

終了時評価結果要約表（英文）

1. Outline of the Project		
Country: Republic of Guatemala		Project Title: Project for the Capacity Development of the Local Governments
Sector: Governance/Local Governance		Aid Scheme: Technical Cooperation Project
Department in Charge: Industrial Development and Public Policy Department, Governance Group		Cooperation Amount: 224 million yen
Cooperation duration	RD: December 17, 2012 March 2013 to September 2016 (3 years and 6 months)	Counterpart Organizations: Secretary of Planning and Programming of the Presidency (SEGEPLAN)
		Relevant Japanese Organizations: None
		Relevant Assistances: Country Specific Training Course “Capacity Development for Guatemalan Public Policy Planning” (2005-2007), Project on Strengthening of Local Capacity in Support for the Planning Process with Emphasis on Poverty Reduction in Guatemala (2010-2012)
<p>1-1 Background and the Outline of the Project</p> <p>In Guatemala, more than half of the population still lives in poverty and the majority of them live in rural areas, and the government has worked on the reduction of poverty. The central government has transferred resources to the municipalities for implementation of development projects under decentralization and system of development councils. However, the municipal governments have the limited capacity to fully make use of the resources and given roles. JICA implemented the Country Specific Training Course “Capacity Development for Guatemalan Public Policy Planning” (2005-2007) and dispatched individual expert (2010-2012) to support eight municipalities in three departments (San Marcos, Huehuetenango and Quiche). Based on the outputs of these projects and for further strengthening the capacity of the municipal governments in project planning, budgeting, implementation, monitoring and evaluation, technical cooperation was requested from SEGEPLAN.</p> <p>1-2 Contents of Cooperation</p> <p>(1) Overall Goal</p> <p>Condition of the life of the citizens in the pilot municipalities is improved.</p> <p>(2) Project Purpose</p> <p>Planning, budgeting, implementation, monitoring and evaluation for the social development projects by municipal governments of the pilot municipalities are improved.</p> <p>(3) Outputs</p> <ol style="list-style-type: none"> 1. The management framework of social development projects by municipalities with Life Improvement Approach is institutionalized. 2. Based on the capacity assessment and responsibilities of pilot municipalities, the methodologies of the 		

project cycle management for social development project are formulated.

3. The knowledge of mayors, municipal council members and municipal officers on the management for social development projects is improved.
4. Capacity of mayors, municipal council members and municipal officers in the pilot municipalities is improved to conduct the project management for social development with Life Improvement Approach.
5. Understanding of the approaches used in the social development projects by municipalities is improved in pilot municipalities.
6. Mechanism to share good practices and experiences in the Project among pilot municipalities and with other municipalities is established and implemented.

(4) Inputs (As of the Terminal Evaluation)

Japanese side: Long-term experts (4), training in Japan (29), training in the third country (25), equipment (PC, office equipment, etc.), local operation expenses.

Guatemalan side: Counterpart personnel, equipment (office equipment, etc.) operation expenses.

2. Evaluation Team

Members of the Evaluation Team (Japanese side)	Leader: Dr. Nobuhisa Takeda (Senior Advisor in Participatory Development/ Development Administration, JICA) Evaluation Planning: Mr. Yoichiro Kimata (Acting Director, Public Governance and Financial Management Division, Governance Group, Industrial Development and Public Policy Department, JICA) Evaluation Analysis: Ms. Junko Noguchi (Senior Researcher, Foundation for Advanced Studies on International Development) Interpreter: Ms. Kayoko Watanabe (Technostaff Co. Ltd.)	
Period of Evaluation	May 15 to May 28, 2016	Type of Evaluation Terminal Evaluation

3. Results of Evaluation

3-1 Project Performance

3-1-1 Achievement of the Project Purpose (Partially achieved)

The number of the Life Improvement projects incorporated in POA (Annual Operational Plan) has increased as a result of the previous administration's efforts, but in the municipalities where there as administrative change, the new municipal governments' capacity for project management has not been fully strengthened yet as pointed out in 3-1-2 (3).

Indicator	<ol style="list-style-type: none"> 1. In the municipal budget of 2016, compared with the previous year, greater number of projects with Life Improvement Approach which have been formulated according to the process and procedure of guidelines prepared by the project are included. 2. By the end of the project, more than 80% of the members of COCODE (Community Development Council) of communities that have implemented social development projects with Life Improvement Approach affirm the improvement of their project management.
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Achievement	<ol style="list-style-type: none"> 1. In the municipal budget of 2016, 12 projects with the Life Improvement Approach were incorporated in POA as municipal projects. In 2015, the number of the municipal social development projects was 11. 2. According to Cocode members of a pilot community visited during the field survey, they have gained new knowledge on Life Improvement Approach with the extension worker's regular visit and come to develop projects with locally available resources. But information from other Cocode was not available. That is why it is not accountable whether more than 80% of the members of Cocode affirm the improvement of their project management or not.
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3-1-2 Achievement of the Outputs

(1) Output 1 (Mostly achieved)

Responsibilities of SEGEPLAN have been made clear for supporting the municipalities' project management for social development. More than half of the municipal governments have implemented social development projects with support from external institutions as a result of inter-institutional coordination.

Indicator	<ol style="list-style-type: none"> 1.1 By the end of the project, a document that defines the responsibilities and functions of Segeplán in terms of facilitation of social development projects with Life Improvement Approach to be implemented at the municipal level is prepared. 1.2 Each municipality has an official document that defines mechanisms for inter-institutional coordination. 1.3 The technical support from partner institutions to municipal projects with Life Improvement Approach is increased.
Achievement	<ol style="list-style-type: none"> 1.1 "Exit Strategy of the Project for Development of the Capacities of Local Governments in the Republic of Guatemala, Prodeca GL" indicates expected roles of SEGEPLAN for facilitating the municipalities to manage social development projects with the Life Improvement Approach. 1.2 The internal regulation that defines inter-institutional coordination was developed in five municipalities. In other municipalities, any official document has not been prepared yet, but the mechanism of inter-institutional coordination has been functioning. 1.3 Community projects in six municipalities have received technical support from government institutions, NGOs, international organization, etc.

(2) Output 2 (Mostly achieved)

Necessary materials on project management for social development, extension work and document management have been almost completed.

Indicator	<p>2.1 By the end of the project, the guidebooks and support materials on the project management methodology with Life Improvement Approach directed to Mayor, municipal council members and technicians are available.</p> <p>2.2 By the end of the project, the manuals and support materials for municipal extension workers on the project management methodology with Life Improvement Approach available.</p> <p>2.3 All related instruction regarding document management, addressed to Mayor, municipal council members and technicians.</p>
Achievement	<p>2.1 The second revision of the “Guidebook on Social Development Projects with the Life Improvement Approach” was completed in March 2016. “Inter-institutional Coordination Meeting Cases” was elaborated in January 2016.</p> <p>2.2 The following materials have been elaborated: “Presentation materials for the Workshop for the Extension Workers,” “Facilitator’s Guide,” “Home-visit sheet” and Draft of “Extension Worker’s Manual”</p> <p>2.3 “Guidebook for Document Management” was developed and distributed to SEGEPLAN and the all of the pilot municipalities.</p>

(3) Output 3 (Partially achieved)

Training and workshops for the municipal management and officers have been implemented as planned. Extension workers understood more than planned. However, after the elections in 2015, half of the personnel have been new and the knowledge accumulated before the administrative change may have disappeared.

Indicator	<p>3.1 By the end of the project, 80% of trainings programmed in the pilot municipalities directed to the municipal council members, municipal officers are conducted.</p> <p>3.2 By the end of the project, more than 90% of the invited people participate in the training course held in each pilot municipality.</p> <p>3.3 More than 80% of the participants of the training courses pass the comprehension test.</p> <p>3.4 By the end of the project, institutions and the contents of the training course which are sustainable and accessible to the pilot municipalities are determined.</p>
Achievement	<p>3.1 Among the planned 12 training course for the municipal management and officers including planning section personnel and extension workers, 11 courses were conducted (implementation rate: 91%)</p> <p>3.2 The participation rates of the training in the country, Japan and the third country were 109%, 79% and 100%, respectively.</p> <p>3.3 In IX Workshop (November 2015), 92% of the participants passed the comprehension test.</p> <p>3.4 Da Vinci University is considered as a possible training provider of the diploma course on the Life Improvement Approach.</p>

(4) Output 4 (Mostly achieved)

Municipal projects with the Life Improvement Approach have been implemented in accordance with “Guidebook on Social Development Projects with the Life Improvement Approach.” Regarding document management, only one of the five surveyed mayors received necessary documents on the Project from the antecessor. Any assessment on document management has not been conducted.

Indicator	4.1 75% of social development projects formulated with Life Improvement Approach in the pilot municipalities are handled in accordance with the methodological guidebook referred in the Output. 4.2 At least 16 life improvement groups plan, implement, monitor and evaluate the activities jointly. 4.3 By the end of the project, in all the pilot municipalities, document management are applied and its assessment result of the municipalities ascends more than one level according to the document management assessment.
Achievement	4.1 23 municipal projects with the Life Improvement Approach in 2015 and 2016 have been implemented in accordance with the developed guidebook. 4.2 38 groups have been working as life improvement groups. 31 groups started the Life Improvement activities and 15 groups completed the project cycle. There are 19 Life Improvement activities. 4.3 Any assessment on document management has not been conducted.

(5) Output 5 (Partially achieved)

The following positive result was reported, but the total number of the interested communities was not available.

Indicator	5.1 At least 16 new communities show interest in adopting the Life Improvement Approach in the pilot municipalities.
Achievement	5.1 Nine out of the 14 non-pilot communities which received explanation about the life improvement approach in one municipality showed interest for the approach. The Life Improvement Approach was presented in Comude (Municipal Development Council) of six municipalities, and in one municipality, two communities showed interest in the approach.

(6) Output 6 (Mostly achieved)

Methodologies and contents for sharing good practices in management of social development projects in the pilot municipalities with other municipalities have been mostly established, although the events have not been conducted in all of the departments and municipalities yet.

Indicator	<p>6.1 Incorporate 3 good practices in the contents of the guidebook and manual on Life Improvement Approach.</p> <p>6.2 By the end of the project, an event by a municipality and the other event for a department are carried out to socialize good practices of the pilot municipalities.</p> <p>6.3 At least 9 new municipalities show interest in adopting the Life Improvement Approach in 3 pilot departments.</p> <p>6.4 The guidebooks and support materials which are improved based on the experiences of the pilot municipalities are utilized in the training of new municipal council members and municipal officers after the possible change of local government in 2016.</p> <p>6.5 In the transition period of government, 80% of the new municipal authorities receive documents related to the Life Improvement Approach from the outgoing authorities.</p>
Achievement	<p>6.1 28 good practices have been incorporated in the guidebook and other materials developed by the Project.</p> <p>6.2 Nine events have been conducted in total at the municipal level. Eleven events have been conducted in total at the department level.</p> <p>6.3 28 municipalities have shown interest in applying the Life Improvement Approach in total.</p> <p>6.4 Copies of the guidebook were distributed to the participants of UTD (Department Technical Unit) and CODEDE (Department Development Council) in the departments where the municipal mayor was changed in the pilot communities.</p> <p>6.5 The extension workers prepared materials of the Life Improvement activities in the pilot communities.</p>

3-2 Summary of Evaluation Results

(1) Relevance (Very high)

The objectives of the Project are relevant with the National Development Plan “K’atun Nuestra Guatemala 2032” (2014) which focuses on integrated rural development and local territorial development among others and describes application of the Life Improvement Approach. With regard to the development needs, capacity development of the municipal governments for managing social development projects have been greatly needed, since most of the investment was for infrastructure development and no projects which could directly benefit the community people were included. The Project objectives have been also in line with the Country Assistance Policy for Guatemala (2013). The Project approach has been appropriate in terms of application of the Life Improvement Approach in which Japan has much experience and selection of the target group (municipal governments as service providers with delegated responsibilities and allocated budget from the central government).

(2) Effectiveness (Fair)

As mentioned in earlier, the Project Purpose has been partially achieved. It is difficult to assure that their management capacity is improved in the five municipalities where there was administrative change. The Outputs have been partially produced, and especially four Outputs (Output 1, 2, 3 and 4) have

definitely contributed to the achievement of the Project Purpose. Concretely, the municipal governments have improved project management with orientation from SEGEPLAN and technical support from other institutions, in accordance with the guideline and manual developed by the Project. Through pilot activities, the municipal governments strengthened project management including facilitation of the community development activities. On the other hand, it was not demonstrated how directly document management has contributed to capacity development of the municipal governments on project management.

(3) Efficiency (Fair)

Most Outputs have been achieved as expected with appropriate use of the inputs from both Japanese and Guatemalan sides, but the inputs related to the local consultants and extension workers were not fully converted to the Outputs. At the beginning of the Project, six local consultants were contracted. They were expected to work as the Project team members and participated in the training course in Japan and Mexico. However, five of them have not continued working for the Project, due to some contract-related issues. This caused delay and cancellation of some activities related to training and document management. Also, most of the extension workers have been contracted officers and have other duties of the municipal government than the extension services.

(4) Impact (Expected)

Regarding the Overall Goal, several positive changes have been already reported from the pilot municipalities. If the existing groups are continuously supported by the extension workers and the experience are shared with other communities and municipalities, more changes will be generated in more municipalities in the three departments. Another positive impact has been produced. The Life Improvement Approach has been introduced in the national development plan (National Development Plan “K’atun Nuestra Guatemala 2032”) approved in 2014, due to the efforts of SEGEPLAN personnel who participated in the training in Japan.

No negative impact has been reported.

(5) Sustainability (Fair)

Rural development with the Life Improvement Approach through the municipal government’s management will continue to one of the Guatemalan government’s priorities. Extension workers have been trained successfully, and most pilot municipalities have incorporated some Life Improvement activities in POA. As the extension workers are key actors for the success of Life Improvement activities, a few concerns remain regarding securing sufficient number of the extension workers and expanding the experience to other municipalities and communities.

3-3 Factors contributing to project progress/effects

(1) Factors related to the Project Implementation Process

- Achievement of the Project Purpose has been realized also with technical support from the Headquarters and Department Delegations of SEGEPLAN, especially their orientation on preparation of the municipal annual plan of the following year.

3-4 Factors inhibiting project progress/effects

(1) Factors related to the Project Planning

- From SEGEPLAN it has not assigned full-time personnel in the Project team, since it is not a program implementation agency. JICA experts do not have counterpart personnel to transfer their knowledge and skills on management of social development projects and Life Improvement Approach. They directly trained the municipal management and officers and had to find an external institution to transfer the training know-how.

(2) Factors related to the Project Implementation Process

- Unstable public security hindered achievement of the Outputs to some extent. Since there have been boundary disputes in a municipality, JICA experts have not been permitted to visit the municipalities according to the regulations of JICA Guatemala. Without direct observation of the pilot municipality and community, progress or issues have not been captured correctly and timely.
- Natural disasters such as landslide, falling rock and earthquake inhibited the Project activities. Because of the blocked roads, extension workers could not visit the pilot communities.

3-5 Conclusion

Aiming at improving management of the social development projects with the Life Improvement Approach, the Project has successfully prepared necessary guidebooks and manuals and trained the municipal management and officers on management of social development projects and Life Improvement Approach. By facilitation of the trained extension workers, Life Improvement projects have been incorporated in POA. Such activities are actually generating positive changes to the beneficiary communities. One concern from the Terminal Evaluation is continuous capacity development especially for the new municipal management and officers including extension workers, so that extension workers would continue working with the communities and that Life Improvement would be incorporated into municipal development projects.

3-6 Recommendations

Based on the conclusion of results mentioned above, the Team recommends that the Project be terminated as scheduled while the Project should provide the maximum efforts for enhancing the capacity of newly joined management and officers in the pilot municipalities on the management of social development projects with the Life Improvement Approach as well as Department Delegates of Segeplán for supporting the municipalities.

The Team provides the following recommendations to be realized after the completion of the Project as follows:

(1) Promotion of social development projects with Life Improvement Approach

As observed in “3-1-1 Relevance with the Guatemala Development Policies,” the Life Improvement Approach is mentioned as one of the effective means for integrated rural development in the National Development Plan “K’atun Nuestra Guatemala 2032”. Therefore, it is high time for Segeplán to promote “Guidebook on Social Development Projects with the Life Improvement Approach” broadly to municipalities for enforcing the National Development Plan. Moreover, it is also beneficial to provide the training information on Life Improvement Approach for extension workers to the municipalities, which

helps them taking the first step to plan and implement social development projects responding to community needs.

(2) Promoting sustainable mechanism to share good practices and experiences among municipalities

As referred to in “2-2-6 (Achievement of) Output 6”, 36 municipalities have shown interest in applying Life Improvement Approach in Huehuetenango and San Marcos. It is the result of generating good practices in pilot municipalities and holding the opportunities to share them extensively. Diffusion of Life Improvement Approach mentioned in the National Development Plan deeply depends on how to maintain and enhance their interests even after the Project completion. Especially, it is highly expected that Code de provide the sustainable mechanism for promoting good practices and experiences to be shared among mayors. In addition, DMP network would also be effective for sharing good practices and experiences on planning social development projects with Life Improvement Approach. That is why the function of Department Delegations of Segeplán is indispensable to coordinate Code de meeting.

(3) Utilizing the network of ex-participants of training in Japan for promoting Life Improvement Approach

As recommended at the mid-term review, Segeplán is required to mobilize ex-participants of training in Japan as training providers for extension workers to facilitate social development projects with Life Improvement Approach. Not a few members who understand and commit Life Improvement Approach exist in Association of ex-participants in Japan (Asociaciones de ex-becarios de Japón: AGUABEJA) and Network for Participatory Rural Development of Central America, Caribbean States and Mexico (Red Centroamérica, Caribe y México de Desarrollo Rural Participativo: REDCAM). Full mobilization of their skills and experiences must promote Life Improvement Approach in each municipality. It is expected that Segeplán positively utilize those networks in their initiating meetings among Department Delegates of Segeplán, mayors and DMP.

3-7 Lessons Learnt

The following lessons learnt were drawn based on the terminal evaluation survey.

- The project design needs to be considered carefully based on the counterpart agency’s responsibilities and commitment.
- When the project is designed with use of the local resources, it is important to consider to what extent they are utilized and how they will be utilized after the project completion.
- In the countries where the administration is probably changed after the elections, it is important to design a project in which the planning and budgeting period is covered the new administration.
- It is important to select pilot communities and promote Life Improvement activities based on the existing system of autonomy.