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USAID/GUATEMALA MID-TERM PERFORMANCE EVALUATIONS FOR TWO ECONOMIC GROWTH OFFICE PROJECTS

FINAL REPORT



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ACRONYMS AND ABBREVIATIONS

ADAM	Asociación de Desarrollo Agrícola y Microempresarial
ADIM	Asociación para el Desarrollo Integrado Multi-Sectorial
ADR	Alternative Dispute Resolution
ADRI	Asociación de Desarrollo Rural Integral
AGEXPORT	Asociación Guatemalteca de Exportadores
ANACAFE	Asociación Nacional del Café
CDCS	USAID Country Development Cooperation Strategy
CM Tierras	Coordinadora Multi-sectorial de Tierras
CMM	USAID Office of Conflict Management and Mitigation
COCODE	Concejo Comunitario para el Desarrollo
COMUDE	Consejo Municipal para el Desarrollo
DCHA	USAID Bureau for Democracy, Conflict, and Humanitarian Assistance
DEMI	Defensoría de la Mujer Indígena
EMA	Empowering Women's Leadership in Conflict Resolution
IFAD	International Fund for Agriculture Development (acronym in Spanish is
FIDA	Fondo Internacional para el Desarrollo Agrícola)
FIDA	Fondo Internacional para el Desarrollo Agrícola
FUNDEMI	Fundación para el Desarrollo y Educación de la Mujer Indígena
FtF	Feed the Future
GOG	Government of Guatemala
IMARE	Inclusive Market Alliance for Rural Entrepreneurs
JADE	Asociación de Juristas Asociadas para el Desarrollo
JICA	Japanese International Cooperation Agency
M&E	Monitoring and Evaluation
MAGA	Ministerio de Agricultura, Ganadería y Alimentación
MARC	Métodos Alternativos de Resolución de Conflictos
MINECO	Ministerio de Economía
MOU	Memorandum of Understanding
NGO	Non-Governmental Organization
OMA	Oficina Municipal Agraria
OMM	Oficina Municipal de la Mujer
PMP	Performance Management Plan
PPI	Plan de Participación Indígena
RAC	Oficina de Resolución Alternativa de Conflictos
RIC	Registro de Información Catastral
SAA	Secretaria de Asuntos Agrarios
SESAN	Secretaria de Seguridad Alimentaria y Nutricional
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

Mid-term performance evaluations were conducted on two projects funded by USAID/Guatemala's Economic Growth Office, the Inclusive Market Alliance for Rural Entrepreneurs (IMARE) project, and the TIERRAS/Land Conflict Resolution project, both implemented by Mercy Corps. Together, the two projects represent a portfolio of \$4,800,000.

The IMARE cooperative agreement was signed with Mercy Corps in September 2007, and was scheduled to run to September 30, 2010. This original project obligated US\$1,131,221 of USAID funding. Six funding and extension-of-date modifications have been implemented over the life of the project, increasing grant funding to a total of \$2,600,000. The Modifications have extended the project life from October 2010 to February 2014.

Mercy Corps has implemented the TIERRAS project since 2003, but the most recent cooperative agreement was signed in September 2007, extending the project through September 2013, in the amount of \$2,200,000.

Both projects fall under the Mission's Strategic Objective 2, Economic Freedom: Open, diversified and expanding economies, with IMARE contributing to achievement of Intermediate Result number 2, More Competitive, Market Oriented Private Enterprises, and TIERRAS contributing to Intermediate Result number 1, Laws, Policies and Regulations that Promote Trade and Investment.

The purpose of the mid-term evaluations was to measure the performance-to-date of the two very different projects, analyze any implementation problems, and make recommendations as necessary for needed course corrections.

The intended audiences for these evaluations are USAID/Guatemala—primarily the Economic Growth and Health and Education Offices—and the USAID implementing partner (Mercy Corps).

The evaluation team developed evidence-based findings, and conclusions based on analysis of those findings, in terms of project results and sustainability, institutional capacity-building and gender, under-represented populations and other important categories. These are presented in terms of cross-cutting findings and conclusions, as well as project-specific findings and conclusions. The most salient of these are summarized below:

Project Results and Sustainability

- Both projects appear to be on track to meet or exceed most of the targets specified under their PMPs and work plans. In particular, the IMARE model of working with small landowners to improve their production, agricultural practices and business skills, appears to have strong momentum.
- An impediment has arisen regarding a memorandum of understanding needed by the TIERRAS project which would establish a legal basis for mediated land dispute agreements, deriving from confusion over which court may sign the memorandum.
- Baselines were not developed for IMARE Phase I, but preliminary indications that the impact of increasing small farmer incomes under Phase I may have included positive spillover effects on the provision of services in project communities, but some of the associations supported may not have survived termination of Phase I activities.

Institutional Capacity Building

- The IMARE 1 project relied on large and formal buyers, like WalMart, for sustainability, but the shift in focus to FtF departments under IMARE 2 has de-emphasized that model by also focusing on local and informal markets.

- The current TIERRAS model for institution building is the creation and strengthening of the Municipal Agriculture Offices (OMAs) in each municipality. But after the last election, about half of the OMA staff people changed, and training must begin again.
- The biggest challenge facing the TIERRAS project is construction of an institutional structure for continuation of the alternative dispute resolution (ADR) process for land conflicts and maintenance of the cadastre.

Women and Under-Represented Populations

- The extent of women's participation in farming activities, producer association management, or both, appears to be limited by cultural norms, literacy and language barriers, especially in the altiplano.
- A decisive plus is that Mercy Corps field staff in both projects tend to speak the language spoken in the community where they are working, and training and ADR sessions are conducted in the language of the community.
- Field staff and mediators for the TIERRAS project include both men and women, and every two months, Mercy Corps holds a training session for women from the municipality, in collaboration with the municipal women's office, about various aspects of land tenure and land conflict.

The evaluation team also developed concrete recommendations for current activities based on the findings and conclusions that are action-oriented, practical and specific, with defined responsibility for the recommended actions. These are presented in terms of project-specific recommendations, along the most critical of which are the following:

IMARE Project

- Mercy Corps should conduct a study of (20) Phase I groups to determine impact
 - Lessons extracted would enrich the understanding of the value chains approach with small producers that in turn could be applied to IMARE II groups
- USAID should link community health and nutrition programs with IMARE II communities
 - Would serve to connect improved food access through IMARE activities with improved food utilization activities of USAID health partner activities
- Mercy Corps should develop new media networks to link IMARE I and IMARE II groups and stakeholders
 - Successes and errors of IMARE I groups could benefit associations in IMARE II
 - Could link producer groups to provide commodity where/when gaps exist
- IMARE producer groups handed off to ANACAFE and Agexport
 - IMARE will end but ANACAFE and AGEXPORT will continue on as successful NGOs in the agricultural value chains arena
 - IMARE groups strength retained with link to ANACAFE or AGEXPORT
- Mercy Corps Should Reflect USAID Gender Assessment Recommendations
- Exchange of Best Practices: ANACAFE/Agexport with Mercy Corps
 - Experiences of IMARE warrant comparison with other actors in rural value chains

TIERRAS Project

- The TIERRAS project should consider adding a national-level communication strategy for dissemination of the project model and achievements, to raise the visibility of mediation as an essential tool in resolving land conflicts, particularly in support of the cadastral process.
- The institutional base of the Municipal Offices of Agrarian Affairs (OMAs) is weak and politically vulnerable. Sustainability is an issue. USAID should establish link with its municipal strengthening activities as soon as possible to transfer this experience.

- The advocacy networks of public and private organizations are not sustainable as voluntary organizations without a reliable source of funding. Mercy Corps should provide technical assistance on financial stability, through a consultant who specializes on fundraising for voluntary organizations.
- Mercy Corps should give direct attention to sustainability of two additional essential functions supplied under the project in Alta Verapaz and Quiché that have not been discussed explicitly to date. These functions are (1) the database of the land conflict cases attended by the project, and (2) training of certified agrarian mediators. The disposition and maintenance of the database is a particular concern because it is currently housed at and maintained directly by Mercy Corps.

DEVELOPMENT PROBLEM AND USAID'S RESPONSE

Guatemala has the highest national level of chronic malnutrition (49.8%) in the Western Hemisphere and one of the highest in the world. In addition, more than 50% of the population lives below the poverty line, and Guatemala's per capita annual income of \$2,740 masks extreme inequalities between urban ladino populations and indigenous rural populations. Social and economic inequality is an underlying factor in food and nutritional security in Guatemala because of highly skewed access to productive assets including land and basic public services.

Food insecurity in Guatemala does not result from inadequate national or local food supplies (availability), but instead is caused by the inability of the poor to access food due to inadequate incomes, as well as by uninformed consumption decisions and feeding practices that lead to poor food utilization. USAID's response to this development problem, therefore, has been to focus its economic growth project support on both income generation and nutritional education for rural small households.

A second development problem in Guatemala is that of land issues and the "agrarian problem." These are arguably the most longstanding, intractable and fundamental issues in the country, contributing to the internal armed conflict and deterring progress in economic development. Secure and legal land tenure is a critically important resource in agricultural development, providing the base for land stewardship and investment. In an agrarian society, land also is the underlying basis for household (and community) identity, well-being, and inheritance.

While the IMARE project focuses on income generation, poverty reduction and improved nutritional status of smallholder producers, the TIERRAS project seeks collaborative resolution of land conflicts in the departments of Alta Verapaz and Quiché. Both projects also seek to improve local capacity of public and private partners—in the case of IMARE with local producer associations, and in the case of TIERRAS with local advocacy networks and Land Affairs Offices.

The projects evaluated fall under the Mission's Strategic Objective 2—Economic Freedom: Open, Diversified, Expanding Economies as part of the 2004 – 2011 USAID/Guatemala Country Strategy. In particular, the IMARE project falls under the targeted intermediate result, "More Competitive, Market-Oriented Private Enterprises," while the TIERRAS project falls under the targeted intermediate result, "Laws, Policies and Regulations that Promote Trade and Investment."

USAID is also a Feed the Future (FtF) Initiative focus country. The FtF Initiative is a country-led, multi-stakeholder initiative to reduce global hunger and end poverty in over 20 countries around the world, including Guatemala. The world-wide initiative began in 2010, and is expected to continue in Guatemala at least through 2016.

FtF builds on five key principles: 1) support for country-led processes; 2) ensure a comprehensive approach to food security; 3) strategically coordinate assistance among donors and other stakeholders; 4) support a strong role for multilateral institutions; and 5) sustain a robust commitment of financial resources. Although it began before the FtF strategy was in place, the IMARE project falls under the FtF strategy.

USAID/Guatemala is focusing FtF projects on issues of “food security” mostly for rural, indigenous communities in 30 target municipalities in five departments of the Western Highlands (Huehuetenango, Quetzaltenango, Quiché, San Marcos and Totonicapán). Food security is characterized as access, utilization, and availability. Under FtF, food security refers to the whole spectrum of possible interventions, from immediate crises in response to drought or natural calamities to longer-term agricultural productivity and market linkages under the value chain approach.

PURPOSE OF EVALUATION

EVALUATION TYPE AND RATIONALE

Mid-term performance evaluations were conducted on the IMARE project, which is scheduled to end in February 2014, and the TIERRAS project, scheduled for completion in September 2013. The purpose of the evaluations was to measure the performance-to-date of two very different projects implemented by the same partner, Mercy Corps., and make recommendations for any needed course corrections. Section IV, below, lists the key questions that the evaluations addressed.

Also included in this report as annexes are the Scope of Work for the Evaluation, Evaluation Tools that were utilized to assess project performance, and lists of Sources of Information, including persons and organizations met and interviewed.

SPECIFIC EVALUATION TASKS

The mid-term performance evaluations focused on the following tasks:

1) Project effectiveness. Examine the performance to-date of the IMARE project and the TIERRAS Land Conflict Resolution project, both implemented by Mercy Corps.

2) Implementation problems. Analyze any implementation problems, and review institutional capacities of the organizations; this includes assessment of the performance and achievements for each project against its targets—both as listed in the projects’ Performance Monitoring Plans (PMPs) and Work Plans.

The intended audiences for these evaluations are USAID/Guatemala—primarily the Economic Growth and Health and Education Offices—and the USAID implementing partner (Mercy Corps).

RESEARCH DESIGN AND ASSESSMENT METHODOLOGY

EVALUATION QUESTIONS

The following questions were addressed during the course of the project evaluations:

Project Results and Sustainability

- Are the projects meeting their targets under their PMPs? Are deliverables on time according to Work Plans? If not what have been the impediments?
- Are the projects addressing poverty reduction and employment generation, and conflict mitigation?
- What are the major constraints facing each project’s objectives?
- What resources will be necessary to continue project achievements after the projects end?

Institutional Capacity Building

- Has the internal management of local producer groups improved due to project efforts?
- Have projects had any effect on local government capacity; has increased organization of farmers (IMARE) or advocacy networks (TIERRAS) led to political strength that makes local governments more accountable to its citizens?

Gender and Under-Represented Populations

- Have women been integrated into farming activities, producer association management, or both?

- What have female roles been in conflict resolution in Alta Verapaz and Quiché? Has women's ownership of land and access to land dispute resolution processes increased?
- Did projects reflect the applicable recommendations made by the USAID/Guatemala Gender Assessment (March 2009)? Specifically, did USAID provide resources for implementing partners to incorporate recommendations into work plans; did the implementing partners train their personnel in gender-related issues; did the project make women's membership and participation in decision-making part of the organizational strengthening for producer groups; did the project include diversity as a criterion for producer group selection; and did the project identify viable women's producer groups?

EVALUATION ASSESSMENT METHODOLOGY

USAID's Evaluation Policy requires that performance evaluations should be evidence-based. This evaluation is designed to meet that requirement by employing a mixed methods approach to searching for and examining available evidence of changes attributable to the two projects evaluated and to addressing the key evaluation questions. Specifically, the evaluation team's approach to gathering data and information to assess the two projects includes the following methods.

- 1) Document review:** During evaluation launch and as part of final evaluation design, the evaluation team examined project documentation related to the design, objectives and achievements of each of the EG projects. The evaluators assessed: a) the degree to which the project's objectives and intermediate results are articulated qualitatively and quantitatively; and b) the quality of data collected to measure indicators of progress toward achieving results targets.
- 2) Key stakeholders and key informant interviews:** To supplement and support its documentation review, the evaluation team interviewed those individuals closest to the implementation of each project, including implementing partner (IP) managers and staff; USAID Agreement Officer's Representatives (AORs), counterpart stakeholder partners engaged with the IP's in project implementation as well as a sample of key market players in the value chains that the projects are strengthening.
- 3) Site visits and beneficiary group/individual interviews:** The evaluation team obtained complete lists of project sites and, depending on number of sites and logistical constraints—security, travel time, field staff and beneficiary availability, randomly selected sites for conducting “ground-truthing” field visits to observe project activities among beneficiary populations and to conduct individual and group interviews among beneficiaries and key informants to obtain their observations on impacts on income, employment, nutrition, and gender equity. During visits to project field sites, structured beneficiary and stakeholder interview guides (see Annex B) were used to collect information from field staff, collaborating stakeholders—community leaders, private firms, intermediaries—and small samplings of beneficiaries of both sexes.
- 4) Cross-checking and discussion of preliminary findings:** The evaluation team encouraged participation by both USAID and Implementing Partner (IP) staff in field visits and selected interviews. Once the field work was wrapping up, and before deriving conclusions and recommendations, the evaluation team also made presentations of preliminary findings to both technical teams within USAID as well as to IP staff. The objective of the latter exercise was to improve and amplify the evaluation findings and analysis, through discussion, cross-checking of facts and, as necessary, correction of the preliminary findings based on discovery of new, relevant, information.
- 5) Limitations of the methodology:** The selection of sites to be visited and persons to be met, which was based on availability, meant that the persons met may not have been representative of all project beneficiaries. For example, if some IMARE project beneficiaries had dropped out of business

since project inception, or left the communities assisted to find work in other locations, they would not have been represented in the sample visited. If Mercy Corps had conducted baseline beneficiary surveys this kind of bias might have been at least partially corrected for, or at least its scale might have been known through monitoring the number of non-responses from among the original beneficiaries in longitudinal surveys. To correct for these kinds of limitations, the site visit findings were generalized based on their confirmation with USAID and IP staff.

FINDINGS AND CONCLUSIONS

The following section presents findings and conclusions drawn from the two mid-term project evaluations with cross-cutting implications for USAID programming. In subsequent sections, project-specific findings and conclusions are presented.

CROSS-CUTTING FINDINGS AND CONCLUSIONS

Project Results and Sustainability

Both projects appear to be on track to meet or exceed most of the targets specified under their PMPs and work plans. In particular, the IMARE model of working with small landowners to improve their production, agricultural practices and business skills, appears to have strong momentum.

An impediment has arisen regarding a memorandum of understanding needed by the TIERRAS project that would formalize the link to the Office of Alternative Dispute Resolution and provide a legal basis for mediated land dispute agreements. The Supreme Court has declined to sign the agreement.

Preliminary indications from the IMARE project indicate that the impact of increasing small farmer incomes under Phase I may have included positive spillover effects on the provision of services in project communities, but some of the associations supported may not have survived termination of Phase I activities.

Institutional Capacity Building

The first phase of the IMARE project relied on large and formal buyers, like Wal-Mart, for sustainability, but the shift in focus to FtF departments under IMARE 2 has de-emphasized that model by also focusing on local and informal markets.

The current TIERRAS model for institution building is the creation and strengthening of the Municipal Agriculture Offices (OMAs) in each municipality. But after the last election, about half of the OMA staff people changed, and training must begin again.

The biggest challenge facing the TIERRAS project is construction of an institutional structure for continuation of the alternative dispute resolution (ADR) process for land conflicts and maintenance of the cadastre.¹

Gender and Under-Represented Populations

The extent of women's participation in farming activities, producer association management, or both, appears to be limited by cultural norms, literacy and language barriers, especially in the Guatemalan Altiplano.

A decisive plus is that Mercy Corps field staff in both projects tend to speak the language spoken in the community where they are working, and training and ADR sessions are conducted in the language of the community.

¹ A cadaster, created using a cadastral survey, is a comprehensive, formal register of the real property of the country, including details of ownership, tenure, precise location, and the dimensions of each parcel of land.

Field staff and mediators for the TIERRAS project include both men and women, and every two months, Mercy Corps holds a training session for women from the municipality, in collaboration with the municipal women's office, about various aspects of land tenure and land conflict.

INCLUSIVE MARKET ALLIANCE FOR RURAL ENTREPRENEURS (MERCY CORPS)

Project Results Framework

The first IMARE cooperative agreement (IMARE I) was signed on September 19, 2007, and scheduled to run to September 30, 2010. This original project obligated \$1,131,221 of USAID funding. Six funding and extension-of-date modifications have been implemented over the life of the project. The modifications have increased USAID grant funding to a total of US\$2,600,000. Modifications have extended the project life under a second phase (IMARE II) from October 1, 2010 to February 28, 2014.

The IMARE project falls under the Mission's Strategic Objective 2, Economic Freedom: Open, diversified and expanding economies, contributing to achievement of Intermediate Result number 2, More Competitive, Market Oriented Private Enterprises.

Chronic malnutrition is an enormous and challenging public health problem in Guatemala; almost 50% of children less than five years of age are malnourished, higher than any other country in the Americas and higher than many African countries. Additionally, chronic malnutrition among children has a decided ethnic and geographic dimension; malnutrition rates are higher for rural and for indigenous children, at rates of 59% and 66%, respectively.

In 2007 USAID/Guatemala embarked on a rural development model intended to engage small farmers as produce suppliers to supermarkets. In Guatemala, small farmers are traditional suppliers of produce to local markets. Critical for small farmers is overcoming barriers to credit, newer technologies, improved infrastructure, good post-harvest management, market information, and adequate knowledge of global food safety standards. Finding ways to leverage poor small farmer potential offered at a least partial solution to Guatemala's chronic malnutrition and poverty statistics.

USAID's strategy to address these urgent needs and opportunities was to partner with Mercy Corps through a Cooperative Agreement in a Global Development Alliance with Wal-Mart Foundation and Fundación Agil called the Inclusive Market Alliance for Rural Entrepreneurs (IMARE) project. As originally conceived, it was to be a thirty six-month program in the Departments of Alta Verapaz, Baja Verapaz, Chimaltenango, Sololá and San Marcos in order to create business opportunities and to improve quality of life of 20 producer groups in rural Guatemala, by linking the producers with national supermarket chains.

Mercy Corps had two basic objectives: 1) increase access to more profitable markets on a sustainable basis and 2) increase productivity and quality of life through better farm management, post-harvest and processing techniques. The program targeted 600 families and indirectly to 3,600 members living in the household of the direct beneficiary.

In 2009, USAID adopted a new global strategy called the Feed the Future (FtF) Initiative. Guatemala, because of its high levels of chronic malnutrition, was selected as one of 20 focus countries for the new initiative. The FtF focus of IMARE would be referred to by Mercy Corps personnel as IMARE II or Phase II. Mercy Corps began implementing IMARE II in October 2010, and simultaneously stopped all direct work with the twenty associations in IMARE I. The modified Cooperative Agreement extended IMARE II activities through February 28, 2014.

Wal-Mart Foundation in the United States is a distinct organization from WalMart (Paiz) in Guatemala, which is a supermarket chain that has been a significant buyer from IMARE producer groups. Ultimately, although it participated with financing under IMARE I, Wal-Mart Foundation decided not to extend its support to a GDA participant. Nonetheless, Wal-Mart (Paiz) Guatemala continues to buy produce from

IMARE I producers, as well as IMARE II producers, and in fact, as noted below, has increased its purchases from IMARE I producers following the completion of project activities.

The two tables presented in this section detail the basic achievements of both IMARE Phases I and II, including higher level objectives, targets and achievement toward those targets.

IMARE I Results Targets and Achievements

Objective	Three-year targets (2007-2010)	Target achievement (2010)
Objective 1: 20 producer groups increase sustained access to more profitable markets.	1. 25% increase in value of sales of specific products. <u>Total = \$1,908,543 formal markets</u> <u>= \$1,323,217 informal markets</u> 2. 15% average increase in net incomes for participants. 3. 50% increase in direct sales to retail markets versus intermediaries 4. No. jobs created	1. = <u>1,678%</u> increase value of sales over year one; <u>81%</u> increase over year two. 2. = 59 % increase in net income increase for participants. 3. = 51% increase in direct sales to retail markets vs. indirect sales to intermediaries. 4. = 2,434 on and off-farm jobs created (30% were women).
Objective 2: 20 producer groups increase their productivity and quality of life through better farm management, processing and post-harvest techniques	1. 20% increase in yield for existing and new crops 2. 15% improvement in wastage and lot rejection. 3. 15% of household income reinvested in productive enterprises, quality of life and future capacity building, (i.e. education)	1. = 25% increased yield (for existing and new crops). ² 2. = 1.7% average in wastage and lot rejection (1.6% and 1.8% for yrs. 2 and 3 respectively) ³ 3. 37% of income reinvested in ag. Inputs and 63% of income used in household expenditures food, school, health, clothing
Direct Beneficiaries	600 farmers (360 males/240 females)	Farmers participating in training and technical assistance: 127 women, 440 men= 567

Source: Mercy Corps documentation

During a field visit to an IMARE I association, ASADIT in San Marcos, the week of September 17-20, 2012, it was possible to both quantify household income increases from IMARE and to gain insights into uses of that income. ASADIT has 24 members. Each member owns and tills an average of 10 cuerdas of land. In 2007, prior to IMARE, these farmers typically cultivated no more than three cuerdas of their land leaving seven cuerdas fallow because they had nowhere to sell excess production. Potato is the main crop. But they also grow broccoli, peas, beans and corn. IMARE introduced them to good agricultural practices and good business practices, and by 2011, each member was cultivating their full 10 cuerdas (one cuerda = 21 meters x 21meters; also = 0.4 hectares). On three cuerdas of land in 2007, the average farmer in this group earned about Q1000 per cuerda.

With improved practices and market access, ASADIT farmers under IMARE were earning Q2,250 in average per cuerda by 2011. Thus, by 2011, from 10 cuerdas, the average ASADIT member was earning a total of Q22,500. Mercy Corps and ASADIT members said these figures were net, after expenses. When asked in a group discussion how they have been spending this additional income, their ranking was: 1) agriculture inputs; 2) food for the home (cereals, sugar, fruit, Incaparina); 3) education for the children; 4) home repairs/upgrades; 5) household animals; 6) clothing; 7) bus transport costs; 8) buying more land, but percentages spent on each category were not obtained.

² Earnings per hectare of production prior to IMARE I = Q13,360; at close of project earnings = Q16,750 or + %25

³ Because participants sold only to informal markets pre-IMARE, there is no way to measure improvement in wastage and rejection. However, the 1.7% average rejection is considered very low by Mercy Corps.

Under IMARE II, Mercy Corps has been expanding the successful IMARE I model with a target to directly benefit 1,000 new rural producers in 40 different producer groups, 30% of which (300) must be women. They have already achieved 116% of the beneficiaries' target, of which an estimated 40% have been women.

IMARE II: Results Targets and Achievements to Date

Objective	Three-year Targets (2011-2014)	Target Achievement at mid-term
Objective 1: 40 producer groups increase farm productivity through better farm management, processing and post-harvest techniques and adopt best agricultural, manufacturing and business practices. (65 groups identified = 163% of target)	<ol style="list-style-type: none"> 1. 25% increase in productivity/crop yield (to be measured at end of project) 2. 25% average increase in net incomes for participants (to be measured at end of project) 3. % producer groups receiving training on sustainable natural resource management practices. 4. 300 hectares of land cultivated using good agricultural practices (GAP) 5. % change in land dedicated to basic grains versus commercial crops. 6. No. individuals receiving short term agricultural training 	<ol style="list-style-type: none"> 1. Increased crop productivity/yield will be measured at project end in 2014 2. Average increase in net income to be measure at project end in 2014. 3 =20 producer groups receiving training (50% of target) 4. = 60 hectares (20% of target) applying GAP 5. No data yet available 6= 1,354 individuals have received short term agricultural training.
Objective 2: 40 producer groups increase profits through sustained access to more profitable markets, generating jobs and promoting models for development in their community. (65 groups identified = 163% of target)	<ol style="list-style-type: none"> 1. 25% increase in profit per hectare. 2. US\$2 million in agricultural sales. 3. No. of jobs created 4. No. new individuals benefitting from USG assistance. 5. No. women trained in business management and assuming positions of leadership.⁴ 	<ol style="list-style-type: none"> 1. % increase in profit per hectare to be measured at project end in 2012 2. = <u>55% of target, \$1,101,899</u> 3. 1,333 jobs created 4. 1,158 (468=women) new people in rural areas benefitting from USG assistance. 5= 228 women participants in trainings and in leadership positions within producer group board of directors (target = 30%).
Direct Beneficiaries	1,000 (30% female)	To date, IMARE II has reached 1158 direct beneficiaries (116% of target) of which 468= women and 690= men, (40% are women).

Source: Mercy Corps documentation

The geographic focus of IMARE II is the Western Highlands Region (Totonicapan, San Marcos, Huehuetenango, El Quiche and Quetzaltenango). IMARE II also has additional components not included in IMARE I that address food security issues, climate change concerns and incorporating gender equity in every aspect of project planning and implementation.

Project Results and Sustainability

With respect to objectives and targets, based on the information available, the results achievements appear good for both IMARE I and IMARE II. No baseline study was conducted for IMARE I when it started up in 2007. However, basic numbers are available on the performance of the project from its first crop cycles of April-September 2008 through to July-September 2010. Mercy Corps reports show cumulative quarterly sales totaling US\$3,321,760 (\$1,908,544 to formal markets such as Wal-Mart and \$1,323,217 to informal markets). But, because there is no baseline data of sales realized by the 20 associations made up of 567 members (440 men and 127 women) to measure against, there is no way of knowing definitively if household incomes improved.

Of note, the scope of the evaluation did not call for the collection of primary data, e.g., a survey of household income and expenditure data, nor did it allow for a five-week time frame for field visits that would have been necessary to conduct a census of all 20 of IMARE I associations a survey of a sample of

⁴ There are 26 positions of leadership in the six IMARE II associations visited, of which 30% or 8 positions, are held by women. Women hold positions including president, vice president, treasurer, secretary and vocal.

households of each association as well as time to visit a number of IMARE II groups. The evaluation team has had to rely on Mercy Corps reporting data for IMARE I results. Nonetheless, qualitative evidence, below in this section, seems to suggest that there was significant impact.

However, Mercy Corps did extrapolate a number based on several factors over the three-year period. They found the overall increase in the net earnings of the agricultural groups to be 59%, based on crop production improvements, crop diversification, and access to formal retail markets that positively influenced the groups' earnings. In addition, a 2010 final evaluation carried out by the Corporación Para El Desarrollo, La Innovación y Soluciones Estrategicas, S.A., (AKIANTO) which interviewed 50 members from among 10 associations, found a 78% level of satisfaction among respondents about their increased incomes due to IMARE. The 2010 AKIANTO final evaluation also found member satisfaction of 80% when asked about employment generated by IMARE.

Mercy Corps reports show that 2,434 jobs (718 women and 1,716 men) have been directly generated by IMARE. Further, the AKIANTO evaluation found similar positive achievements with other indicators for both higher level objectives and expected results in each.

IMARE II activities have been underway since June 2011. In that time, Mercy Corps has identified 65 groups to work with in the five-department area. The target was 40 groups. Unlike IMARE I, where groups were formed by Mercy Corps and fell into two classifications—level-2 groups capable of responding to formal market demands right away and consistently, and level 1 groups that would need help reaching formal market standards as most of them come from post-land conflict areas. Almost all IMARE II groups existed before the project arrived but would best be described as level 1 under IMARE I, i.e., small groups needing help to meet formal market standards.

Many groups have formal legal status and date back to 2007 or even earlier in some cases. However, given that IMARE II has been underway only for about a year and a half, some groups have had only one crop cycle since inception of project activities with them, while others have yet to experience their first harvest. Mercy Corps reports that, based on IMARE I experience, data from at least two crop cycles are needed to begin to see patterns of impact with respect to income, poverty reduction and employment opportunities.

Nonetheless, IMARE II groups already producing are off to a good start, suggesting that the project is on track to meet work plan targets. Mercy Corps quarterly reports and other documentation demonstrate strong numbers in terms of meeting higher level objectives of the project. The number of groups incorporated into the project is greater than the target. The momentum and experience of IMARE I would explain the fast start for Phase II. In terms of target sales, IMARE II has already reached 55% of the US\$2 million project goal, with sales as of June 2012 totaling US\$1,101,898 with 71% of these sales being made to formal markets. Twenty groups were responsible for these sales, producing three crops, peas, French beans and potato.

What this IMARE II production means so far in terms of employment is that 1,333 jobs (grading, sorting and packing product for market—mainly seasonal, but reported as full time equivalent positions) have been created to date (379 jobs for women and 954 for men). Determining how these additional sales and new employment are or will affect group member households remains to be measured in the future. Once two or more crop cycles have been completed, enough data will be available to help determine impact on households in terms of increased incomes and its effect on poverty levels.

Sales and employment numbers suggest that there have been spillover effects from IMARE. The AKIANTO final evaluation asked respondents about this dimension of the project, and 76% said they used increased income to improve the quality of life including making improvements on their homes. During a field visit to an IMARE I association, ASADIT in San Marcos, the week of September 17-20, 2012, it was possible to both quantify household income increases from IMARE and to gain insights into

uses of that income. ASADIT has 24 members. Each member owns and tills an average of 10 cuerdas of land. In 2007, prior to IMARE, these farmers typically cultivated no more than three cuerdas of their land leaving seven cuerdas fallow because they had nowhere to sell excess production. Potato is the main crop. But they also grow broccoli, peas, beans and corn. IMARE introduced them to good agricultural practices and good business practices, and by 2011, each member was cultivating their full 10 cuerdas (one cuerda = 21 meters x 21 meters; also = 0.4 hectares). On three cuerdas of land in 2007,

With improved practices and market access, ASADIT farmers under IMARE were earning Q2,250 in average per cuerda by 2011. Thus, by 2011, from 10 cuerdas, the average ASADIT member was earning a total of Q22,500. Mercy Corps and ASADIT members said these figures were net, after expenses. When asked in a group discussion how they have been spending this additional income, their ranking was: 1) agriculture inputs; 2) food for the home (cereals, sugar, fruit, Incaparina); 3) education for the children; 4) home repairs/upgrades; 5) household animals; 6) clothing; 7) bus transport costs; 8) buying more land, but percentages spent on each category were not obtained.

Food Security and Household Nutrition

IMARE II has a strong household management education component for group members, both men and women, on a range of topics that include food security, health and nutrition. The training sessions, held at least once a month with each group, are highly valued by participants. However, such presentations alone are insufficient for addressing malnutrition. The IMARE training provides only indirect attention to preventing malnutrition. The topic of malnutrition is mentioned but is limited to encouraging pregnant and lactating women and mothers with children under two years to go to their nearest health post for attention.

Mercy Corps' FY 2012 Yearly Operating Plan describes the work of its food security technician in providing training events on health and nutrition, and carrying out periodic health and nutrition assessments in children under five years of age and of pregnant and nursing mothers. The project description for the IMARE II cooperative agreement makes reference to "additional indicators to respond to the FtF activities being incorporated during the development of the PMP and will be monitored during project implementation."

Vista Hermosa Group, Los Encuentros, Sololá: An Export Window for Sales of Chilacayote in Costa Rica

The Vista Hermosa group was formed in IMARE I, and has 30 members. Their principal crop is potatoes, and they produce and sell about 20,000 lbs. per week to Wal-Mart throughout the year. During IMARE I, Vista Hermosa occupied first place in terms of total sales to Wal-Mart, selling \$667,000 worth of produce to the conglomerate. Vista Hermosa farmers also produce a large squash called chilacayote. The chilacayote is a specialty squash used in local drinks and sweet dishes in Guatemala during the All Saints Day holiday November 1st, and during Holy Week in the Easter Season. One chilacayote can weigh as much as 20 lbs. Given its use as a specialty item, farmers can find themselves with lots of chilacayote left over with no market outlet. In 2010, Wal-Mart offered to experiment with shipping a container of chilacayote to Costa Rica to sell in its stores in that country. It was a hit, and since then, Vista Hermosa has shipped at least one container of chilacayote to Costa Rica every year in March, valued at approximately US\$3,800 per container (one container holds 1,500 chilacayotes). Traditionally, chilacayote was a volunteer plant, but now Vista Hermosa plants it so that it has production on hand for the March-April window in Costa Rica. The Costa Rica window for chilacayote has given Vista Hermosa members some additional income.

Other FtF documentation, such as the Value Chains RFA (RFA-520-11-000003), refers to "the objective of the ... Value Chains Project being to improve household access to food by expanding and diversifying rural income and to contribute to improving the nutritional status of families benefitted under the program...and, this will be accomplished by expanding the participation of poor rural households in productive value chains...in coordination with nutrition-related activities aimed at improving food utilization and that are implemented by PL480 Title II Food Security Program and health program partners."

The powerful association-level training package that Mercy Corps is delivering through IMARE II is introducing pregnant and lactating women, and mothers of infants under two, to concepts about nutrition, hygiene and health. The training also encourages these women to go to their local health post, which is sometimes nearby, but often distant, and then only staffed one or two days a week. While IMARE, even in the remotest of communities, is having a positive impact on increasing household productivity and household income, association women and their infants and young children are not exposed by any IMARE or other project activities to any direct one-on-one interpersonal counseling and home visits that would improve infant and young child feeding practice and maternal health and thereby address malnutrition in a measureable way.

Constraints and Opportunities

IMARE II beneficiaries face serious limitations on three fronts. First, the land holdings are very small. The average land holding for both IMARE I and IMARE II beneficiaries is 10 cuerdas, or less than half of a hectare. This creates a limit on possibilities for the farmer's children. Given that current beneficiaries have as many as seven children, any inheritance of land is likely to be too small for any viability beyond the current family. Second, many of the small holdings are on steep inclines and hillsides. Severe weather incidents such as tropical storms with heavy torrential rains pose a serious erosion risk to these areas. The good agricultural practices training includes minimum and contour tilling practices to protect against basic erosion, but severe weather events could easily overwhelm even the best of applied practices. Third, many associations and their members are a long distance from good local markets and even farther from formal markets. Currently, data are not being captured on these limits that would provide insights into viability for small scale value chains activity.

For producer associations that have achieved a satisfactory level of operational independence through the IMARE project, such as the four IMARE I groups that have turned in good production and sale numbers, even after Mercy Corps withdrew its direct project support (see following section), future

ASADIT, San Isidro Tejutla, San Marcos

This IMARE I producer association of 24 members indicated positive response to the training they had been receiving from Mercy Corps over the life of the project. Good agricultural practices, good manufacturing practices and good business practices have been critical to ASADIT's success. Their first potato shipment to Wal-Mart was rejected due to blistering. They quickly learned how to classify their product to meet high value market standards. And they soon learned the importance of scheduling planting so that they had product for sale throughout the year and not all at once or in oversupplied bunches. Practices in the field and practices in the business had to be learned. ASADIT now owns its own potato washer and bagging equipment. Their lot refusal rate is now non-existent. They have learned to classify the product according to what Wal-Mart expects and sells the lower quality product in informal markets. Challenges remain with climate change issues, mainly with having to learn to adapt to changes in weather extremes such as cold waves (heladas) and hail storms, both of which have increased in frequency in recent years.

links to support networks may prove vital to their survival. Direct and even indirect support from Mercy Corps while the IMARE project remains active is a source for technical updates on crop management and business practices, but when the project ends, these groups will find themselves entirely on their own.

Participants across the board have responded extremely positively about the usefulness and value of the training. Training on good agricultural practices, on good business practices and on good manufacturing practices has been well received. The training on gender and on home economics issues is viewed equally as positive. The

common theme seems to be that these clients have had so little formal socialization in their lives that to receive some now is to open doors on a world they did not know existed.

In addition to Mercy Corps' IMARE training, participatory exchanges have also taken place. On July 18, 2012, a one-day gender conference was organized and hosted by Vital Voices in Quetzaltenango. There were 200 women were invited to participate in the event from different communities across the Western Highlands region, including 20 from IMARE II groups. There were three topics presented and

each woman could choose two, one for the morning session and one for the afternoon session. The topics included: (1) how to prepare a business budget, (2) how to use the computer/internet to find businesses online, and (3) how to create an email address and use it in business.

One woman from Choló (Uspantán, Quiché) who attended from IMARE was enthusiastic about the experience. She participated in budget development and using the Internet to find businesses topics. Apart from the unique experience the topics offered her, she was equally as impressed with the opportunity to interact with other women from similar economic backgrounds from communities all across the region in a setting where the environment was about enhancing and improving their skill sets.

Sharing experiences and impressions with kindred spirits is empowering and fulfilling for participants. To sustain these linkages beyond IMARE would be to enhance and promote what IMARE has participated in starting. One of the realities of IMARE is that the training, capacity building, technical updating and the exchange of innovative ideas that take place as part of the project will end when the project ends.

Institutional Capacity Building

The prospects for sustainability beyond project life are good based on IMARE I experience. IMARE II has yet to complete one agriculture cycle in some of its associations and only one in others, offering up too few data to analyze and to indicate where they might be going. However, some IMARE I numbers suggest that prospects are positive. While Mercy Corps was making the shift to FtF departments, it stopped reporting on IMARE I group activity beginning in October 2010, but data were produced. Those data now show that in the 20 months from October 2010 to May 2012, four IMARE I groups sold a total of \$1,710,035 of produce, compared to \$990,952 worth of produce sold by the same four groups from April 2008 to September 2010.⁵ This would appear to be strong evidence that the activities under IMARE I have been effective, and are being built on following termination of project activities. Data are not available from the other 16 IMARE I groups.

The IMARE I experience suggests that IMARE II associations will enjoy measureable increases in household income. At the time of this evaluation, IMARE II has yet to complete one agriculture cycle in some of its associations and has only completed one in others, offering up too few data to analyze regarding impact. However, site visits showed that the training imparted by Mercy Corps to associations on good agricultural practices, good marketing practices and good business practices, are powerful. What members report is that they are learning concepts they never knew existed, especially those related to markets and business management. Also, training in good agricultural practices is very well received, especially when it comes to innovative technologies and crop diversification. Those already applying the concepts are seeing changes, and are likely to retain any new practices adopted on the experience of some of well-performing IMARE I groups.

Mercy Corps experience in IMARE I and now in IMARE II suggests that for newly formed groups about four years are needed for that association to reach a level of sustainability whereby it can maintain production volumes and standards for continued sales to formal markets such as Wal-Mart and PLANESA-Costco. For groups that were already functioning when they became involved in IMARE, the time frame is reduced to three years. However, other factors come into play including the group's level of interest in developing and then consolidating a relationship with formal markets, and their business aptitude which, post-IMARE, enables them to seek out help on their own for new markets. The three to four years required to get a group to the transition point where they are able and willing to seek out new markets on their own is key.

There is no uniform classification for associations involved in IMARE. Some are weak and others have been around for several years and are strong. Training by Mercy Corps, as well as the experience gained

⁵ From a Mercy Corps report on four post-IMARE I groups, Comité de Productores Los Altos Sololá, Comité Vista Hermosa Sololá, Esfuerzo Agrícola, Las Canoas.

by association clients in dealing with markets has strengthened associations visited on the field site tour. One association formed its own revolving seed fund by asking each of its ten members to contribute Q1000. Training on budget making and management seems to be effective. Some associations are using skills gained to prepare forward planning exercises to identify where they want to be in several years from now. IMARE training in the community is highly valued, especially by the women. Because of few education opportunities in their lives, the women don't know what they don't know and when they are exposed to development concepts, they soak them up like a sponge and are eager for more.

IMARE and Local Government Capacity

IMARE, through Mercy Corps, has built a strong department-level alliance with Government of Guatemala (GOG) as well as private sector entities. Active linkages have been established with the Ministry of Agriculture and Livestock (MAGA) and the Ministry of Economy (MINECO) both at the department level, municipalities, the International Fund for Agricultural Development (FIDA), the Organization for Agricultural and Microenterprise Development (ADAM), among others. Private entities that include Horti-Fruti, Grupo CEIS, MANCUERNA, Asociación ECO, SHARE, Plamar-MAGA, participate as product buyers, and providers of technical assistance for training, for credit support, and for other inputs. The alliance network appears to function as a team.

The alliance model developed by Mercy Corps through IMARE is impressive, and holds promise for GOG activities going forward. The model was on display as part of discussions to take place at the *Second Western Regional Congress on Food Security and Nutrition*, in Quetzaltenango, October 18-19, 2012, and specifically as it relates to meetings challenges to achieving food security and nutrition goals in Guatemala's Western Highlands region. The strength of this alliance goes beyond the formative role that Mercy Corps has played. Nurtured correctly, the alliance could provide a good model of leverage for local and departmental level agencies and organizations to better achieve objectives of mutual interest.

The GoG's Pacto Hambre Cero (Zero Hunger Pact) as well as other work carried out by the Secretaria de Seguridad Alimentaria y Nutrición (SESAN), has led MAGA to restart its agricultural extension service after suspending it 15 years ago. The re-started service will have a three-person team in all municipalities (an agronomist, an assistant agronomist, and a home economist). The evaluation team understands that a budget has been assured for four years for this effort, getting underway currently in western departments. MAGA has asked Mercy Corps to provide training to its first cadre of extension teams in the IMARE project area.

The department-level alliance appears to be especially effective in working with 30 additional groups coming on line with IMARE II in the Palajunuj valley of Quetzaltenango. All the agencies and institutions in the alliance will be providing complementary support to the 30 groups that are considered weak, but have been in existence for some years in most cases. Mercy Corps is orchestrating the main work and providing the guidance on training and expected results, but MAGA will provide some agricultural practices training along with Mercy Corps, FIDA will provide support for greenhouse construction and management, irrigation, and collection and packing of product. ADAM is expected to provide inputs relating to seedling production and distribution, and the Ministry of Economy, via international cooperation from the Japanese International Cooperation Agency (JICA), will work with the groups to strengthen their internal management capability. As IMARE closes out, the inter-institutional alliance crafted by Mercy Corps has the potential for continued cooperation in the FtF area, and beyond as a means to bring pressure to bear on national level institutions to continue the work of improving the quality of life for small farmers and for reducing the incidence of chronic malnutrition.

Gender and Under-Represented Populations

Information on IMARE I shows that of 3,755 group members trained in Good Agricultural Practices, Good Business Practices and Good Manufacturing Practices, 704, or 19% of the total receiving training, were women. In terms of employment generated during IMARE I, Mercy Corps reports that 2,434 jobs

were created, of which about 30% were filled by women. One of the IMARE I associations visited (ASADIT), were employing women in the classification and bagging of potatoes for market. These were new jobs created by the project and are fairly steady throughout the year.

IMARE II work in this area is off to a strong start. Data show that of 65 groups brought into the IMARE II project, membership totals 1,158, with 468 being women and the remaining 690 being men. While the basic numbers say little about the meaningful participation of women in activities, Mercy Corps has a strong technical team that includes a gender specialist to impart training on the topic.

In the field, at association level, Mercy Corps is carrying out capacity building training and it is having an impact on association make up, not only in membership, but in leadership positions. In six IMARE II associations visited, a total of 26 positions of leadership were counted. Of these, eight positions (30% of the total) were held by women. When “promotora” positions are counted, five more women are involved in some kind of leadership role in their associations. One of the six IMARE II groups is a women’s organization whose individual members are growing produce for market. Only a little more than a year into IMARE II implementation, 228 women have received training through the project that includes management topics, and some of these women are active as members of their respective association governing boards. In IMARE II, agricultural training on technical topics has reached 674 women to date.

Data from IMARE I, e.g., the *AKIANTO* final evaluation report, suggest that households have experienced increased incomes, but no direct evidence is available or was observed during site visits that there was any change on purchasing decisions made by women, or other household decisions as a result. Also, gender equity as a specific target was not part of IMARE I.

It is a little early into IMARE II to determine if there is any impact in this regard, and too few IMARE I groups were visited to be able observe effects in that part of the project. However, interviews and discussions that did take place are hopeful with respect to achieving progress in this area in IMARE II associations. Families are aware of the uneven participation of men and women in productive roles, and certainly in reproductive roles, and are aware now because of Mercy Corps’ training given by its gender specialist. The exposure to and training on matters relating to gender equity is important and having an impact in IMARE II associations.

Effects on Poverty or Malnutrition in Target Communities

IMARE II associations have had little time to produce visible or measureable data. Nonetheless, the training activities presented by Mercy Corps, are having an early and important impact, especially on women. The training sessions, which are held at least once a month with each association (with their full membership both men and women), are highly valued. The women comment openly about the importance of these sessions on all the topics included, but especially those related to home economics, hygiene in the home, and food security issues. However, the training comes up short for women who are pregnant and lactating, and those with children under two years of age. When it comes to the basic message of malnutrition, women are instructed to go to the local health post. The basic information imparted in the training sessions is not complemented with one-on-one counseling that would address infant and under two feeding practices and maternal diet important to the first 1,000 days.

Gender Assessment Recommendations

The 2009 USAID gender assessment was yet to be completed when IMARE I was started, but was in place for the beginning of IMARE II. However, Mercy Corps informed the evaluation team that they have not studied the USAID report deeply enough to respond to all its recommendations in a formal way.

Indirectly, Mercy Corps has been responding, but recognizes that more needs to be done. The most relevant part of the USAID gender assessment for IMARE is the economic growth section. That section underscores the need for projects and programs to emphasize monitoring policy and institutional

reform efforts by gender; that to make value chains more efficient, gender needs to be taken into account in planning and implementation; and that results be measured not solely in economic terms but expanded to include gender related dynamics.

Based on those criteria, Mercy Corps has been applying the recommendations of the 2009 assessment. Their Yearly Operating Plans for IMARE II specifically address an approach to include gender and to empower women. Moreover, Mercy Corps activities for IMARE II gender activities are part of a comprehensive strategy intended to link components that help both men and women improve their skills. These include:

- The training activities that specifically address gender across all aspects of IMARE;
- Exchange visits with men and women of other associations;
- Participation of association members (both men and women) in regional seminars and meetings;
- Meetings of women and women leaders; and
- Opportunities to build self-esteem for women.

In sum, Mercy Corps has been implementing a gender strategy, but it is not linked formally to the 2009 Gender Assessment.

TIERRAS/LAND CONFLICT RESOLUTION (MERCY CORPS)

Project Results Framework

Mercy Corps has implemented the TIERRAS/Land Conflict Resolution project since 2003, but the most recent cooperative agreement was signed in September 2007, extending the project through September 2013, in the amount of \$2,200,000. The project falls under the Mission's Strategic Objective 2, Economic Freedom: Open, diversified and expanding economies, TIERRAS contributing to Intermediate Result number 2, Laws, Policies and Regulations that Promote Trade and Investment.

Mercy Corps implements the project in close collaboration with its partner NGO in Alta Verapaz, Associated Jurists for Legal Development (JADE), which provides the actual mediation services. In the current project extension, the Mercy Corps team is operating in eight municipalities targeted for current or imminent implementation of the GOG property cadaster, four in Alta Verapaz and four in Quiché. In Quiché, mediation services are provided by the partner NGO the Association for Integrated Multi-Sector Development (ADIM). A third local NGO partner, Association for Integral Rural Development (ADRI) has joined the project under the 2010 extension to manage the public education campaign. In addition, Mercy Corps identifies two government entities as partners, the regional offices of the Secretariat of Agricultural Affairs (SAA) and the Land Fund (Fondo de Tierras).

The technical strength of ADR methodology of the TIERRAS project has been demonstrated over the last nine years by the number of land conflicts resolved (281 as of September 2010), number of indigenous families benefitted (25,346) and continued demand for services as well as by various internal and external evaluations. For this reason, the scope of work of this mid-term evaluation is focused principally on the specific objectives of the most recent September 30, 2010 to September 30, 2013 extension of the 2007 cooperative agreement, the three objectives, expected results, and indicators for which are shown in the table below.

TIERRAS Project Results Framework

Objectives	Expected Results	Indicators/Targets	Results to Date (June 30, 2012)
1. Increase the use of ADR processes by affected parties to reconcile differences over land issues, focusing primarily on 8 municipalities that are undergoing the RIC processes.	-Population of 4 municipalities of Alta Verapaz and 4 of Quiché aware of benefits of cadaster, ADR, and economic opportunities. -100 land disputes resolved -3 NGO and 2 GOG partners have knowledge and skills to continue ADR services.	-# persons reached through public information campaigns in support of peaceful conflict resolution (Target: 6000) - # land conflicts resolved (Target: 100) - # partner organizations with the knowledge and skills to successfully resolve land conflicts (Target: 5)	3414 persons (2916 men; 458 women) 54 conflicts resolved 40 persons, members of the technical teams of the 5 partner organizations
2. Promote adoption of policies and actions that address the root causes of land conflicts.	-2 land use policies promoted by department networks at national level -CM TIERRAS, Network of Quiché connected with 3 other networks in region to advance policy change. -2 policies promoted by networks integrate gender considerations.	-# land use policies at the national level promoted by the regional and departmental networks (Target: 2) - # land use policies at the national level promoted by the community networks (Target: 2) -# policies that include gender considerations adopted as a result of advocacy at the local level (Target: 2)	2 policy issues identified. Workshops and seminars by the advocacy networks. One workshop focused on gender integration. Validation of the topics with community leaders. Initial meeting of CM Tierras and Quiche Network with Peten Network to review approach to policy issues
3. Enhance cooperation between municipal authorities and local community members, private sector interests, and local NGOs on land issues in Quiché and Alta Verapaz.	- Agreements reached on two contentions land issues as a result of collaborative processes in Quiche and Alta Verapaz. -8 municipal land affairs offices are coordinating land information and ADR services -8 MOUs in place with the Justice System and with municipalities	-# persons trained in conflict mitigation and resolution (Target: 40 community, municipal, and private sector leaders) -# persons served by the municipal agrarian affairs offices (Target: 8000) # MOUs signed among the NGOs, the local government, and the Justice System (Target: 8)	(reported indicator of 1707 persons “sensitized” does not match indicator in PMP) 713 persons Agreements signed with 8 municipalities but not with Justice System. (MOUs also signed with SAA, Land Fund, and RIC)

Project Results and Sustainability

Performance to date is measured by the indicators reported quarterly for each objective and result area. According to the most recent quarterly report (July 15, 2012, for Third Quarter FY2012, April through June), all indicators are on track and in conformance with the annual work plans and targets with the exception of the number of land conflicts resolved (Objective 1.2), the number of people receiving services in the Municipal Offices of Agrarian Affairs (Objective 3.2), and the signed Memoranda of Understanding among JADE and ADIM, the municipalities, and the Justice System for provision of ADR services (Objective 3.3).

The baseline values, indicators, and targets are tools for monitoring the progress of the project and to identify possible issues and/or needed revisions in implementation plans to achieve the intended project results. In the case of this evaluation (given the nine-year history of the project), the discrepancies between planned targets and results to date of interest are those tied to the new features of the program introduced in the current three-year extension.

The lag in the number of conflicts resolved is explained by three factors. Project implementation started late because of delays in signing sub-grant agreements, and when it did start the two organizations that

provide mediation services were understaffed. More importantly, the forceful removal of residents from properties (*desalojos*) in the two departments contributed to an atmosphere of confrontation rather than negotiation, complicating the task of “selling” the mediated non-violent approach in the region. In March 2011, 14 violent forceful displacements took place in the municipality of Panzos in Alta Verapaz. Only 14 of a targeted 40 conflicts were resolved during the first year, although the initial processes of investigation began on 59 additional cases. Through information and education activities in local communities, as well as an intensified program of training and certification for mediators, by the end of the third quarter of the second year, 54 cases had been resolved, and the implementers anticipate that the target of 100 cases will be achieved by the end of the project.⁶

The other two indicators that are not on-track, the number of people served by the Municipal Agrarian Affairs Offices (OMAs) and the formal agreements of JADE, ADIM, and the municipal authorities with the Justice System, deserve more attention. Both are indicators of progress in building a sustainable municipal-level capacity to provide ADR services for land conflicts and to maintain the cadastral system being developed by the RIC. The OMA is the “one-stop shop” being created by the TIERRAS project in each of the eight target municipalities to provide ADR services and to provide communities and individuals with information and assistance to access local services related to agrarian issues. The low number of individuals receiving assistance, relative to targets, reflects both delays in establishing these offices and subsequent problems (discussed in the next section) in the institutionalization process.

According to the project implementers, the absence of formal coordination with the Justice System does not affect the current operations of the project since JADE and ADIM have an on-going working relationship with the Justice System Office of Alternative Conflict Resolution (RAC) but it does have implications for the institutionalization process (also discussed in the next section).

A second topic in assessing the progress to date is to examine the four new features of the TIERRAS Project under the 2010 extension.

1) Focus of the mediation services in areas of cadastral-affected municipalities.

The justification for this selection is two-fold. The RIC is being implemented first in the areas most affected by debilitating land conflicts as a step toward regularizing the land tenure system. The cadastral process will uncover latent conflicts and bring urgency to the resolution of existing conflicts. Therefore these municipalities also are a priority for the alternative land conflict resolution services provided by the TIERRAS project. Second, after the cadastral mapping process is complete, the municipality will be responsible for maintaining the cadastral information registry for that municipality. By concentrating services in these municipalities the TIERRAS project will support the establishment of the necessary municipal-level organizational structure to manage the cadaster and emerging conflicts into the future.

The TIERRAS information campaigns about the cadaster process and its benefits, types of land tenure, and indigenous community and individual rights are intended to reduce the resistance to the cadastral process while it is underway and to contribute to its maintenance (Objective 1.1). The project is on-track in implementation of this campaign among community leaders, local organizations, and the general population. All information, materials and activities are being designed to be culturally and gender sensitive and are transmitted in the local indigenous language.⁷ One mechanism in this process is the

⁶ The project is approximately one-quarter behind the initial targets for cases resolved. A case is considered to be resolved when both parties to the conflict sign the agreement that sets out the obligations and rights of the two sides in the conflict. While the resolution is not legally enforceable, Mercy Corps has a formal follow-up process for each resolution, at three, six, nine, and twelve months after the signing. Since 2010, only one agreement (between a brother and sister) has collapsed after signing. Resolution is not equivalent to closing a case. Some cases are dropped (closed) if the circumstances change so that non-judicial negotiation is not possible or one of the two parties withdraws from the process or decides to take the case to the courts. Others are closed because the parties reach an agreement during the course of the technical investigation without entering formal negotiations.

⁷ Materials are being designed and tested at this time. The evaluator was not able to provide an independent verification of cultural and gender sensitivity, or to assess the content of the campaign.

“people-to-people” exchange between groups of community leaders who have resolved conflicts through the ADR process and those who have pending conflicts. The evaluator observed a meeting of approximately 125 women representing the COCODES in Tucuru, Alta Verapaz who actively participated in a training session (approximately three hours) on types of land tenure and the cadastral process. The session was co-hosted by the Municipal Office of Women’s Affairs, the regional office of the RIC, and the TIERRAS Project. The presentation and discussion were in Q’eqchi’.

ADRI, the NGO partner responsible for the mass promotional and information campaign is currently finalizing and field-testing various media and techniques (e.g., radio spots, mobile units, information booths in the market, t-shirts, information pamphlets, etc.) An important next step will be the implementation of a monitoring instrument for the campaign to assess its impact and effectiveness by the project Monitoring and Evaluation (M&E) unit.⁸

2) Enhancement of the role of the municipal authorities in coordinating land issues through technical and material support of municipal Land Affairs Offices.

The rationale for the establishment of the OMAs is to establish an institutional structure for coordinating land issues during and after the cadastral process. As noted above two of the indicators for monitoring this set of activities suggest potential problems in achieving this result (Objective 3). This is discussed further in the next section under Institutional Capacity Building and Sustainability.

Two additional observations may be important to sustainability. First, the OMAs have been established in all eight of the project municipalities through formal agreements with the municipal councils whereby the municipality provides the office space and pays the staff person for the office. The TIERRAS project has provided the office equipment, operational guidelines, and training for the personnel in mediation, land and agrarian issues, and the institutional framework. The eight offices were established before the most recent elections. After the elections, five of the eight original staff changed, so that the training process must begin again.

The second observation is based on field visits to two OMAs, and is presented as suggestive and tentative. The OMA visited in a municipality where the RIC had not yet begun did not demonstrate the same clear definition of task or have the same level of request for services as the OMA in the municipality where the RIC is underway. The critical functions of the office seem to be linked to the implementation of the RIC so that timing of the establishment of the office may be important to sustainability.

3) Use of a collaborative planning process in two pilot cases to demonstrate the effectiveness of collaboration as a tool in conflict prevention.

The evaluator had no contact with the two pilot cases or validation of the collaborative planning process reported in the project annual and quarterly reports.⁹ According to the most recent quarterly reports one of the two cases (in Quiché) has been resolved successfully. The dispute in Alta Verapaz, involving a conflict related to hydroelectric development was still in process as of June 2012. The technical board involved in the collaborative process for each case includes the Comisión Presidencial de Derechos Humanos, Procuraduría de los Derechos Humanos, Secretaría de Asuntos Agrarios, Asociación Juristas Asociados para el Desarrollo Legal y La Coordinadora Nacional Indígena y Campesina. The pilot cases are important not only to demonstrate the validity of the collaborative process to prevent conflict but also to document and explain this process to multiple audiences and decision-makers, and to

⁸ As an anecdotal observation, men were seen wearing the t-shirts on market day in Tucuru. They are probably appreciated as new items of clothing and do give visibility to the RIC, although their message of support, in Spanish, may be most effective with the more urban Spanish-speaking population.

⁹ This is a gap in the evaluation and deserves follow-up. According to the most recent quarterly report the documentation of the Quiché case is being done now and will be posted when it is complete. More time in the field would allow for an independent assessment of extent and reception of the collaborative planning process.

disseminate information about the process and the lessons learned in the case study. The plan for dissemination includes the local community and municipal stakeholders and departmental and national decision-makers. In addition the studies will be posted on the Mercy Corps RedTierras website.

4) Integration of gender equity concepts in each of the project initiatives emphasizing policies that address women's access to land.

The evaluation of attention to gender issues in the project is discussed below under the heading "Gender and Under-represented Populations." In short, both in program planning and implementation, the project evidences broad-based integration of gender considerations. Mercy Corps sought and was awarded a parallel two-year grant from USAID/Washington for Empowering Women's Leadership in Conflict Resolution (EMA), which was implemented in four additional municipalities in Alta Verapaz.

A third topic identified in the scope of work for evaluation of progress to date is the quality of data reported in the PMP and indicators, and the monitoring and evaluation system.

The monitoring and evaluation system for the project houses a detailed record of each step in the conflict resolution process and follow-up for each case, which includes historical and contextual information and scanned documentation of the technical investigations and all agreements as well as reports on all negotiation sessions and demographic, social, and economic data on the parties to the conflict. The folder for each case also houses maps, photographs, and a narrative description of the process. Documentation of activities and progress of each case under negotiation according to the ten-step agreement process is reported monthly by ADIM and JADE directly into the system. All person-level indicators are disaggregated by sex. Data quality is monitored by the M&E director via the system and through weekly visits in the field.

A baseline was established for all indicators through a random sample survey completed by the Mercy Corps monitoring and evaluation unit in the eight municipalities in early 2011 (precise date is unknown but the report was completed in June 2011), to be used to measure change in indicators at the conclusion of the project. The baseline survey measured level of information about the cadaster and alternative non-violent methods for dispute resolution in the general population, and among community and municipal leaders. People surveyed included representatives of local organizations in the municipalities and representatives of the level II Community Development Councils (COCODES) stratified by micro-regions in the municipalities. Baseline values also were established for organizational capacity of partner organizations and institutions, and knowledge about the ADR methodology for land conflict resolution. The organizational and institutional capacity indicators for Mercy Corps partner organizations, the departmental advocacy networks, and local governmental and municipal entities vary widely. Both JADE and CM-TIERRAS in Alta Verapaz have been a part of the TIERRAS project since its inception, while ADIM and Red Quiché began to work with Mercy Corps under the current cooperative agreement. Finally, in addition, the project (through CM-TIERRAS in Alta Verapaz and ADIM in Quiché), in coordination with the SAA, maintains an up-to-date database of the number and types of agrarian conflicts in each municipality. The baseline value for the conflict resolution indicator came from this database. The baseline methodology and definitions are clearly documented in detail providing a solid framework for a valid and reliable re-test at the end of the project. Project documents indicate that Mercy Corps plans that the final evaluation should be a participatory evaluation with explicit feedback to community leaders and targeted municipalities.

The majority of the indicators in the Performance Management Plan are output indicators of the number of people trained and reached through information campaigns, the number of OMAs established, number of MOUs signed, and others. As indicated in the PMP, the effectiveness of the information campaigns and capacity building is to be measured at both the midterm and the end of the project through a survey for comparison to baseline values, as well as through continuous field testing and monitoring. The indicator to measure achievement of the project purpose is change in the number of

violent incidents related to land conflicts. This variable is not within the manageable interest of the Mercy Corps project and is unlikely to be achieved. The level of conflict in the region has accelerated in recent years because of emerging land use demands including mining, sugar cane, African palm, and generation of hydroelectricity that conflict with the traditional coffee plantations and the needs of the resident indigenous communities. Further, the implementation of the cadastral surveys and mapping brings to light additional latent conflicts. The indicator should be violent incidents avoided, which cannot be measured directly.

Finally, the ongoing follow-up and monitoring of the conflict resolution agreements and of the effectiveness of the information campaigns are essential components of project implementation and of the project M&E system to measure results and sustainability. Field visits are made to each conflict site at three-month intervals for a year after the agreement is signed to monitor compliance, and to take additional action if needed. On the other hand, the M&E system and the PMP provide no information on the sustainability of the municipal-level institutional component of the project, which is intended to provide for continuing ADR service delivery after the project ends.¹⁰

Institutional Capacity Building

The underlying focus of the three-year extension of the TIERRAS project is to provide for the sustainable transfer and expansion of the capacity for non-violent resolution of agrarian issues and land conflicts to local organizations and institutions. Three aspects of the project objectives are important in this context.

Strengthening Institutional Capacity at the Municipal Level: First, a clear objective of the three-year extension is to strengthen the institutional capacity of the municipality to manage the cadastral information system and provide services related to agrarian and land tenure issues, including ADR. The eight Municipal Offices of Agrarian Affairs (OMAs) have been established by the project as the base for this function.

The project has signed a series of memoranda of understanding with national and municipal institutions to strengthen inter-institutional coordination in the short-term. These agreements are between Mercy Corps and the RIC, the SAA, the Land Fund (*Fondo de Tierras*), and each of the eight municipalities. The request from Mercy Corps for a signed memorandum of understanding with the Justice System for collaboration with the RAC, through the *Centro de Mediación de Conflictos Agrarios* in Cobán, was formally denied on legal terms, in a letter from the Presidency of the Justice System to Mercy Corps (August 2012).¹¹ The MOUs are a relatively new instrument used by the TIERRAS project under the current cooperative agreement to strengthen collaboration among institutions in the rural areas rather than only at the departmental and national levels.

Under the terms of these agreements, the project is providing coordination services and smoothing relationships among the entities (especially between the national government entities and the municipalities), providing training to the local staff of these agencies, developing diagnostics (e.g., the elaboration of the *Plan de Participación Indígena* for the RIC), and developing materials for information campaigns. The project works particularly closely with the regional offices of the RIC.¹² For example, in La Tinta, Alta Verapaz, the TIERRAS and RIC teams have a joint annual operational plan and hold monthly coordination meetings. The RIC and the TIERRAS project also participate in the monthly

¹⁰ In fairness, it probably is not realistic to require a measure of institutional sustainability because it is a long-term process beyond the scope of the three-year project.

¹¹ Without a formal tie to the Justice System, the mediated agreements of the TIERRAS project are not legally binding. According to the project team this is not a significant constraint, first because the agreements are reached in the spirit of good-faith negotiation and not legal “threats”, and second, because lack of compliance has not been an issue to date.

¹² In a meeting with the RIC team in La Tinta, the evaluation team was told that the RIC has no funding for the “social aspects” of cadaster implementation but only for the technical aspects. TIERRAS supports the RIC in this part of the task—to quote, it “humanizes” the RIC. (group interview, La Tinta, September 10, 2012)

meetings of the Land Committee (*Comisión de Tierras*) of the Municipal Development Council (COMUDE), which also includes representatives of the Land Fund, RIC, OMA, and SAA, as applicable. The project has provided workshops for this and other COMUDE Land Committees on topics like the agrarian conflicts, types of tenure, and indigenous rights.¹³ These findings about institutional capacity building raise several concerns about sustainability and long-term viability after the TIERRAS project ends.

- The political vulnerability of the OMAs: The OMAs are offices of the municipality, created by Mercy Corps but funded and staffed by the municipality. Mercy Corps, with the two departmental advocacy networks (CM TIERRAS and Red Quiché) has included the development of the legal mandate for the OMAs as one of two national policy issues to be pursued during the extension (outcome pending), and has prepared Operational Guidelines for the OMA and an Operational Handbook for the staff. However, as suggested by the turnover in OMA staff after the election and the subsequent necessity to re-visit the topic with the new municipal governments and train the new staff, the OMA appears to be a relatively fragile entity vulnerable to changes in local political priorities and municipal budgets.¹⁴ Resources for training staff are a particular concern as well as the maintenance of linkages with the network of other organizations involved with agrarian issues at the local level, particularly after the RIC has been completed.¹⁵
- The lack of sufficient and stable funding for ADR implementation: The USAID/Guatemala Land Conflict Assessment (2005) lauds the strength of the Mercy Corps conflict resolution model and project, noting the importance of adequate funding and personnel to carry out the necessary technical investigations, the on-site visits and discussions, and the negotiation process to use the ADR process successfully.
- The government agencies that have a mandate to provide ADR services for land conflicts (the SAA and the RAC) are underfunded and vulnerable to changing political priorities. The RAC Center for Land Conflict Mediation in Cobán serves the entire country and has a staff of two. The SAA, which was created under the Peace Accords, is an arm of the Presidency. It is not included in the national budget and its level of resources varies according to the priorities of the President.¹⁶ For example, the SAA budget was reduced dramatically under President Colom, compared to previous administrations, but the current president has expressed support for it. The visit to the SAA regional office in La Tinta confirmed the tight budget since it had no vehicles, the land surveyor position had not been filled, and only one of two mediator positions was filled. (The mediator who was present had held the position for only three months and had no formal training for mediation.) The proposed Rural Development Law currently under consideration in the Congress is intended to address this issue, but it is a contentious piece of legislation and the outcome is unsure. Sustainable and effective ADR services for land conflicts at the municipal level will require a stable and adequate resource base.
- The inability to construct a formal relationship between the municipality (OMA) and the Justice System raises a question about the framework of support, follow-up, and legitimacy for resolution

¹³ Note that without the quarterly reports for FY 2011, I am unable to cite specific data on these workshops. This information is drawn from key informant interviews with project staff.

¹⁴ Guatemala does not have a tradition of qualified civil service. Turnover of staff after elections occurs at all levels of government.

¹⁵ One option is that the Mercy Corps partner NGOs and advocacy networks will have the technical capacity to provide this training and support the mediation functions of the OMA. The continuous training and certification of mediators with JADE and ADIM under the current project is intended to create the capacity for them to carry on the ADR land conflict resolution independently.

¹⁶ According to the RIC agreement, the SAA should have an office in each RIC area to deal with land conflicts. The SAA is to receive the land conflict or agrarian issue, review and classify it, and channel it to the appropriate organization for resolution. At present, the OMA receives cases that are appropriate for ADR, land title issues are transferred to the Land Fund, and more complex conflicts may be transferred to the court system. According to project staff, the system does not in fact function this way at present. The OMA and the TIERRAS project often receive direct requests for ADR assistance through less formal word-of-mouth channels.

agreements mediated by the OMA, in the absence of the TIERRAS project and the RIC. Again, the proposed Rural Development Law may address this issue.

Strengthening the Operational Capacity of Partner Organizations: Second, the project seeks to strengthen the technical and operational capacity of the NGO partner organizations (JADE and ADIM) so that they can provide the ADR services for land conflicts independently. Training and mentoring in conflict mediation has been a core activity of Mercy Corps since 2003. The local NGO partners, JADE and ADIM, manage the cases and conduct the mediation processes. The measure of the result of this training is the number of conflicts resolved (as noted above), and the comparison of pre- and post-measures of knowledge of ADR and agrarian conflicts, to be done as part of the end-of-project evaluation.¹⁷

Three activities for strengthening mediation capacity were reported during the first year of the extension. First, a meeting was convened of representatives of the Mercy Corps partners (JADE, ADIM, ADRI, SAA, and the Land Fund) and municipal land commissions to exchange information about the mediation process for land conflicts, so that all the relevant entities operate with the same set of expectations. Second, a short-course (*diplomado*) was designed and facilitated by the Fundación Propaz¹⁸ for training and certifying mediators. The 96-hour course, “Mediación de Conflictos Agrarios con Enfoque de Género-Una Alternativa para la Paz” was completed by 27 persons (12 men and 15 women), who were then certified by Propaz as *mediadores agrarios*.¹⁹ Third, Mercy Corps contracted a consultant from Vantage Partners, an expert in alternative dispute resolution, to work with the Mercy Corps team to refine and systematize the model for land conflict resolution and incorporate gender considerations. The 20 hours of training were attended by 23 people (19 men and 4 women).

In the second year, a “mediation clinic” was attended by 40 people (24 men, 16 women), including the mediators trained during year 1 as well as representation from other NGOs and government organizations, to reinforce the mediation training through presentation of new mediation techniques, and discussion of methods used in difficult situations. In addition, according to project documentation but not independently verified, new mediators are mentored by accompanying experienced mediators. The series of activities including initial training and certification, mentoring, and continuing education through mediation clinics has evolved through the nine years of the program and is a strong model. An additional point, gleaned through conversations in the field visits, is that there is shortage of trained agrarian mediators and of experienced people to work at the local level on agrarian issues. Mercy Corps training of mediators is filling an important gap in this area.

Organizational strengthening with the Mercy Corps NGO partners, especially JADE and ADIM, has been an on-going process since the initiation of the program, but it is not directly addressed under the current project extension. It is occurring to the extent that the organizations work closely as a team with an integrated project staff structure.

One concern raised by review of the information on technical capacity-building, without a direct evaluation of the content or effectiveness of the training, is the gap that will be created in workforce training when the Mercy Corps project ends. At present there is no mechanism, either through an NGO or a training entity, to provide this training in a systematic and continuous manner. Further, both the training and the ADR process have a cost. JADE and ADIM will not be able to continue to provide these services to the target indigenous population without a funding or payment-for-services

¹⁷ No information was provided on the number of cases closed without resolution during the course of the extension or the reasons for discontinuing them, although this analysis could be done using the project database and would provide another indirect measure of mediation effectiveness.

¹⁸ Fundación Propaz is a national NGO, formed by the Organization of American States during the peace project, which conducts training and certification of mediators as one of its core functions.

¹⁹ This included 2 each from JADE, ADIM, and ADRI, 8 from FUNDEMI for the EMA project, 6 from Mercy Corps, and 7 from the OMAs.

mechanism. In fact, ADR services are specified as a government function to be performed by the RAC and the SAA. They are currently being provided by NGOs by default.

Building Mechanisms and Capacity for Land Conflict Prevention: The third aspect of strengthening institutional capacity in the project extension concerns the local and regional capacity for conflict prevention through policy definition and advocacy. The departmental social action networks, CM Tierras (Coordinadora Multi-sectoral de Tierra), established in 2004 and Red Quiché (La Red de Atención a la Conflictividad de Quiché), which started in 2009, are voluntary associations composed of government, non-governmental, and *campesino* organizations, educational institutions, and interested individuals who are committed to minimizing agrarian conflict. Mercy Corps has supported the establishment of these networks, has worked with them in formalizing their structure, and, until recently, has provided funding for activities.²⁰ The networks research and define policy issues and convene seminars and other events to educate themselves and the public about the issues and to advocate for policy change.

Under the current project, Mercy Corps continues to assist the two organizations in strengthening their operations through development of operational plans and budgets. In addition, in accordance with the project objectives, the two networks have worked together to define two main policy agenda items to carry to the national level—the legal designation of the OMAs and legal outline for formalizing tenure regulations in the municipal *ejido* lands²¹ in Quiché. As of the third quarter of this year, the regulations had been drafted and were under discussion and review within the networks. A third policy topic that has been pursued by both networks, at least in terms of educating the member organizations is attention to gender considerations in agrarian issues and conflicts, and policies to increase women’s access to land. Finally, the project calls for expansion of the network to a regional level by linking these two organizations with the Mesas del Sur de Petén to increase the potential national impact of the advocacy efforts. Initial in-person meetings among the three organizations have occurred. No further information was obtained about this regional organization. In addition, the three networks have been linked virtually through the on-line network, Red Tierras.

Several concerns are highlighted based on the review of project documentation and presentations and discussions with network representatives.

- Each association has a core of committed members (CM Tierras reports 16 active organizations at this time) who meet regularly (as much as weekly, when necessary) and implement educational events and training that are well received and attended. Both associations have invested considerable effort in defining their purpose and operational plans. The principal concern voiced in discussion with the members is funding. Neither association has a structure or plan to raise money for their activities (from member organizations or events, for example), and until now have functioned exclusively through grants.
- The Red Tierras platform is attractive, accessible, and populated mostly by videos and blogs of experiences in Guatemala and Colombia. Because access to most of the specific items on the website is password controlled no further assessment of the content or program utility is possible at this time. The website is maintained by Mercy Corps for its programs rather than to meet specific USAID objectives.

Gender and Under-Represented Populations

The scope of work for the evaluation calls for an examination of attention to gender considerations in the project on two levels: the implementer’s actions to respond to the USAID Gender Assessment

²⁰ The networks also have received institutional support and funding from other donors, especially the German Government.

²¹ Municipal *ejidos* are communal lands of varying size, used in the past as forest reserves, or community agricultural or grazing lands. Today they are sometimes used by individual households but cannot be owned. (See Universidad de San Carlos, Tesis de Maestría, Facultad de Ingeniería, 2010, “Gestión Municipal a la Regularización de Tierras en el Área Urbana del Municipio de Santa María Nebaj, Department of Quiché. Humberto Rivera Santiago.

recommendations; and, the effect of project activities on women's roles in conflict resolution and access to land. On these topics, the TIERRAS project provides examples of good practices that are reflected in project results.

In responding to USAID's requirements for attention to gender issues in project implementation, Mercy Corps defined its mandate as the integration of gender into all aspects of the program. Examples of this integration have been cited throughout the report. In addition, in September 2010, Mercy Corps submitted a proposal to the USAID/Washington (former) Office of Women in Development, and was awarded a grant for the two-year *Empowering Women's Leadership in Conflict Resolution (EMA)* project (January 2011-December 2012), as a parallel activity to the TIERRAS project. EMA is implemented in four other municipalities of Alta Verapaz by Mercy Corps and its partner organization, *Fundación para el Desarrollo y Educación de la Mujer Indígena (FUNDEMI-Talita kumi)*. The three objectives of the project²² are:

- 1) Indigenous women negotiate and mediate peaceful resolution of agrarian conflicts.
- 2) Agrarian policy making processes include greater participation of indigenous women leaders.
- 3) Best practices in increasing indigenous women's leadership in agrarian conflict resolution adopted.

The EMA project is important for this evaluation because it has been a vehicle for investigation and articulation of the gender and indigenous women's issues associated with agrarian policy and conflict resolution, and as a part of its work plan, has worked with the TIERRAS team to integrate these issues into the TIERRAS ADR methodology and policy agenda. Mercy Corps designed the project and applied for the funding to strengthen integration of gender issues into the land conflict resolution processes and agrarian issues. As a gender equity mechanism, the specific EMA project results are interlinked with the ongoing capacity of the TIERRAS activities to promote gender equality. EMA has trained and certified eight indigenous women as agrarian mediators (through the TIERRAS short-course in 2011, discussed above), and by the end of the project, these mediators will have resolved 20 agrarian conflicts.

EMA has prepared workshops and seminars for CM Tierras and the Red Quiché about gender and agrarian conflict, and participated in the preparation of materials for the information campaign to support the RIC. In collaboration with the Mercy Corps home office, EMA has presented project-specific gender training, on several occasions, for the TIERRAS technical staff. During the current project extension, the ADR methodology for land conflict resolution was re-worked to include a gender focus, and EMA has collaborated with CM Tierras and Red Quiché to build a gender focus into the two policy issues (legal and operational definition of the OMAs and plan for tenure regularization in the municipal *ejidos*) identified for the advocacy networks. EMA and FUNDEMI have actively participated in the educational and promotional campaigns to expand the participation of women and particularly indigenous women. For example, they used direct outreach to the COCODES to ensure that the delegations of community leaders participating in the people-to-people exchanges between communities that have and have not resolved land conflicts through mediation include women leaders as well as men. Mercy Corps also has collaborated actively with the Municipal Offices for Women (OMM), and as a result of the EMA project, the *Defensoria de la Mujer Indígena (DEMI)* also has taken part in TIERRAS workshops and seminars. These successful direct efforts to ensure that women and especially indigenous women are included in all activities are particularly noteworthy in this case because the arena of agrarian issues and land tenure historically has been a preeminently male domain. The integration of gender issues and the importance given to women's role in agrarian and land conflict issues is highlighted in all TIERRAS publications and project documentation, including the virtual network www.redtierras.org.

The effect of this attention to gender in project implementation on gender equality and women's land rights in Alta Verapaz and Quiché is more difficult to measure and has not been contemplated as a part

²² USAID EMA grant agreement, APS-OAA-10-000005, 2010.

of the monitoring and evaluation plan of the project. The fact that women were present in nearly equal numbers as men in the community meetings attended by the evaluator during the field visits, and that they spoke and voiced opinions²³ was surprising and may be an indirect and anecdotal reflection of this effect. In the training session in Tucuru for women representatives from the COCODES in the municipality that covered the topics of land tenure rights and the RIC (described above), the interest displayed and the questions asked were not those of passive observers.

Finally, in reference to the question posed by the evaluation scope of work about attention not only to gender but also to under-represented populations (i.e., indigenous groups), the explicit focus of the TIERRAS project from its inception has been not only to provide a mechanism for peaceful conflict resolution and to prevent violence in agrarian issues, but also to deliver services that are accessible to rural indigenous communities. These communities do not have the resources (financial, informational) or the power and contacts to regularize and protect their access and rights to land through traditional channels. The TIERRAS project brings the ADR services to the rural areas, and provides these communities with the technical legal and field research and documentation, and the platform to negotiate as equals.

This principle also underlies the institutionalization process in the current project extension with the focus on municipal-level services and networks and the creation of the OMAs as easily accessible service and information centers. It also is reflected in the support the project has given to the regional offices of the RIC in the preparation of the Plan for Participation of Indigenous Populations (PPI), and in the public education campaign to information about the 2007 UN Declaration on the Rights of Indigenous Peoples (of which Guatemala is a signatory). In the community meetings attended by the evaluator, the community leaders clearly articulated the importance of the TIERRAS work in terms of providing them with information, technical support, and a forum for negotiation among equals that they did not have before.

Summary Findings and Conclusions

During the last nine years of the project, Mercy Corps has identified a core rural development problem in Guatemala and has developed a model and mechanism to respond to this problem that is effective in resolving land conflicts without violence, and makes conflict resolution accessible to the under-represented, poor indigenous communities. The evaluation raises concerns about potential barriers and shortcomings in the institutionalization and sustainability of these services.

In providing the ADR services in rural land conflicts, Mercy Corps and its partner NGOs are to some extent providing services that are nominally included in the mandate of government institutions. This situation, in which the chronic underfunding of state institutions leaves gaps in essential public functions and non-governmental and private sector organizations step in to meet these needs, is not unusual in Guatemala. It does, however, complicate the task of defining an exit strategy for the project which involves the return of these functions to the public sector without leaving a big hole.

RECOMMENDATIONS FOR CURRENT ACTIVITIES

INCLUSIVE MARKET ALLIANCE FOR RURAL ENTREPRENEURS (MERCY CORPS)

From the findings and conclusions of the IMARE project evaluation emerge several actionable recommendations for USAID/Guatemala and Mercy Corps that merit consideration as the project goes forward:

²³ In the two meetings with a community in Alta Verapaz that has completed the mediation process and one in Quiché, where the mediation is still in process, women were hesitant to speak, in part because of language barriers. When the mediators addressed them directly, they responded in terms that demonstrated their knowledge and involvement in the community discussions about the conflict.

1) Conduct a study of Phase I groups to determine impact.

Many of the associations in IMARE I appear to have achieved a level of sustained success. This observation comes from the reports of at least four of the IMARE I groups continuing to provide formal markets like Wal-Mart with quality produce without any direct involvement of Mercy Corps, or the other IMARE I partners at the production and association management level. IMARE I worked with 20 groups, grouped into two levels. About two-thirds were level-two and ready to produce and sell to formal markets almost immediately, though some needed management and production help to be able to reach formal market standards, and about a third were made up of post land-conflict groups facing more challenges than level-two groups. The common thread across these two levels of associations was the fact that they were all organized under IMARE, i.e., no group had a prior history as a formal association. A fuller understanding of what has become of all 20 groups could shed light on the impact of IMARE I, both in terms of institution building, and on their productive and management capacities. Lessons might be extracted that would enrich the understanding of the value chains approach with small producers that could in turn be applied to IMARE II groups.

2) Link USAID community health and nutrition programs with IMARE II communities.

Mercy Corps' FY 2012 Yearly Operating Plan describes the work of its food security technician in providing training events on health and nutrition, and carrying out periodic health and nutrition assessments in children under five years of age and of pregnant and nursing mothers. The project description for the IMARE II cooperative agreement makes reference to "additional indicators to respond to the FtF activities being incorporated during the development of the PMP and will be monitored during project implementation." Other FtF documentation such as the Value Chains RFA (RFA-520-11-000003) refers to "the objective of the proposed Value Chains Project being to **improve household access to food** by expanding and diversifying rural income and to contribute to improving the nutritional status of families benefitted under the program....and, this will be accomplished by expanding the participation of poor rural households in productive value chains...in coordination with nutrition-related activities aimed at **improving food utilization** and that are implemented by P.L. 480 Title II Food Security Program and health program partners." The powerful association-level training package that Mercy Corps is delivering through IMARE II is introducing pregnant and lactating women and mothers of infants under two, to concepts about nutrition, hygiene and health. The training also encourages these women to go to their local health post, which is sometimes nearby, but often distant, and then only staffed one or two days a week. Given that IMARE, even in the remotest of communities, is having a positive impact on increasing household productivity, and by extension, household income—even when their new production is sold in informal markets—association women and their infants would greatly benefit from a social and behavior change communication component with one-on-one interpersonal counseling and home visits to directly improve infant and young child feeding practice and maternal health. Real and measurable impact on malnutrition could be achieved if a USAID health and nutrition project were located in communities where IMARE was working. If USAID Nutri Salud contract municipalities include any IMARE II communities, a concerted effort should be made to ensure that those IMARE communities receive direct benefits from Nutri Salud and that the project's presence be coordinated with Mercy Corps. The complementary effects of the two interventions could have real and sustained impact on achieving the ultimate goal of FtF which is to reduce chronic malnutrition.

3) Incorporate a Forward Transition component into IMARE II.

The IMARE value chains program centers on small farmers who own and cultivate an average of ten cuerdas (about 0.44 hectares of land). However, despite the small size of the plots, the application of innovative crops complemented by Mercy Corps' training in good agricultural practices and good business practices is yielding positive results in virtually all the associations they are working in. From what was observed, virtually all participating households are experiencing some increase in household income, and thereby, an improvement in their quality of life. Improvements are as small as being able to

purchase meat more than once a month as a result of the new income, or experiencing increases in income by as much as several hundred percent, enabling the household to invest in more agricultural inputs, additional food for the home, afford school costs, make home improvements, among other new expenditures. But the reality is that these improvements are likely to be limited to the current household. Most association members are made up of younger families, with small and young children numbering from three to seven. Given the small land holding, and the tendency and tradition to bequeath land to children, the average current IMARE direct beneficiary will eventually have his land divided up through his children's inheritance such that the family will not be able to effectively earn a living from agriculture in a few short years from now. At best, an inheriting child will have a few square meters of land to grow some milpa as an expression of tradition, but any viable agriculture beyond the current family will be out of the question. This scenario creates a need for each household to have and to develop a forward vision for their household so that the transition out of agriculture for the children is accommodated in a productive and positive way. Adopted as an additional component of the current household management training imparted by Mercy Corps, this would include topics and workshops directed at helping and guiding households to develop a forward transition vision that they work on continually over time.

4) Develop a network(s) via internet that link(s) all Phase I and Phase II groups.

Direct and even indirect support from Mercy Corps while the IMARE project remains active is a source for technical updates on crop management and business practices, but when the project ends, these groups will find themselves entirely on their own. This may not be serious problem for groups that reach a high level of self-reliance and confidence, but having a network or larger institution to turn to as times and markets change may prove helpful for many groups who graduate from the IMARE project going forward. Similarly, the success, and even the trials, of IMARE I groups could benefit associations in IMARE II, were there a network linking them in some way. Experiences of successful IMARE I groups could serve as incentives and examples for IMARE II groups. A network could also provide a market support mechanism for product supply when occasional shortfalls in quantity of a product occur in one group, alerting other groups in the network that might have product available to make up the difference to complete a shipment for market. At a general level, successes of some IMARE I associations, and the positive start to IMARE II groups, have yielded a large number of experienced growers and association members. Cross fertilization of ideas and experiences could enhance and enrich the path forward for other groups, and also reinforce all the groups by way of their mutual interests. Mercy Corps has discussed the concept of forming a network or networks among IMARE associations, but has yet to put the idea into practice. A mechanism and an organizing principal needs to be identified for one or more such networks. Computer based networks hold promise and should be pursued.²⁴

5) USAID should consider a distance learning effort as a follow up to IMARE.

It has been noted just how powerful the Mercy Corps home management training sessions have been, especially among the women. Women are finding the home economics, health and hygiene messages, and the field production and association management and business/marketing training to be excellent and empowering for them. Those who have had opportunities to participate in training conferences with women from around the region have found them be especially empowering and informative. Men have also commented that the training is important and even life altering when discussing the innovative technologies they have experienced such as the macro tunnels for tomato production, or learning to classify vegetable production for formal markets. One dimension that both good business practices and good agricultural practices share is the evolution of ideas, technologies, and approaches to doing things. As FtF evolves and matures and as projects such as IMARE come to an end, associations will lose easy and familiar access to ways to update their knowledge on innovations currently provided by the project.

²⁴ There are an estimated 19 million cell phones in Guatemala. The ubiquity of computers is not far behind, especially given advances and price breaks occurring with tablet computers.

Maintaining the flow of updated information to associations would be an obvious way to sustain impact and to protect USAID investment in IMARE. A distance learning module that would begin in the final year of IMARE and continue indefinitely thereafter, with messages designed around supporting the technical and innovative information beamed to FtF areas by radio and computer/podcast would be one way to replace people driving to the communities to present training sessions or sending them to participatory conferences. Once people learn to learn, gaining new information is always welcome.

6) IMARE Producers Handed Off to ANACAFE and AGEXPORT.

Mercy Corps through IMARE and in cooperation with other agencies and ministries of the GOG as well as private sector entities has been effective in creating some fairly strong producer associations in IMARE I. Similar outcomes can be expected with IMARE II groups. Some and maybe all IMARE II producer groups will reach a level of good business and good agricultural practices acumen that they are able to transition to a modest level of independence and perhaps even reach a point where they can search out new markets on their own. But even if some or more than a few, achieve a good degree of self-confidence and independence, staying linked to the industry and to changes in the flow of information about markets will ensure their sustainability. As has been observed, IMARE has served to not only train up producer groups, but also as the conduit and source of new information on markets and technology as conditions have changed. Once IMARE is gone from the picture, successful groups run the risk of losing some of their edge if they are unable to keep abreast of events and changes in the market. ANACAFE and AGEXPORT will continue on as successful non-governmental organizations in the agricultural value chains arena. Therefore, IMARE groups able to continue meeting formal market standards on their own should be incorporated into ANACAFE or AGEXPORT market networks at the end of the project.

7) Mercy Corps Needs to Reflect USAID Gender Assessment Recommendations.

While Mercy Corps has been assertive in including gender concerns in the planning and implementation of IMARE II, including the development of a strategy, it has yet to respond in a formal way to the USAID Gender Assessment (March 2009). USAID should ensure that a copy of the assessment has been shared with Mercy Corps, and that the next annual work plan reflect the assessment's recommendations.

8) Exchange of Best Practices.

The experiences of both IMARE I and IMARE II warrant comparison with other actors in rural value chains such as ANACAFE and AGEXPORT. Creating an opportunity for Mercy Corps to exchange experiences with ANACAFE and AGEXPORT to compare and contrast successes, how they overcame challenges, and to explore future relationships for successful IMARE associations that graduate from IMARE might be useful to consider.

TIERRAS / LAND CONFLICT RESOLUTION (MERCY CORPS)

From the findings and conclusions of the TIERRAS project evaluation several actionable recommendations for USAID/Guatemala and Mercy Corps merit consideration as the project goes forward:

1) Mercy Corps should improve outreach and information dissemination activities.

One characteristic of the Mercy Corps project that came to light during the course of the evaluation is that people in Guatemala City do not really know much about the project or what it does. The work and the results are not very visible at the national level or within the development community, and this isolation limits the effectiveness of the project in terms of its overall goal to contribute to peace in Quiché and Alta Verapaz. While the program is small relative to the scope of the agrarian land issues in Guatemala it is a strong model for non-violent conflict resolution with proven effectiveness. Mercy Corps might consider developing a strategy for a promotional or information campaign to increase the knowledge about and support for the model at the national level.

2) Mercy Corps should improve targeted communications.

Along this same line, one of the results of the current project is the use of a collaborative planning and negotiation process to resolve conflicts in two cases that have implications for big issues in rural land use in the region such as the development of mining or hydroelectricity. One of these two cases has been completed and the documentation process is underway. The utility of these cases beyond the immediate conflict resolution depends on getting the word out—watching the way in which the steps in the process develop to arrive at a final agreement in a situation that could easily have become violent. Again, the recommendation calls for a communication strategy that takes it out of its immediate arena.

3) USAID should give priority to making the OMAs institutionally sustainable.

The evaluation highlights a series of concerns about the sustainability of the OMAs as the mechanism to transfer and continue the TIERRAS project functions in the municipalities, particularly after the RIC is completed—even on a transitional basis pending a new Rural Development Law. USAID/Guatemala has many years of experience in the area of municipal strengthening and decentralization that might provide insights or lessons to confront these concerns. The recommendation is that USAID consider establishing a forum for exchange and discussion between these two sectors.

4) Mercy Corps should advise on fundraising options for key institutions.

The advocacy network(s) of public and private organizations are not sustainable as voluntary organizations without a reliable source of funding. Mercy Corps should consider providing technical assistance, perhaps through specialized external consultants, on fundraising options for CM Tierras and Red Quiché.

5) USAID should insist that a plan is in place for the disposition and effective maintenance of the Mercy Corps database of conflict cases.

The Mercy Corps database to track conflict cases is an essential record of the process of negotiation in each case, the agreement reached, and the obligations of the two parties. It is also the only record of these cases since the TIERRAS operations have no formal link to the court system or to the SAA. A plan should be in place for the disposition and maintenance of this system when the project ends.

6) Mercy Corps should develop a legacy plan for Alternative Dispute Resolution training and certification.

Consideration should be given to a plan for formalizing the current important role that the project has assumed in training and certifying agrarian mediators. ADR services for land conflicts cannot be expanded or maintained in the absence of trained personnel.

ANNEXES

Annex A: Scope-of-Work for the Evaluation

Annex B: Evaluation Tools

Annex C: Sources of Information

Annex D: Statement of Any Unresolved Differences of Opinion

Annex A: Scope-of-Work for the Evaluation

SECTION C – STATEMENT OF WORK

C.1 BACKGROUND

Consistent with the new Evaluation Policy,¹ the end-of-project and mid-term performance evaluations will enable USAID/Guatemala Economic Growth Office to evaluate whether projects are achieving the desired results, and will help inform future project design, implementation, and effectiveness. These projects fall under two broad categories, the Feed the Future Initiative and the Global Climate Change Initiative. USAID/Guatemala is both a Feed the Future Initiative focus country as well as participant in the Global Climate Change initiative. These initiatives share a strong monitoring and evaluation component to track ongoing activities, measure the results, and make corrections as necessary.

The **Feed the Future Initiative (FtF)** is a country-led, multi-stakeholder initiative to reduce global hunger and end poverty in over 20 countries around the world, including Guatemala.² The world-wide initiative began in 2010, and will continue in Guatemala at least through 2016. Although they began before the FTF strategy was in place, all projects to be evaluated under this task order fall under the FtF strategy, except TIERRAS Land Conflict Resolution. USAID/Guatemala is focusing FtF projects on issues of "food security" for vulnerable populations, which most often include rural, indigenous communities. Food security is characterized as *access*, *utilization*, and *availability*. Food insecurity in Guatemala does not result from inadequate national or local food supplies (*availability*), but instead is caused by the inability of the poor to *access* food due to inadequate incomes, as well as by uninformed consumption decisions and feeding practices that lead to poor food *utilization*. FtF projects, therefore, focus on income generation and nutritional education for rural small households.

Current USAID/Guatemala projects for the **Global Climate Change Initiative (GCC)** include using sustainable landscapes funding to continue the Mission's long-term commitment to market-driven conservation and sustainable forestry management in the Maya Biosphere Reserve and other important forested landscapes in the country. The Maya Biosphere Reserve and similar protected areas serve as important areas for carbon sequestration. The Forestry Enterprises in Guatemala project and the Community Tourism Alliance project, implemented by Rainforest Alliance and Counterpart International, fall under GCC guidance.

C.2 SCOPE OF WORK

This Task Order requires the contractor to evaluate the effectiveness of USAID/Guatemala Economic Growth Office projects at the strategic and individual project levels to validate or improve USAID's approach and to learn from results. Performance evaluations of these projects will look at the high-level results as they relate to each project's objectives³ (See in Attachment J.1). This portfolio consists of agricultural and environmental value chain projects supporting Strategic Objective 2 "Open, Diversified, and Expanding Economies" under the USAID/Guatemala strategy. The end-of-project and mid-term evaluations will also inform new project implementation under the new five-year Country Development and Cooperation Strategy (CDCS)⁴. The success of these project components will heavily influence upcoming FtF and

¹ <http://transition.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf>

² For more information, see <http://www.feedthefuture.gov>

³ Annex III of USAID/Guatemala FtF Multi-year strategy

⁴ The CDCS for Guatemala is pending approval as of February 2012.

GCC strategy implementation. As such, USAID\Guatemala needs to thoroughly understand their achievements.

<u>Project Information – End-of-Project Evaluations</u>				
Projects To Be Evaluated	Access to Dynamic Markets for Rural Small and Medium Enterprises	Competitive Enterprises in Coffee	Forestry Enterprises in Guatemala	Community Tourism Alliance
Agreement #	520-A-00-05-00009-00	520-A-00-06-00103-00	520-A-00-06-00099-00	520-A-00-06-00092-00
Award Dates	October 2004 – September 2012	June 2006 – September 2012	September 2006 – September 2012	April 2006 – September 2012
Total Estimated Cost	\$10,000,000	\$5,000,000	\$7,700,000	\$6,700,000
Implementing Organization	AGEXPORT	ANACAFE	Rainforest Alliance	Counterpart International
Agreement Officer's Representative	Glenda de Paiz	Glenda de Paiz	Maria Teresa Robles	Maria Teresa Robles

<u>Project Information – Mid-term Evaluations</u>		
Projects To Be Evaluated	Inclusive Market Alliance for Rural Entrepreneurs	TIERRAS / Land Conflict Resolution
Agreement #	520-A-00-07-00216-00	520-A-00-07-00225-00
Award Dates	September 2007 – February 2014	September 2007 – September 2013
Total Estimated Cost	\$2,600,000	\$2,200,000
Implementing Organization	Mercy Corp / WalMart	Mercy Corp
Agreement Officer's Technical Representative	Glenda de Paiz	Maria Teresa Robles

The Contractor shall conduct a performance evaluation of six USAID/Guatemala Economic Growth Office's projects in achieving their stated objectives. The Contractor shall prepare end-of-project performance evaluations for four rural value chain projects which will end September 30, 2012: the Access to Dynamic Markets for Rural Small and Medium Enterprises project implemented by the Guatemalan Association of Exporters (AGEXPORT), the Competitive Enterprises in Coffee project with the National Coffee Association (ANACAFE), the Forestry Enterprises in Guatemala project with Rainforest Alliance, and the Guatemala Community Tourism Alliance with Counterpart International. The Contractor will also prepare mid-term performance evaluations of two ongoing projects: the Inclusive Market Alliance for Rural Entrepreneurs (IMARE) project, a public-private partnership between USAID, and Mercy Corps/Wal-Mart for horticultural value chains; and TIERRAS Land Conflict Resolution project implemented by Mercy Corps in the departments of Alta Verapaz and Quiche.

The six performance evaluations shall be split into two final reports, although the much of the expertise needed for evaluation will cut across the projects. The first report is an end-of-project performance evaluation of the four rural value chain projects ending in September of 2012, and the second is a mid-term performance evaluation of two very different projects implemented by the same partner, Mercy Corps. The needs of these two activities are different because of the projects' implementation phases, so they are discussed separately below.

THE END-OF-PROJECT PERFORMANCE EVALUATIONS SHALL:

- (a) Examine the effectiveness and high-level results of projects implemented by AGEXPORT, ANACAFE, Rainforest Alliance, and Counterpart International as defined in their respective cooperative agreements, which will be provided upon award of this evaluation Task Order. The Contractor shall assess achievements for each project. If objectives have not been met—due to either over- or under-achievement—findings, conclusions and recommendations in these areas should be addressed in the final report. An acceptable report should meet the following requirements as per the USAID Evaluation policy:
 - Evaluation findings should be presented as analyzed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people's opinions.
 - Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
 - Recommendations need to be supported by a specific set of findings.
 - Recommendations should be action-oriented, practical and specific, with defined responsibility for the action.

The key approaches to be evaluated are: introducing small agricultural producers, community forestry concessions and handicraft producer groups to value added activities and linking them to larger markets; increasing incomes and improving household food consumption decisions to combat food insecurity; and increasing agricultural sector growth to increase economic activities of the non-farm sectors of the same communities—causing a spillover effect of USAID projects. The projects also seek to increase effectiveness of the local groups with which they work. In the cases of the Access to Dynamic Markets for Rural Small and Medium Enterprises and the Competitive Enterprises in Coffee projects, the awards attempt to improve the project

management capacity of AGEXPORT and ANACAFE and improve the nutritional outcomes for beneficiaries. The Contractor will address the organizational capacity of these groups to carry out this work, including adequate staffing, equipment, and internal processes and procedures. The Contractor shall refer to the projects' Work Plans and results frameworks for specifics.

- (b) Test the development hypothesis put forth in the "Mellor Model" of agricultural growth as a strong driver of poverty reduction and job creation both through agricultural production and supporting small-scale rural non-farm activities in the Altiplano region of Guatemala⁵;
- (c) Examine effectiveness by comparing each project's actual achievements with its respective work plan and results framework targets and goals. Where findings suggest that projects have been ineffective at reaching their objectives, the contractor will seek to: a) determine explanations as to why and whether the cause is in design or in implementation, and b) make design and implementation recommendations for consideration in future Mission programming.

And

- (d) As Guatemala is an FtF Focus country, the evaluation must also address the objectives of the Mission's FtF Multi-year Strategy. The end-of-project performance evaluations, therefore, will also address the activities incorporating more vulnerable populations. These activities include lower-end value chain producers, women, AGEXPORT's sub-awards with the Institute of Nutrition for Central America and Panama--INCAP (nutrition) and Vital Voices (gender inclusion) and ANACAFE's relationship to Funcafe (rural development).

The following evaluation questions are illustrative. If the Contractor sees fit, the Contractor is encouraged to revise and refine the questions to best suit the goals of these evaluations.

Project Results and Sustainability:

- Have projects met high-level objectives in the areas of income generation, poverty reduction, and improved employment opportunities?
- What are the perceived effects on household malnutrition of IMARE and the sub-awards with Funcafe and INCAP? If there is an effect, how is that effect explained?
- Are the projects promoting sustainable activities; what support will be needed for the associations to continue providing benefits to their members?

Institutional capacity building:

- By using local organizations as the prime implementing partners in the cases of AGEXPORT and ANACAFE, have the capacities of those partners to identify and cultivate small producer groups improved? Has their organizational planning and implementation of funds improved? Are improvements likely to be lost if USAID support were no longer available?
- Has the internal management of small agricultural and handicraft producer groups, tourism-related service providers and community forestry concessions improved due to project efforts?

⁵ Sectoral Distribution Model of Employment Growth in the Guatemalan Highlands, USAID 2006.

Gender and Underrepresented Populations:

- Have women been integrated into farming activities, producer association management, or both? If so, have these interventions affected poverty or the prevalence of hunger and malnutrition in those communities?
- Assuming women's participation in producer associations, what effects are seen at the household-level—i.e. greater involvement with purchasing decisions or changes in household decisions concerning family planning?
- Did projects reflect the applicable recommendations made by the USAID/Guatemala Gender Assessment (March 2009)? Specifically, did USAID provide resources for implementing partners to incorporate recommendations into work plans; did the implementing partners train their personnel in gender-related issues; did the project make women's membership and participation in decision-making part of the organizational strengthening for producer groups; did the project include diversity as a criterion for producer group selection; and did the project identify viable women's producer groups?

The intended audiences for the end-of-project performance evaluations will be USAID/Guatemala—primarily the Economic Growth and Health and Education offices; those USAID implementing partners to be evaluated under this Task Order; and Government of Guatemala (GoG) entities—such as the Ministry of Agriculture, Livestock and Food (MAGA in Spanish); Secretariat for Food Security and Nutrition (SESAN in Spanish); the GoG Ministry of Economy's National Competitiveness Program (PRONACOM in Spanish); and the National Council of Protected Areas (CONAP in Spanish). The evaluations will also be provided for informational purposes to USAID/Washington—including the Bureau of Food Security, the Policy Planning and Learning office, and Economic Growth, Agriculture and Trade Bureau's Natural Resources Management office; and international donor partners—specifically those with interest in value chain work such as DANIDA, the European Commission, the World Bank, and the Inter-American Development Bank.

While the end-of-project and mid-term evaluations will be shared and discussed with the illustrative groups mentioned in this section, USAID/Guatemala also requires the contractor to prepare and give a formal presentation of the findings from the four end-of-project evaluations. This presentation would be to open to the general public and the press in Guatemala City following completion of the final report and completion/close out of the projects themselves. The presentation will be an opportunity to discuss USAID's work in Guatemala, demonstrate USAID's commitment to transparency, and foster public debate on development projects working in food security, value chains, and land dispute resolution. The Contractor is also encouraged to suggest audio/visual materials to compliment the final report and presentation.

THE MID-TERM PERFORMANCE EVALUATIONS SHALL:

- (a) Examine the performance to-date of the IMARE project implemented by Mercy Corps/Wal-Mart and the TIERRAS Land Conflict Resolution project also implemented by Mercy Corps. While the IMARE project focuses on income generation, poverty reduction and improved nutritional status of beneficiaries, TIERRAS seeks collaborative resolution of land conflicts in the departments of Alta Verapaz and Quiché. Both projects also seek to improve local capacity of public and private partners—in the case of IMARE with local producer associations, and in the case of TIERRAS with local advocacy networks and Land Affairs Offices.

The Contractor shall assess the performance and achievements for each project against targets—both as listed in the projects' Performance Monitoring Plans (PMPs) and Work Plans. While this exercise is not an audit of data quality, the PMPs and Work Plans should be used as a reference to identify areas that need to be investigated by the evaluation team. Findings, conclusions and recommendations are expected for both project performance of activities in Work Plans as well as other activities on which the projects could be working. For example, if the project in question is devoting a significant portion of its time to activity X under the Work Plan, is the project meeting the objectives agreed to under activity X. And separately, would the projects be more effective if it addressed other issues through activity Y—which is not part of the current work plan. An acceptable report should meet the following requirements as per the USAID Evaluation policy:

- Evaluation findings should be presented as analyzed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people's opinions.
- Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
- Recommendations need to be supported by a specific set of findings.
- Recommendations should be action-oriented, practical and specific, with defined responsibility for the action.

- (b) Analyze any implementation problems, and review institutional capacities of the organizations.

The following evaluation questions are illustrative. If the Contractor sees fit, the Contractor is encouraged to revise and refine the questions to best suit the goals of these evaluations.

Project Results and Sustainability:

- Are projects meeting targets under PMPs? Are deliverables on time according to Work Plans? If not what have been the impediments?
- Are projects addressing poverty reduction and employment generation, and conflict mitigation?
- What are the major constraints facing the project objectives?
- What resources will be necessary to continue project achievements after the projects end?

Institutional capacity building:

- Has the internal management of local producer groups improved due to project efforts?
- Have projects had any effect on local government capacity; has increased organization of farmers (IMARE) or advocacy networks (TIERRAS) led to political strength that makes local governments more accountable to its citizens?

Gender and Underrepresented Populations:

- Have women been integrated into farming activities, producer association management, or both?

- What have female roles been in conflict resolution in Alta Verapaz and Quiché? Has women's ownership of land and access to land dispute resolution processes increased?
- Did projects reflect the applicable recommendations made by the USAID/Guatemala Gender Assessment (March 2009)? Specifically, did USAID provide resources for implementing partners to incorporate recommendations into work plans; did the implementing partners train their personnel in gender-related issues; did the project make women's membership and participation in decision-making part of the organizational strengthening for producer groups; did the project include diversity as a criterion for producer group selection; and did the project identify viable women's producer groups?

The intended audiences for the mid-term performance evaluations will be USAID/Guatemala—primarily the Economic Growth and Health and Education offices—and those USAID implementing partners to be evaluated under this task order.

C.3 EVALUATION METHODS

The Contractor must conduct evaluations using methods that generate valid and reliable evidence corresponding to the evaluation questions being asked. Both quantitative and qualitative methods should be employed when applicable. Evaluation methods should use sex-disaggregated data and incorporate attention to gender relations in areas such as the participation of women in leadership roles in producer associations and in community development councils or as conflict mediators. Methodological strengths and limitations will be communicated explicitly in the evaluation reports.

The Contractor will use similar analytical methods to conduct the mid-term and final evaluations, which will be outlined in the final work plan. The mid-term evaluations will place greater emphasis on findings, conclusions, and recommendations at the level of the project itself, while the final evaluations will focus more on findings, conclusions, and recommendations for high-level project results and future projects design.

Data sources should include, but are not limited to, field visits, in-person interviews, direct observations, as well as relevant USAID, GoG, and private sector reports and documents (for example, any articles published by Guatemalan Universities such as Instituto Agricultura, Recursos Naturales y Ambiente, Guatemalan think tanks such as La Asociacion de Investigacion y Estudios Sociales and Centro de Investigaciones Economicas Nacionales, or institutions such as International Food Policy Research Institute.

Evaluation methods should include but are not limited to the following:

1. Documents and secondary data sources: The Contractor will review the relevant literature related to economic growth in Guatemala, and will arrive in Guatemala versed in the FtF and GCC Initiatives and their supporting literature, including the Mellor Model of poverty reduction in the Altiplano, the Guatemala Country Strategic Plan, and the Feed the Future Multi-year Strategy. The literature review will also include: the guidelines for monitoring and evaluating FtF programs, USAID's new Gender Policy, and an understanding of the centrally managed global database in the USAID Bureau for Food Security—which is used to support USAID field mission M&E programs in tracking and reporting progress toward FtF targets. The entire team will review the Mission Gender Assessment and the Team benefits from having the Assessment's author, Virginia Lambert, as a Team member. Most importantly, the Team will systematically

review project documents provided by USAID/Guatemala for each project, including quarterly and annual reports, work plans, and performance indicator data.

2. Individual and focus group interviews with beneficiaries and other stakeholders: The Contractor will interview the USAID Agreement and Contracting Officer's Representatives (AOR & COR), Project COP and staff members, other donors (particularly those with agricultural or value chain projects), private sector buyers, key USG officials, and local community development councils. In addition, the Team will conduct structured individual and focus group interviews with a sample of individual Program beneficiaries and other stakeholders. **Table 1** below provides an illustrative list of beneficiaries and stakeholders to be interviewed for each project. It is essential that the team interview both women and men in beneficiary and stakeholder groups to ensure that perspectives from both sexes are integrated.

Table 1: Illustrative List of Beneficiaries and Stakeholders

Program	Beneficiaries	Other Stakeholders
Access to Dynamic Markets for Rural Small and Medium Enterprises	<ul style="list-style-type: none"> • Small male- and female-headed producer households and workers, particularly in high value crops 	<ul style="list-style-type: none"> • Private firms and market intermediaries with interest in quality high value produce for domestic and export sale
Competitive Enterprises in Coffee	<ul style="list-style-type: none"> • Small rural producers of specialty coffee or other commodities (typically families) 	<ul style="list-style-type: none"> • Local and regional producer and marketing organizations and local community based organizations (CBOs) supporting improved household consumption/nutrition
Forestry Enterprises in Guatemala	<ul style="list-style-type: none"> • Small and medium-scale forestry concessionaries • Mayan Biosphere Reserve (MBR) communities 	<ul style="list-style-type: none"> • CBOs particularly in the areas with potential for introducing sustainable income-generating forestry practices—product harvesting, nature tourism
Community Tourism Alliance	<ul style="list-style-type: none"> • Local community and rural-based tourism service providers (e.g., guides, concessionaires) 	<ul style="list-style-type: none"> • Local tourism boards in Peten, Alta Verapaz, Solola, and Quetzaltenango
Inclusive Market Alliance for Rural Entrepreneurs	<ul style="list-style-type: none"> • Small rural farmers and farmer marketing organizations with high value specialty produce 	<ul style="list-style-type: none"> • Urban supermarket chains and other agribusinesses that process and market high value, locally produced food
Tierras/ Land Conflict Resolution	<ul style="list-style-type: none"> • Displaced persons/households with pending land use/ownership claims or disputes to be resolved 	<ul style="list-style-type: none"> • GoG Office of Agrarian Affairs (SAA) • NGOs and CBOs in El Quiche and Alta Verapaz • COCODES and Municipal planning offices • Mediation centers supported by SAA and municipalities

Because time is limited for analysis of respondent information collected in the field, the Contractor will design basic, easy-to-administer interview guides that elicit information that can be scored/indexed. These will largely be based on qualitative scores (e.g., "Do you agree with the statement that..." 1) not at all 2) somewhat 3) fully). Interview guides will also include open-ended questions designed to capture respondents' unprompted perceptions of the programs.

3. Field Visits to project sites: The Contractor will focus its field visits mainly in the Western Highlands with trips to El Quiché and Alta Verapaz. The Contractor will conduct its site visits largely to interview beneficiaries and stakeholders in their program setting (as outlined above in number 2), but also to observe sites where projects are underway, and to collect additional documentation and information as feasible. This is an opportunity to systematically corroborate, or dispute, initial findings.

During site visits, the Contractor will collect data using a structured field visit guide to assure uniformity of coverage across sites. The guide will outline the specific changes that need to be verified, people to meet with, and tasks or activities to be observed. In developing a site visit plan to collect the data listed above in numbers 2 and 3, the Contractor will consult with USAID and the program implementers on our methodology for selecting sites to visit. Since time for field site visits is limited, The Contractor will follow the steps below to determine the sample frame from the population project sites:

- Exclude from its sampling those sites where programs or program components have not yet had sufficient time to produce demonstrable results/outcomes.
- From the remaining possible sites to visit, select a stratified sample of suitable size to visit for each of the programs that assures a balance of female-to-male participants (as a proportion of the total beneficiaries), keeping in mind timeline and travel logistics.
- Review the list in consultation with USAID to ensure representation from all relevant project/components that should be observed. If some components are not represented, The Contractor will make substitutions as needed.

4. Review quantitative data as available and applicable: Where available and applicable, The Contractor will review national or regional data through sources such as the National Agricultural Survey (ENA in Spanish) and the National Survey on Infant and Maternal Health (ENSMI in Spanish), and USAID's recent Women's Empowerment in Agriculture Index⁶ may be applicable to evaluations. These data would be used not to attribute project effects, but to provide context for the data collected. For example, data on child stunting from the ENSMI could aid in understanding nutrition levels in communities where the programs/projects are functioning.

END OF SECTION C

⁶ <http://feedthefuture.gov/article/release-womens-empowerment-agriculture-index>

Annex B: Evaluation Tools

TIERRAS II



TIERRAS
Resolución de
Conflictos



AGENDA DE VISITA DE MONITOREO DE USAID 10 AL 13 DE SEPTIEMBRE DE 2012 ALTA VERAPAZ, QUICHE

Participantes: Equipo evaluador TIERRAS y Equipo técnico Mercy Corps.

Lunes, 10 de septiembre de 2012			
Horario	Lugar	Actividad	Observaciones y responsables
12:30	San Julian	Punto de reunión	
12:30-13:30	Tactic	Almuerzo	
13:30 – 15:30	Tactic la Tinta	Desplazamiento al municipio de la Tinta, Alta Verapaz	
15:30 – 16:30	Oficina RIC	Presentación del proceso de coordinación con el RIC y MC	Miguel Balán, Gerente de Proyecto
16:30 – 17:30	Municipalidad	Reunión con autoridades municipales del municipio de la Tinta, A.V.	Miguel Balán y Edgar Putul, Proyecto RCTG
17:30 – 18:00	Hotel	Desplazamiento y descanso en el municipio de la Tinta, AV.	

Martes, 11 de septiembre de 2012			
Horario	Lugar	Actividad	Observaciones y responsables
8:30 - 9:30	Oficina de la SAA	Presentación del proceso de coordinación con la SAA y MC y socios	Miguel Balán y Edgar Putul, Proyecto RCTG
9:30 – 13:00	Cooperativa MOCCA	Presentación del conflicto resuelto en coordinación con el resto de cooperativas	Miguel Balán y Gerson Coy, Proyecto RCTG
13:00 – 14:00	La Tinta	Almuerzo	Miguel Balán, Gerente de Proyecto
14:00 – 16:00	La Tinta-Cobán	Desplazamiento al municipio de Cobán, Alta Verapaz	Todos

16:00 – 17:30	Oficina de Mercy Corps	Reunión con miembros de la CMTIERRAS	Miguel Balán y Edgar Putul, Proyecto RCTG
17:30 – 18:00	Hotel	Desplazamiento y descanso en el Hotel	

Miércoles, 12 de septiembre de 2012			
Horario	Lugar	Actividad	Observaciones y responsables
8:30 - 10:30	Cobán- Uspantan	Desplazamiento al municipio de Chicamán, EL QUICHE	Miguel Balán y Edgar Putul, Proyecto RCTG
10:30 - 12:30	Chicaman La Campana	Caso en Proceso de resolución	Carlos Aquino. Gerente de Programa
12:30 – 12:50	Oficina Mercy Corps	Presentación de las situación de conflictividad agraria de Alta Verapaz y El Quiche	Carlos Aquino/Gerente de Programa
12:50-13:10	Oficina Mercy Corps	Presentación de las acciones desarrolladas en los proyectos de Tierras, apoyados por USAID	Jose Aquino/Especialista de monitoreo y evaluación.
13:10 – 13:30	Oficina de Mercy Corps	Presentación de las acciones desarrolladas en el proyecto Resolución de Conflictos de Tierras.	Helmer Pa, coordinador técnico agrario.
13:30 – 14:20	Oficina Mercy Corps	Presentación de la metodología de resolución de conflictos, en la presentación de un caso concreto	Otto Cuellar/Administrador ADIM Alberto Brito/Técnico en catastro.
14:20-14:50	Traslado Uspantan Chicaman	Traslado	Jose Aquino/Helmer Pa
14:50-15:30	Oficina Municipal Agraria de Chicaman	Visita a OMA Chicaman/presentación de funciona y servicios que presta , proceso de fortalecimiento.	Zoila Perez/Técnico de OMA
15:30 -17:30	Traslado de Chicaman a Coban	Traslado	Jose Aquino/Carlos Aquino.

Nota: Virginia Lambert, estará participando en todas las actividades programadas, el Dr Scott Tomas se incorporara el día miércoles a partir de medio día.

KEY INFORMANT INTERVIEW GUIDE

(RESPONDENTS FAMILIAR WITH THE PROJECT)

Talking points:

Interviewer: _____ Date: _____

PART 1: RESPONDENT BACKGROUND INFORMATION

Name:	Title/Function/Sex:
Organization:	Contact Info:
Relation (past/present)to the Project:	Period Project Involvement:

PART 2: PROJECT PERFORMANCE

<ul style="list-style-type: none"> • What have been the principle achievements of the project that you have seen or experienced? <p>Outcomes: What evidence have you seen of improvements in: incomes, employment, gender participation, food security, child nutrition, production or sales attributable to the project?</p>
<ul style="list-style-type: none"> • Outputs: What evidence can you provide that the project has improved the capacity of participating organizations to carry out activities after project support ends – administrative efficiency, coordination and communications (transparency); engagement with GOG? With private sector? Local communities? Success at obtaining new revenues from member beneficiaries or donors or private sector?
<p>1. For Project results and objectives - Where has the project (or its partners) fallen short of your expectations about what it was expected to achieve? Where has the project (or its partners) exceeded expectations of what you expected it would accomplish?</p>
<p>2. Sustainability</p> <ul style="list-style-type: none"> • What evidence do you see that the project has improved the long-term sustainability of participating local tourism organizations or marketing, production, services enterprises?

- What evidence is there that the capacity of participating organizations has improved enough to carry out their activities after project support ends – administrative efficiency, coordination and communications (transparency); engagement with GOG? With private sector? With community organizations? Obtaining operating revenues from member beneficiaries or donors other than USAID or the USG.
- What will happen to activities/organizations now that the project is ending?
- What would be an ideal follow on project and how would it be different?

3. Institutional Capacity Building

- Where applicable, what evidence is there of improved organizational capacity among participating local groups and institutions that can be attributable to project activities?
- What beneficiary groups have moved from informal to more formal (legal) status and more systematic operations during their project involvement?

PART 3: RESPONDENT EVALUATION

Respondent assessment: Cooperative and helpful = y/n/so-so; Informed and knowledgeable = y/n/so-so

Continuation space for added questions relevant to the respondent population

IMARE

PROJECT PARTICIPANTS INTERVIEW GUIDE

Note: These questions may administered either individually or in focus groups to project beneficiary participants – producers, service providers, heads of households, men and women.

Interviewer: _____ Date: _____

PART 1: RESPONDENT BACKGROUND INFORMATION

Name:	Sex: M ____ F ____
Association:	How long Involvement in Project:

PART 2: RESPONDENT'S EXPERIENCE WITH THE PROJECT

1. How has involvement in the project changed your life?

2. What evidence can you present?

- a. Income
- b. Employment
- c. Participation of family members
- d. Food security
- e. More production
- f. More sales & produce
- g. Other: _____

3. Has your household income increased?

- a. How much? _____
- b. Is this due to the project? ____ Yes ____ No

4. Do you have more access to markets to your produce? ____ Yes ____ No

- a. Is this due to the project? ____ Yes ____ No

5. Has the project helped your management capability?

6. Is your organization strong? ____ Yes ____ No

a. Can it function without project support and technical assistance? ____ Yes ____ No

7. Gender: Does your wife participants in the project? ____ Yes ____ No

Annex C: Sources of Information

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LIST OF CONTACTS

EVALUACIÓN DE PROYECTOS DE USAID / ECONOMIC GROWTH PROJECTS EVALUATION

CUADRO DE INFORMANTES CLAVE / KEY INFORMANTS REGISTER

Preparado por: Virginia Lambert
Fecha de visita: 3 to 12, September, 2012

No.	Name	Gender		Sector / Act		Fecha (date)	TYPE OF ORG.				Organization (name)	Position within the organization	Location		Notes & comments
		M	F	IMARE	Tierras		Imp. Partner	Local Org.	Community	Benef. Ind.			Depto.	Municipio	
1	Alberto Brito	x			x	12-sep		x			ADIM	Mediador	Quiche	Uspantan	
2	Miguel?	x			x	12-sep	x				ADiM	Director	Quiche	Uspantan	
3	Otto Cuellar	x			x	12-sep	x				ADIM	Administrador	Quiche	Uspantan	
4	Ruby Avalos	x			x	11-sep	x				ADRI		Alta Verapaz	Coban	
5	Alan Baldez	x			x	11-sep		x			CM Tierras	representative INAB	Alta Verapaz	Coban	
6	Monica Cuy		x		x	11-sep		x			CM Tierras	representative Pastoral Social	Alta Verapaz	Coban	
7	Benito ?	x			x	12-sep				x	community La Campana	community leader	Quiche	Chicaman	
8	Herson Coy	x			x	10-sep	x				JADE	Administrador	Alta Verapaz	Coban	
9	Carlos Aquino	x			x	10-sep	x				Mercy Corps	Gerente, Programa Desarrollo Rural	Alta Verapaz	Coban	
10	Cesar Xoy	x			x	11-sep	x				Mercy Corps	Field technician	Alta Verapaz	Tucuru	
11	Edgar Putul	x			x	10-sep	x				Mercy Corps	Coordinador tecnico agrario	Alta Verapaz	Coban	
12	Helmer Pa	x			x	12-sep	x				Mercy Corps	Coordinador tecnico agrario	Quiche	Uspantan	
13	Jose Aquino	x			x	10-sep	x				Mercy Corps	Especialista, Monitoreo y Evaluacion, Proyecto TIERRAS	Alta Verapaz	Coban	
14	Miguel Arnoldo Balan Teni	x			x	10-sep	x				Mercy Corps	Gerente de Proyecto TIERRAS	Alta Verapaz	Coban	
15	Peter Loach	x			x	03-sep	x				Mercy Corps	Country Director	Guatemala	Guatemala	
16	Yojana Cantana		x		x	10-sep	x				Mercy Corps	Promotora Social	Alta Verapaz	Coban	
17	Sara Murray		x		x	09-sep	x				Mercy Corps headquarters	gender specialist/EMA	USA	Portland, OR	
18	Zoila Perez		x		x	12-sep		x			OMA - Chicaman	tecnico de OMA	Quiche	Chicaman	
19	Pedro Hermenegildo	x			x	10-sep		x			OMA - La Tinta	tecnico de OMA	Alta Verapaz	La Tinta	
20	Miriam Danuda		x		x	10-sep		x			RIC - Polochic	Area Social	Alta Verapaz	La Tinta	
21	Wilfrido Barrios C	x			x	10-sep		x			RIC - Polochic	Sub director regional	Alta Verapaz	La Tinta	
22	Oscar Och	x			x	11-sep		x			SAA - La Tinta	Mediador/Conciliador	Alta Verapaz	La Tinta	

EVALUATION OF USAID PROJECTS / ECONOMIC GROWTH PROJECTS EVALUATION

CUADRO DE INFORMANTES CLAVE / KEY INFORMANTS REGISTER

Prepared by John Chudy
Date visited: 17 to 20 Sept, 2012

No.	Name	Gender		Sector / Act		Fecha (date)	TYPE OF ORG.				Organization (Name)	Position within the organization	Location		Notes & Comments
		M	F	IMARE	Tierras		Imp. Partner	Other Local	Community	Benef. Ind.			Depto.	Municipio	
1	Felipa Vicente Baten		x	x		18-sep				x	"ADICS" San Jose Siguilá	Tesorera	Totonicapan	Momostenango	
2	Franciso V.	x		x		18-sep				x	"ADICS" San Jose Siguilá	Vice Presidente	Totonicapan	Momostenango	
3	Isabel Baten Ajtun		x	x		18-sep				x	"ADICS" San Jose Siguilá	Promotora SAN	Totonicapan	Momostenango	
4	Juan Baten Vicente	x		x		18-sep				x	"ADICS" San Jose Siguilá	Secretario	Totonicapan	Momostenango	
5	Juan Walberto Vicente Torres	x		x		18-sep				x	"ADICS" San Jose Siguilá	Sub-Tesorero	Totonicapan	Momostenango	
6	Lucas Baten Ajtun	x		x		18-sep				x	"ADICS" San Jose Siguilá	Coordinador	Totonicapan	Momostenango	
7	Lucio Juan Baten Vicente	x		x		18-sep				x	"ADICS" San Jose Siguilá	Presidente y Representante Legal	Totonicapan	Momostenango	
8	Maria Baten Vicente		x	x		18-sep				x	"ADICS" San Jose Siguilá	Promotora	Totonicapan	Momostenango	
9	Marta Victoria Baten Vicente		x	x		18-sep				x	"ADICS" San Jose Siguilá	Promotora SAN	Totonicapan	Momostenango	
10	Odilia Lucrecia Baten Ramírez		x	x		18-sep				x	"ADICS" San Jose Siguilá	Promotora	Totonicapan	Momostenango	
11	Olivia Baten Ramos		x	x		18-sep				x	"ADICS" San Jose Siguilá	Promotora	Totonicapan	Momostenango	
12	Guillermo Cifuentes	x		x		17-sep	x				ADAM	Director	Quetgo	Quetgo	
13	Delma Gomez		x	x		20-sep		x			ASADIT	Socia	San Marcos	Tejutla	
14	José Gomez	x		x		20-sep		x			ASADIT	Socio	San Marcos	Tejutla	
15	Leydi Gomez		x	x		20-sep		x			ASADIT	Socia	San Marcos	Tejutla	
16	Luis Gomez	x		x		20-sep		x			ASADIT	Tesorero	San Marcos	Tejutla	
17	Rosalina Muñoz		x	x		20-sep		x			ASADIT	Socia	San Marcos	Tejutla	
18	Rubelcy Gomez	x		x		20-sep		x			ASADIT	Socio	San Marcos	Tejutla	
19	Rudy Ramirez	x		x		20-sep		x			ASADIT	Socio	San Marcos	Tejutla	Exitosa asociacion de papa IMARE I
20	Veronica Marroquin		x	x		20-sep		x			ASADIT	Socia	San Marcos	Tejutla	
21	Willy Gomez	x		x		20-sep		x			ASADIT	Socio	San Marcos	Tejutla	
22	Pedro Sales	x		x		17-sep		x			ASOFRACHI	Secretario	Quetgo	Quetgo	

EVALUATION OF USAID PROJECTS / ECONOMIC GROWTH PROJECTS EVALUATION

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Prepared by: John Chudy
Date visited: 17 to 20 Sept, 2012

No.	Name	Gender		Sector / Act		Fecha (date)	TYPE OF ORG.				Organization (Name)	Position within the organization	Location		Notes & Comments
		M	F	IMARE	Tierras		Imp. Partner	Other Local	Community	Benef. Ind.			Depto.	Municipio	
23	Antonio Chipel	x		x		19-sep		x			Cholá	Presidente	Quiché	Uspantan	
24	Balthazar Chipel Lux	x		x		19-sep		x			Cholá	Socio	Quiché	Uspantan	
25	Balthazar Chipel Yat	x		x		19-sep		x			Cholá	Socio	Quiché	Uspantan	
26	Dora Azucena Moreno		x	x		19-sep		x			Cholá	Tesorera	Quiché	Uspantan	Asistio en Voces Vitales 18 de julio
27	Juan Us Mejia	x		x		19-sep		x			Cholá	Socio	Quiché	Uspantan	
28	Julia Chipel		x	x		19-sep		x			Cholá	Socia	Quiché	Uspantan	
29	Magdalena Luz Pu		x	x		19-sep		x			Cholá	Socia	Quiché	Uspantan	
30	Magdalena Pinula Chipel		x	x		19-sep		x			Cholá	Socia	Quiché	Uspantan	
31	Victoria Chipel Lux		x	x		19-sep		x			Cholá	Socia	Quiché	Uspantan	
32	Pamela de Leon		x	x		17-sep		x			FAO/PC	Organización	San Marcos	San Marcos	
33	Mynor Gómez	x		x		17-sep		x			FIDA	Coordinador Comercialización	Quetgo	Quetgo	
34	Joaquin Toma	x		x		17-sep		x			Fonda Sistemas Pro Agrícola		Quetgo	Concepción Chiguichego	
35	Berta Zacarias		x	x		20-sep	x				Futuros del Mañana	Promotora	San Marcos	San Isidro	
36	Delma Elizabeth Gomez Ramirez		x	x		20-sep	x				Futuros del Mañana	Vice Presidenta	San Marcos	San Isidro	
37	Elizabeth Dolores Garcia		x	x		20-sep	x				Futuros del Mañana	Socia	San Marcos	San Isidro	
38	Eluvia Ramirez Escobar		x	x		20-sep	x				Futuros del Mañana	Presidenta	San Marcos	San Isidro	Asociacio de mujeres
39	Leydi Gomez Muñoz		x	x		20-sep	x				Futuros del Mañana	Socia	San Marcos	San Isidro	
40	Onelia González méndez		x	x		20-sep	x				Futuros del Mañana	Socia	San Marcos	San Isidro	
41	Rosalina Muñoz		x	x		20-sep	x				Futuros del Mañana	Secretaria	San Marcos	San Isidro	
42	Veronica Marroquin		x	x		20-sep	x				Futuros del Mañana	Vocal	San Marcos	San Isidro	
43	Tomonori Uchikawa	x		x		17-sep		x			JICA	Experto JICA	Quetgo	Quetgo	
44	Aracely Martinez		x	x		19-sep		x			La Cruz Chicaman	Socia	Quiche	Uspantan	
45	Francisco Martinez Lopez	x		x		19-sep		x			La Cruz Chicaman	Socio	Quiche	Uspantan	

EVALUATION OF USAID PROJECTS / ECONOMIC GROWTH PROJECTS EVALUATION

CUADRO DE INFORMANTES CLAVE / KEY INFORMANTS REGISTER

Prepared by John Chudy
Date visited: 17 to 20 Sept, 2012

No.	Name	Gender		Act / Ac		Fecha (date)	TYPE OF ORG.				Organization (Name)	Position within the organization	Location		Notes & Comments	
		M	F	IMARE	Tierras		Imp. Partner	Other Local	Community	Benef. Ind.			Depto.	Municipio		
46	Herlindo Gonzalez Soto	x		x		19-sep		x				La Cruz Chicaman	Socio	Quiche	Uspantan	
47	Maynor Hernández	x		x		19-sep		x				La Cruz Chicaman	Socio	Quiche	Uspantan	
48	Miguel Angel Garcia	x		x		19-sep		x				La Cruz Chicaman	Encargado	Quiche	Uspantan	En busqueda de apoyo para sistema de riego
49	Roberto Gamarro M	x		x		19-sep		x				La Cruz Chicaman	Socio	Quiche	Uspantan	
50	Rosalina Alvarado de Gamarro		x	x		19-sep		x				La Cruz Chicaman	Socia	Quiche	Uspantan	
51	Agustin Barrios L.	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
52	Aurrom Perez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
53	Benildo Laporra	x		x		20-sep	x					La Pradera	Tesorero	San Marcos	Ixchiguán	
54	Donaldo Castañon	x		x		20-sep	x					La Pradera	Presidente	San Marcos	Ixchiguán	
55	Elru Amos Galvez J	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
56	Jeronimo Rodriguez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
57	Julio Rodriguez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	Recibio apoyo de la FAO, CARE en papa
58	Maximo Pérez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
59	Pedro Gomez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
60	Ruperto Velasquez	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
61	Sergio Perez	x		x		20-sep	x					La Pradera	Vice Presidente	San Marcos	Ixchiguán	
62	Wilfredo Laporra	x		x		20-sep	x					La Pradera	Socio	San Marcos	Ixchiguán	
63	Rafael Villatoro O.	x		x		17-sep		x				MAGA	Supervisor Departamental	Quetgo	Quetgo	
64	Carlos Aquino	x		x		17-sep	x					Mercy Corps	Gerente Desarrollo Rural	Quetgo	Quetgo	
65	Delfina Garcia Reyes		x	x		17-sep	x					Mercy Corps	Espcialista Genero	Quetgo	Quetgo	
66	Edgar Bethancourth	x		x		17-sep	x					Mercy Corps	Coordinator Monitoring and	Quetgo	Quetgo	
67	Elmer Santos Gonzáles	x		x		17-sep	x					Mercy Corps	Tecnico de Campo	Quetgo	Sacapulas	
68	Inés Tujab Lopez		x	x		17-sep	x					Mercy Corps	Especialista SAN	Quetgo	Quetgo	

EVALUATION OF USAID PROJECTS / ECONOMIC GROWTH PROJECTS EVALUATION

CUADRO DE INFORMANTES CLAVE / KEY INFORMANTS REGISTER

Prepared by John Chudy
Date visited: 17 to 20 Sept, 2012

No.	Name	Gender		Sector / Activity	Fecha (date)	TYPE OF ORG.				Organization (Name)	Position within the organization	Location		Notes & Comments
		M	F			IMARE	Tierras	Imp. Partner	Other Local			Community	Benef. Ind.	
69	Israel Cifuentes	x		x	17-sep	x				Mercy Corps	Director	Quetgo	Quetgo	Reunion de entrada
70	Jesus Montyo	x		x	17-sep	x				Mercy Corps	Técnico de Campo	Quetgo	Quetgo	
71	Osmar Ardiano	x		x	17-sep	x				Mercy Corps	Técnico de Campo	Quetgo	San Marcos	
72	Pedro Gomez	x		x	17-sep	x				Mercy Corps	Técnico Agrícola	Quetgo	Quetgo	
73	Ronald Balz	x		x	17-sep	x				Mercy Corps	Climate change specialist	Quetgo	Quetgo	
74	Selvin Maldonado	x		x	17-sep	x				Mercy Corps	Técnico Agrícola	Quetgo	San Marcos	
75	Peter Loach	x		x	05-oct	x				Mercy Corps	Director de Pais	Guatemala City	Guatemala	
76	Marco Segura G.	x		x	17-sep		x			MINECO	Delegado Regional	Quetgo	Quetgo	
77	Zacarias Aguilar	x		x	17-sep		x			Municipalidad de Concepción Ch.	Extensionista	Quetgo	Quetgo	
78	Alejandro DeLeon Lopez	x		x	18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
79	Antonio Mendoza Marquin	x		x	18-sep		x			Pichiquil	Tesorero	Quiche	Aguacatan	
80	Catarina Mendoza Mejia		x	x	18-sep		x			Pichiquil	Vocal I	Quiche	Aguacatan	
81	Francisco Raymundo Mendoza	x		x	18-sep		x			Pichiquil	Presidente	Quiche	Aguacatan	
82	Gaspar Mendoza Solís	x		x	18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
83	Marcelino Castro Ailon	x		x	18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
84	Marta García Mendoza		x	x	18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
85	Miguel Vicente Paan	x			18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
86	Samuel Castro Ailon	x		x	18-sep		x			Pichiquil	Secretario	Quiche	Aguacatan	
87	Victor Raymundo Cruz	x		x	18-sep		x			Pichiquil	Socio	Quiche	Aguacatan	
88	Ana Salueta Exguile		x	x	17-sep		x			Sesan, S.M.	Delegada Departmental	San Marcos	San Marcos	

Annex D: Statement of Any Unresolved Differences of Opinion

There were no unresolved differences of opinion concerning this evaluation report.

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