategy and next Country Programme.

The ADR will review the UNDP experience in Guatemala and its contribution to the solution of social, economic and political challenges. The evaluation will cover the ongoing and previous country programmes (2001-2004 and 2005-2008). Although it is likely that greater emphasis will be placed on more recent interventions (due to better availability of data, etc.) efforts will be made to examine the development and implementation of UNDP's programmes since the start of the period. The identification of existing evaluative evidence and potential constraints occur during the initial scoping mission (see Section 4 for more details on the process).

The overall methodology will be consistent with the ADR Guidelines prepared by the EO (January 2007). The evaluation will undertake a comprehensive review of the UNDP programme portfolio and activities during the period under review specifically examining UNDP's contribution to national development results across the countries. It will assess key results, specifically outcomes – anticipated and unanticipated, positive and negative, intentional and unintentional – and will cover UNDP assistance funded from both core and non-core resources.

The evaluation has two main components, the analysis of development outcomes and the strategic positioning of UNDP.

DEVELOPMENT RESULTS

The assessment of the development outcomes will entail a comprehensive review of the UNDP programme portfolio of the previous and ongoing programme cycles. This includes an assessment of development results achieved and the contri-

ANNEX 7. EVALUATION TERMS OF REFERENCE

bution of UNDP in terms of key interventions; progress in achieving outcomes for the ongoing country programme; factors influencing results (UNDP's positioning and capacities, partnerships, policy support); and achievements/progress and contribution of UNDP in practice areas (both in policy and advocacy); analysing the crosscutting linkages and their relationship to MDGs and UNDAF. The analysis of development results will identify challenges and strategies for future interventions.

Besides using the available information, the evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP's contribution to outcomes with a reasonable degree of plausibility. A core set of criteria related to the design, management and implementation of its interventions in the country:

■ **Effectiveness.** Did UNDP programme accomplish its intended objectives and planned results? What are the strengths and weaknesses of the program? What are the unexpected results it yielded? Should it continue in the same direction or should its main tenets be reviewed for the new cycle?

■ **Efficiency:** How well did UNDP use its resources (human and financial) in achieving its contribution? What could be done to ensure a more efficient use of resources in the specific country/sub-regional context?

■ **Sustainability:** Is UNDP's contribution sustainable? Are the development results achieved through UNDP contribution sustainable? Are the benefits of UNDP interventions sustained and owned by national stakeholders after the intervention is completed?

It should be noted that special efforts will be made to examine UNDP's contribution to capacity development, knowledge management and gender equality.

STRATEGIC POSITIONING

The evaluation will assess the strategic position-

ing of UNDP both from the perspective of organization and the development priorities in the country. This will entails, i) a systematic analysis of UNDP's place and niche within the development and policy space in Guatemala; ii) the strategies used by UNDP Guatemala to strengthen the position of UNDP in the development space and create a position for the organization in the core practice areas; iii) from the perspective of the development results for the country the assessment will evaluate the policy support and advocacy initiatives of UNDP programme vis-à-vis other stakeholders. In addition, the evaluation will analyse a core set of criteria related to the strategic positioning of UNDP:

■ **Relevance of UNDP programmes.** How relevant are UNDP programmes to the priority needs of the country? Did UNDP apply the right strategy within the specific political, economic and social context of the region? To what extent are long-term development needs likely to be met across the practice areas? What were critical gaps in UNDP's programming?

■ **Responsiveness:** How did UNDP anticipate and respond to significant changes in the national development context? How did UNDP respond to national long term development needs? What were the missed opportunities in UNDP programming?

■ **Equity:** Did the programmes and interventions of UNDP lead to reduce vulnerabilities in the country? Did UNDP intervention in any way influence the existing inequities (exclusion/inclusion) in the society? Was the selection of geographical areas of intervention guided by need?

■ **Partnerships:** How has UNDP leveraged partnerships within the UN system as well as with national civil society and private sector?

The evaluation will also consider the influence of administrative constraints affecting the programme and specifically UNDP's contribution (including issues related to the relevance and effectiveness of the Monitoring and Evaluation system). If during initial analysis these are considered important they will be included in the scope of the evaluation. Within the context of

partnerships with the UN system and overall UN coordination, the specific issue of the development of Joint Programmes will be highlighted.

4.   EVALUATION METHODS AND APPROACHES

DATA COLLECTION

In terms of data collection, the evaluation will use a multiple method approach that could include desk reviews, workshops, group and individual interviews (at both HQ and the CO), project/field visits and surveys. The appropriate set of methods would vary depending on country context and the precise nature would be determined during the scoping mission and detailed in an inception rReport[71].

VALIDATION

The Evaluation Team will use a variety of methods to ensure that the data is valid, including triangulation. Precise methods of validation will be detailed in the inception report.

STAKEHOLDER PARTICIPATION

A strong participatory approach, involving a broad range of stakeholders is encouraged. The identification of the stakeholders, including Government representatives of ministries/ agencies, civil society organizations, private sector representatives, UN agencies, multilateral organizations, bilateral donors, and beneficiaries will take place. To facilitate this approach all ADRs include a process of stakeholder mapping that would include both UNDP's direct partners as well as stakeholders who do not work directly with UNDP.

5. EVALUATION PROCESS

The ADR process will also follow the ADR Guidelines, according to which the process can be divided in three phases, each including several steps.

PHASE 1: PREPARATION

- **Desk review** – Initially carried out by the EO (identification, collection and mapping of relevant documentation and other data) and continued by the evaluation team. This will include general development-related documentation related to the specific country as well as a comprehensive overview of UNDP's programme over the period being examined.

- **Stakeholder mapping** – A basic mapping of stakeholders relevant to the evaluation in the country carried out at the country level. These will include state and civil society stakeholders and go beyond UNDP's partners. The mapping exercise will also indicate the relationships between different sets of stakeholders.

- **Inception meetings** – Interviews and discussions in UNDP HQ with the EO (process and methodology), the RBLAC (context and county program) as well as with other relevant bureaux, including Bureau for Development Policy and the Bureau for Crisis Prevention and Recovery and others as appropriate including UN missions.

- **Scoping mission** – A mission to Guatemala in order to:

  - Identify and collect further documentation

  - Validate the mapping of the country programmes

  - Get key stakeholder perspectives on key issues that should be examined

  - Address logistical issues related to the main mission including timing

  - Identify the appropriate set of data collection and analysis methods

  - Address management issues related to the rest of the evaluation process, including division of labour among the team members.

  - Ensure the CO and key stakeholders understand the ADR objectives, methodology and process

The Task Manager will accompany the Team Leader on the mission.

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71. The scoping mission and inception report are described in Section 5 on the evaluation process

- **Inception report:** The development of a short inception report including the final evaluation design and plan, background to the evaluation, key evaluation questions, detailed methodology, information sources and instruments and plan for data collection, design for data analysis, and format for reporting.

PHASE 2: CONDUCTING ADR AND DRAFTING EVALUATION REPORT

- **Main ADR mission** - The mission of two weeks will be conducted by the independent Evaluation Team and will focus on data collection and validation. An important part of this process will be an Entry Workshop where the ADR objectives, methods and process will be explained to stakeholders. The team will visit significant project/field sites as identified in the scoping mission.

- **Analysis and reporting** – The information collected will be analyzed in the draft ADR report by the Evaluation Team within three weeks after the departure of the team from the country.

- **Review:** The draft will be subject to (a) factual corrections and views on interpretation by key clients (including the UNDP CO, Regional Bureau for Latin America and the Caribbean and Government) (b) a technical review by the EO and (c) a review by external experts. The EO will prepare an audit trail to show how these comments were taken in to account. The Team Leader in close coopera-tion with the EO Task Manager shall finalize the ADR report based on these final reviews.

- **Stakeholder meeting** – A meeting with the key national stakeholders will be organized to present the results of the evaluation and examine ways forward in Guatemala. The main purpose of the meeting is to facilitate greater buy-in by national stakeholders in taking the lessons and recommendations from the report forward and to strengthen the national ownership of development process and the necessary accountability of UNDP interventions at country level. It may

be necessary to incorporate some significant comments into the final evaluation report (by the Evaluation Team Leader.)

PHASE 3: FOLLOW-UP

- **Management response:** UNDP Associate Administrator will request relevant units (usually the relevant CO and RBLAC) to prepare a management response to the ADR. As a unit exercising oversight, the Regional Bureau will be responsible for monitoring and overseeing the implementation of follow-up actions in the Evaluation Resource Centre.

- **Communication:** the ADR report and brief will be widely distributed in both hard and electronic versions. The evaluation report will be made available to UNDP Executive Board by the time of approving a new Country Programme Document. It will be widely distributed in Guatemala and at UNDP headquarters and copies will be sent to evaluation outfits of other international organizations as well as to evaluation societies and research institutions in the region. Furthermore, the evaluation report and the management response will be published on the UNDP website[72] and made available to the public. Its availability should be announced on UNDP and external networks.

6. MANAGEMENT ARRANGEMENTS

UNDP EO

The UNDP EO Task Manager will manage the evaluation and ensure coordination and liaison with RBLAC other concerned units at headquar-ters level and the Guatemala CO management. The EO will also contract a Research Assistant to facilitate the initial desk review and a Programme Assistant to support logistical and administrative matters. The EO will meet all costs directly related to the conduct of the ADR. These will include costs related to participation of the Team Leader, international and national consultants, as well as the preliminary research and the issuance of the final ADR report. EO will also cover costs

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72. www.undp.org/eo/

of any stakeholder workshops as part of the evaluation.

THE EVALUATION TEAM

The team will be constituted of *three* members:

- Consultant Team Leader, with overall responsibility for providing guidance and leadership, and in coordinating the draft and final report;

- Consultant Team Specialist, who will provide the expertise in the core subject areas of the evaluation, and be responsible for drafting key parts of the report;

- National Consultant, who will undertake data collection and analyses at the country-level, as well as support the work of the missions;

The Team Leader must have a demonstrated capacity in strategic thinking and policy advice and in the evaluation of complex programs in the field. All team members should have in-depth knowledge of development issues in Guatemala.

The evaluation team will be supported by a Research Assistant based in the Evaluation Office in New York. The Task Manager of the Evaluation Office will support the team in designing the evaluation, will participate in the scoping mission and provide ongoing feedback for quality assurance during the preparation of the inception report and the final report. Depending on the needs the EO Task Manager might participate to the main mission too.

The evaluation team will orient its work by United Nations Evaluation Group (UNEG) norms and standards for evaluation and will adhere to the ethical Code of Conduct[73].

THE GUATEMALA CO

The CO will take a lead role in organizing dialogue and stakeholder meetings on the findings and recommendations, support the evaluation team in liaison with the key partners,

and make available to the team all necessary information regarding UNDP's activities in the country. The office will also be requested to provide additional logistical support to the evaluation team as required. The CO will contribute support in kind (for example office space for the Evaluation Team) but the EO will cover local transportation costs.

7. EXPECTED OUTPUTS

The expected outputs from the Evaluation Team are:

- An inception report (maximum 20 pages)

- A comprehensive final report on the Guatemala Assessment of Development Results (maximum 50 pages plus annexes)

- A two-page evaluation brief

- A presentation for the Stakeholder Workshop

The final report of the ADR to be produced by the Evaluation Team will follow the following format:

- Chapter 1: Introduction

- Chapter 2: Country Context

- Chapter 3: The UN and UNDP in the Country

- Chapter 4: UNDP's Contribution to National Development Results

- Chapter 5: Strategic Positioning of the UNDP Country Programme

- Chapter 6: Conclusions, Lessons and Recommendations

Detailed outlines for the inception report, main ADR report and evaluation brief will be provided to the evaluation team by the Task Manager.

The drafts and final version of the ADR report will be provided in Spanish. The published document will also be translated in to English.

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73. The UN Evaluation Group Guidelines (UNEG) "*Norms for Evaluation in the UN System*" and "*Standards for Evaluation in the UN System*" (April 2005)

Annex 8

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