

FINAL PERFORMANCE EVALUATION OF THE USAID REGIONAL CLIMATE CHANGE PROGRAM (RCCP) 2017



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Cover: Women in Rocjá Pomptila in a focus group discussion, Alta Verapaz, Guatemala, May 24, 2017. Credit: Carolina Dreikorn

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DISCLAIMER

The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

ABSTRACT

The final performance evaluation of the USAID Regional Climate Change Program (RCCP) in the Central American region evaluated: 1) the most significant intended and unintended results achieved by RCCP; 2) the extent to which the results are aligned with national and regional climate change strategies, needs, and priorities in Central America; 3) the extent to which the RCCP has built local capacity in the region to address climate change issues; and 4) the approaches and results that have the potential to exist after USAID funding ends. The evaluation was predominantly qualitative and focused on processes that have led to changes in attitudes and empowerment, and the Program's role in these processes. A total of 118 individuals from Costa Rica, El Salvador, Guatemala, Honduras, and Panama were interviewed (36 percent were women). The evaluation found that RCCP has developed practical methodologies and tools to help different countries move forward on customized "Reducing Emissions from Deforestation, Forest Degradation, Conservation and Sustainable Management" issues (REDD+). The Program learned how to develop national agendas following a common methodology that included consultation, free and informed prior consultation, and social and environmental safeguards aligned with commitments and international agreements, including economic development options to benefit women, indigenous, and forest-dependent communities. There were numerous activities conducive to building local capacity. Knowledge and skills were transferred from end-users to planners in central government offices. Centro Clima was created as a regional private-public partnership to provide specialized meteorological services and inputs needed to craft tools to help stakeholders in different sectors decrease their vulnerability associated with climate change. Thus, Centro Clima is a regional asset. Coffee Cloud and Clima Pesca are two apps praised by the end users, but their sustainability depends on suitable inter-institutional arrangements.

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ACRONYMS and ABBREVIATIONS

ANACAFE	National Coffee Association of Guatemala
AOR	Agreement Officer's Representative
App(s)	Application(s)
ASER	Salvadoran Association for Renewable Energies
CAM	Central America and Mexico
CAFI	Custom CAFTA-DR Indicator
CAFTA-DR	Dominican Republic-Central America Free Trade Agreement
CARE	Cooperative for Assistance and Relief Everywhere
CATIE	Tropical Agricultural Research and Higher Education Center
CCAD	Central American Commission for Environment and Development
CDCS	Country Development Cooperation Strategy
CEN	U.S. Government Strategy for Engagement in Central America
CEPREDENAC	Coordination Center for the Prevention of Disasters in Central America
CI	Custom Indicator
CNGG	Climate, Nature, and Communities in Guatemala
CONAP	National Council for Protected Areas, Guatemala
COP	Conference of the Parties
CRRH	Regional Committee for Hydraulic Resources
DAI	Development Alternatives International
DEC	Development Experience Clearinghouse
DO	Development Objective
DQA	Data Quality Assessment
EIA	Environmental Impact Assessment
EPA	Environmental Protection Agency (U.S.)
ER-PD	Emission Reduction Project Development
ER-PIN	Emission Reduction Project
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FGD	Focus Group Discussion
FPIC	Free, Prior, and Informed Consent
FUNDAECO	Foundation for Eco Development and Conservation, Guatemala
FUNDALACHUA	Lake Lachuá Foundation, Guatemala
GHE	Green House Effect
GIZ	German Corporation for International Cooperation
ICAFE	Costa Rican Coffee Institute
INAB	National Forest Institute, Guatemala
INSIVUMEH	National Institute of Seismology, Meteorology, and Hydrology, Guatemala
IP	Implementing Partner
IUCN	International Union for the Conservation of Nature
LOE	Level of Effort
LOP	Life of Project
MAGA	Ministry of Agriculture, Livestock, and Food, Guatemala
MAPSP	Environment and Production Platform of Sico-Paulaya

MARENA	Ministry of Environment and Natural Resources, Nicaragua
MARN-GT	Ministry of Environment and Natural Resources, Guatemala (Ambiente in Spanish)
MARN-ES	Ministry of Environment and Natural Resources, El Salvador (Medio Ambiente in Spanish)
MAS	Mitigation and adaptation synergy
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation, and Learning (Plan)
MiAmbiente	Ministry of Energy, Natural Resources, and Mining, Honduras
MRV	Monitoring, Reporting, and Verification
NASA	National Aeronautics and Space Administration
NGO	Non-Governmental Organization
NOAA	National Oceanic and Atmospheric Administration
NRM	Natural Resource Management
OSPESCA	Organization of the Fisheries and Aquaculture Sector of the Central American Isthmus
PCPF	Forest Carbon Partnership Facility
PERFOR	Regional Strategic Program for Forest Ecosystem Management
PINPEP	Incentive Program for Small Forestland Owners
PITT	Performance Indicator Tracking Table
PMEP	Performance Monitoring and Evaluation Plan
PPP	Public Private Partnership
PROBOSQUE	Law for Promoting the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala
RAAN	North Atlantic Autonomous Region, Nicaragua
RCCP	USAID Regional Climate Change Program
RDCS	Regional Development Cooperation Strategy
REDD+	Reducing Emissions from Deforestation, Forest Degradation, Conservation, and Sustainable Management
ROAM	Restoration Opportunities Assessment Methodology
SI	Standard Indicator
SICA	General Secretariat of the Central American Integration System
SINAC	National Conservation Areas System
SIS	Safeguards Information System
SL	Sustainable Landscape
SOW	Statement of Work
TERRA	Terra Global Capital
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNREDD	United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation
USAID	U.S. Agency for International Development
USGS	U.S. Geological Survey
WB	The World Bank

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The Evaluation Team commends the community members and leaders of the rural communities that we visited in Lachuá, Alta Verapaz, and Cerro San Gil, Izabal, in Guatemala, as well as members of the Sico-Paulaya community in Honduras, for their insights and candid comments. It was refreshing to see how these communities have taken on the challenges of climate change. The Evaluation Team would like to recognize the information received from national environmental authorities and staff members of public institutions, as well as individuals from private organizations interviewed in Costa Rica, El Salvador, Guatemala, and Honduras. Their understanding of this far-reaching regional program and their perceptions as national implementers allowed the Team to realize the importance of their role both as clients and monitors of international cooperation.

Information provided by the regional and international organizations we visited was also extremely important. Their work, aimed at increasing collaboration within the Central American Region, enriched our thoughts and data processing responsibilities. Contributions from USAID Missions and Officials were key and critical to this evaluation. Their knowledge of historical events and their perspective on the Program's contributions to local, national, and regional development goals laid the ground work for our investigations.

The Evaluation Team gives special thanks to Program staff, the Prime (CATIE), and implementing partners: CARE, DAI, IUCN, and TERRA. Their understanding and the transparency with which they transmitted their knowledge was indispensable to our work. Their help with the complicated logistics of this mission is also noted and much appreciated. The administrative and logistical support from Mendez England & Associates is deeply valued. Meetings, interviews, and travel plans were handled in a timely manner. All remaining errors, omissions, or misinterpretations are the sole responsibility of the authors.

EXECUTIVE SUMMARY

EVALUATION PURPOSE

This report serves as the final performance evaluation of the USAID Regional Climate Change Program (RCCP) in the Central American region, funded by the United States Agency for International Development (USAID) Mission in El Salvador and implemented by the Tropical Agricultural Research and Higher Education Center (CATIE, by its acronym in Spanish) during the evaluation period of April 2013 – December 2016. The purpose of the RCCP evaluation is to inform USAID of the activity's achievements and challenges to date so that it may make any necessary changes for the remainder of program implementation and plan appropriately for future environmental work in the region. The evaluation will also serve to provide empirical evidence on management issues that will support learning and continuous improvement in USAID's regional environmental work both for this activity and for future endeavors. Findings, conclusions, and recommendations will be used by USAID to make any necessary adjustments for the remainder of RCCP implementation, as well as determine areas and approaches for future regional environmental activities based on Mission goals and expected results.

PROJECT BACKGROUND

The RCCP is implementing three components: Sustainable Landscapes (REDD+)¹, Adaptation, and Environmental Management under the Dominican Republic-Central America Free Trade Agreement (CAFTA-DR). The last component was included in the project as of mid-2015. The first two components contribute to USAID/CAM's Development Objective 2:² "Economic Freedom: Regional climate-smart economic growth enhanced," which considers that climate change impacts affect the Central American region as a whole³. The third component will help countries achieve environmental goals related to free trade between the United States (U.S.) and Central America and the Dominican Republic, to protect and preserve the environment while promoting inclusive growth.

EVALUATION QUESTIONS

Four evaluation questions, identified by USAID, were used during the data collection process:

1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP?
 - 1.1 What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?
2. To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?
3. To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?
4. What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

¹ Reduction of emissions due to deforestation and degradation of forests, conservation, and sustainable management.

² USAID. Cooperative Agreement No. AID-596-A-13-00002, p. 25.

³ Central America and Mexico (CAM) Regional Development Cooperation Strategy 2015-2019

EVALUATION DESIGN AND LIMITATIONS

The approach followed in this evaluation was predominantly qualitative and focused on processes that have led to changes in attitudes and empowerment, and the Program's⁴ role in these processes. Quantitative indicators were used only as a reference to illustrate the differences in explaining processes, rather than for use in assessing numerical milestones. Informants from the different groups of stakeholders were interviewed using semi-structured questionnaires. The sample population of stakeholders (118) provided a small but diverse representation, wherein 36 percent of interviewees were female.

FINDINGS AND CONCLUSIONS

Evaluation Question 1: Impact

Findings

- RCCP developed common definitions, practical methodologies, and tools to help different countries move forward on customized REDD+ issues.
- Interviewees stated that the Restoration Opportunities Assessment Methodology (ROAM) tool developed by RCCP-IUCN⁵ has opened windows for discussion at the ministerial level, and not only on landscapes, but also on water, agriculture, and tourism. Mitigation and adaptation synergy (MAS) is another tool that was developed that could be applied to determine previous impacts and future interventions through the use of data. The tool is promising but has yet to be finalized.
- The government staff in Honduras was not made aware of the miscommunication between CATIE and the Environment and Production Platform of Sico-Paulaya (MAPSP) in Honduras, regarding CATIE's exit in September, 2017. Informants interviewed by the Team in June, 2017 complained about the lack of proper response to their questions regarding CATIE's exit from the priority territory (in October, 2016) that used more than \$570,000 since 2013. The exit plan had not been socialized with the end users.
- RCCP has facilitated the implementation of seven Regional Climate Fora that allowed the Meteorological Services, the Regional Committee for Hydraulic Resources (CRRH) Secretariat, and other productive sectors to strengthen their relationship, exchange important data, and consolidate regional climate information.
- Centro Clima (clearinghouse) was originally conceived as having a smaller scope than what is actually being developed throughout the Program, but the result is of such magnitude that Centro Clima has been qualified as "the best bet."
- RCCP has created two applications (apps): Clima Pesca and Coffee Cloud. Coffee Cloud has been launched while Clima Pesca is expected to be launched in July 2017. Interviewees stated that both Coffee Cloud and Clima Pesca should be continued while also exploring the opportunity to create new applications for other productive sectors (e.g., sugar cane and pineapple).
- The agenda of the Environmental Management component of CAFTA-DR has strengthened the Central American Commission for Environment and Development's (CCAD) environmental agenda. Environmental knowledge has been fostered and shared among countries belonging to the General Secretariat of the Central American Integration System

⁴ Henceforth, Program and RCCP are used interchangeably.

⁵ International Union for the Conservation of Nature

(SICA), and the appropriation of technology and protocols depends on the needs of the countries. The staff for this component is well-recognized by USAID staff and amongst the governmental interviewees.

Conclusions

- Central American countries are now more active and have made progress in REDD+ as compared to four years ago; they expect to finalize their REDD+ National Strategies by 2018. RCCP has supported SICA countries but it remains to be seen whether they can mobilize funds and meet their pledge to the Bonn Challenge.
- ROAM is an important tool that is being successfully applied in Honduras, Guatemala, and El Salvador as of the end of 2016. MAS is another important tool, though it is yet to be finalized.
- The RCCP exit strategy from Sico-Paulaya was not made clear to the community members. The otherwise positive impact of this effort has been tinged with disappointment due to this breakdown in communication.
- CRRH has successfully compiled and managed climate data and information. Centro Clima hosts data not only from CRRH but also from the National Aeronautics and Space Administration (NASA), IUCN, and CATIE, amongst others, and has developed a dynamic tool to enhance knowledge and its applications with end users. Centro Clima supports both Clima Pesca and Coffee Cloud, providing climate data gathered from meteorological and sectoral organizations in the region.
- The Environmental Management component (under CAFTA-DR) has helped to revitalize CCAD as a leader with regional impact, even though it does not operate in any of the areas where the Sustainable Landscapes or Adaptation components operate.

Evaluation Question 2: Alignment

Findings

- At the beginning of the Program, REDD+ was not a well understood task, but it was a priority for RCCP to align REDD+ closely with the policies of those countries in order to reduce deforestation and vulnerability, and create employment by using the REDD+ development pathways following national environmental laws and work plans.
- The regional environmental agenda was established and approved at CCAD and by definition is aligned. Regional alignment is more difficult because national interests tend to dominate.
- Key informants agreed that CCAD requires strengthening to implement its regional mandate effectively, and RCCP has worked closely with individual countries to develop and implement agendas that are aligned regionally.
- Gender equity actions were mainly applied by UICN and CARE⁶, who have their own internal gender policies. Even though there are 11 items in the RCCP Gender Action Plan (CATIE, 2013, p. 90), the Team is not aware of any formal comprehensive reporting on the Program's achievements. Findings from the field showed that women have participated as implementers or trainees in various activities. However, the majority of eight women interviewed with the help of translators in the communities surrounding Lake Lachuá, Alta

⁶ Cooperative for Assistance and Relief Everywhere

Verapaz, Guatemala, were extremely shy in discussing issues relevant to their personal and community development, very possibly because the Team was a group of strangers. Most of the individuals leading and describing economic activities in the area were men. In Cerro San Gil, Izabal, Guatemala only one woman was interviewed by a member of the Team, and only two women from the MAPSP, Sico-Paulaya, Honduras (out of ten interviewees) participated in interviews and group discussions.

- Centro Clima was created as a regional data information platform to provide specialized meteorological services and the inputs needed to craft tools to help stakeholders in different sectors diminish their vulnerability associated with climate change.

Conclusions

- The Program learned how to develop national agendas following a common methodology that included consultation; free, prior, and informed consent (FPIC); and social and environmental safeguards aligned with commitments and international agreements, including economic development options to benefit women, indigenous, and forest dependent communities.
- The Team acknowledges that the number of female interviewees is less than desirable. However, it is difficult to imagine women in Lachuá (or in other sites visited) being assertive or taking leadership in meetings in the presence of men. While both men and women seem to be sensitized to participate in consultations and FPIC, and some women make a point to be included, the Team perceived that there is still a long way to go to achieve equitable and just distribution of responsibilities and benefits in the rural households.

Evaluation Question 3: Local Capacity

Findings

- There were numerous activities that facilitated the transfer of knowledge and skills to stakeholders at different levels. However, other than the general learning goals for these events expressed in training plans, the Team did not find information regarding how learning is measured.
- Interviews with producers in Honduras and Guatemala revealed their need for knowledge on basic skills in managerial economics in order to be competitive.
- As a result of capacity building efforts, RCCP has contributed to strengthening CRRH and Centro Clima, which is now producing information required by the coffee and fishery sectors; end users commented that they are pleased with the products. RCCP supported eight Climate Fora and has directly supported seven MS students in meteorology who will be reincorporated into meteorological institutions associated with CRRH.
- Technical environment staff working in the different brown areas under the CAFTA-DR component constitute an established group of environmental experts that have been mentored since 2005. However, none of the activities carried out under this component had any interaction with the work undertaken in the other components of the Program.

Conclusions

- RCCP was successful in building the land restoration skills of local staff in Honduras, Guatemala, and El Salvador. MARN in El Salvador is a good example. On their own initiative, the staff there expanded the use of 12 land transitions to 49.

- A good investment for RCCP has been its interaction with the coffee sector in Guatemala and Honduras; during 2015 and 2016, training manuals were developed and training events on coffee and climate change took place. CLIMA PESCA is a tool that offers a sophisticated set of real-time variables that are useful for navigation and fishing for the traditional fishing sector, available through smart phones. The tool can be used to introduce critical thinking through training on the basic principles of managerial economics.
- Activities under the CAFTA-DR component do not have any interaction with the other two Program components; thus, possible synergies in capacity development between the Program components have yet to be realized.

Evaluation Question 4. Sustainability

Findings

- RCCP has played a key role in strengthening capacities and providing technical advice, tools and methodologies. Most of the countries in Central America were not ready for REDD+ when the RCCP began, but they are now working toward this end.
- The Guatemalan Restoration Strategy is linked to REDD+ government incentive programs such as PINPEP and PROBOSQUES⁷, forest concessions, and others. In El Salvador, the REDD+ strategy has the Restoration Program as the backbone of the Mitigation-based Adaptation Strategy.
- The Team found that the majority of land stewards, water users, agriculturalists, livestock producers, beekeepers, and artisans do not have the skills necessary to successfully produce in order to compete with imports, or the skills to achieve cost-efficient export quality. There is a very high dependence on advisers, and the seed for independent thinking has yet to germinate.
- CRRH and its members (Meteorological Services of Central America) have endorsed Centro Clima and have accepted responsibility for administration of this platform. There is evidence of the use of climatological data at the regional level now that the apps for Coffee and Fisheries are ready, but sustainability depends on suitable inter-institutional arrangements as well as follow-up on app performance, acceptance, and evolution. Centro Clima is the second PPP created by RCCP (after FUNDAECO, Izabal, Guatemala in 2016). Even though Centro Clima is still technically being developed, and the hiring of its core management team is pending, it was born in the region, for the region, and it constitutes an asset for CCAD. Centro Clima was designed to unfold new areas of knowledge and applications.
- RCCP and CRRH have prepared a nine year, three stage Business Plan for Centro Clima that will be used to follow a pathway towards high-level regional goals and the sustainability of Centro Clima.
- The Environmental Management component of the Program has helped with equipment, expertise, and laboratories to adopt quality standards, and has encouraged certification as a vital element for financial sustainability.

⁷ Incentive Program for Small Forestland Owners (PINPEP) and Law for Promoting the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUES).

Conclusions

- The engagement of all types of stakeholders in the Safeguard Committees is necessary in order to mitigate the risk of the social and environmental impacts posed by the risks associated with climate change. In some cases, the benefits for different sectors of saving the forest had more power to spark change in attitudes than conventional economic incentives in REDD+.
- There has been weak empowerment of local communities to address day-to-day and strategic planning by using evidence on the status of their natural resources and the market environment to determine whether some interventions or innovations are economically viable. The communities are still very dependent on the advice provided by experts.
- It is likely that the CAFTA-DR component will continue to share expertise even in the absence of USAID's support. In the opinion of MiAmbiente and USAID Honduras, the labs could be sustainable if they manage to get certification for standards sometime in 2017.

I. EVALUATION PURPOSE AND EVALUATION QUESTIONS

I.1 EVALUATION PURPOSE

The purpose of the final performance evaluation of the Regional Climate Change Program (RCCP) is to inform USAID of the activity's achievements and challenges to date in order to make any necessary changes for the remainder of program implementation, and plan appropriately for future environmental work in the region. In addition, the evaluation will serve to provide empirical evidence on management issues that will support learning and continuous improvement in USAID's regional environmental work through this activity and future endeavors.

The principal audience for this evaluation will be USAID, particularly the Economic Growth Office, the Regional Program Office, the Environment Management of the Central America and Mexico (CAM) Mission, the USAID Bureau for Economic Growth, Education and Environment's Office of Global Climate Change, and the implementing partners (IPs) – the Tropical Agricultural Research and Higher Education Center (CATIE, by its acronym in Spanish) as the prime, and other member of the Consortium, including CARE, DAI, IUCN⁸, and TERRA Global – who will carry out the remaining implementation of the activity based on findings and recommendations from this evaluation. Finally, regional and national environmental agencies involved in the coordination of activity implementation will also participate in the evaluation.

Findings, conclusions, and recommendations will be used by USAID to make any necessary adjustments for the remainder of RCCP implementation, as well as to determine areas and approaches for future regional environmental activities based on Mission goals and expected results. In addition, evaluation results will be used for reporting purposes to stakeholders. USAID will also use the evaluation findings to begin considering its next regional environmental activity.

I.2 EVALUATION QUESTIONS

Four evaluation questions, identified by USAID, were used during the data collection process:

- I.2.1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP?
 - I.2.1.1. What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?
- I.2.2. To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?
- I.2.3. To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?
- I.2.4. What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

⁸ Cooperative for Assistance and Relief Everywhere (CARE), Development Alternative International (DAI), and International Union for the Conservation of Nature (IUCN).

2. PROGRAM BACKGROUND

Forested landscapes in a few countries in Mesoamerica continue to decrease, possibly at a lower rate than the first decade of this Century (United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation, UNREDD, 2012⁹). However, population growth and the need for increasing incomes puts continuous pressure on the land base. Greater pressure on the natural resource base has also been compounded by climate change resulting from the accumulation of gases associated with the greenhouse effect (GHE), such as carbon dioxide-CO₂, methane-CH₄, and nitrous oxide-N₂O, among others. These gases are thought to be a major cause of extreme hydro-meteorological events, which generally involve warmer and drier conditions associated with higher weather variability that increases the risk and vulnerability of people's livelihoods. It is estimated that 35 percent of global gas emissions are the result of tropical deforestation (CO₂). Use of agricultural fertilizer contributes N₂O, while livestock enteric fermentation and manure management, paddy rice farming, paddy land use, and wetland changes contribute CH₄. Thus, in the short-run, countries can adapt to climate change by being better prepared to cope with the associated risks. This may include adopting improved land use and agricultural practices, relying on proactive or smart management, and preparedness for natural disasters. In the long-run, it is possible to restore degraded landscapes or conserve remaining ones that have suffered little or no anthropogenic perturbation. It is in this context that RCCP began in April, 2013.

The RCCP activity is scheduled to end in April, 2018. The initial cooperative agreement was modified in September, 2015 to increase the total funding from \$18,500,000 to \$21,383,134 and to reflect additional activities and results.

The RCCP, located within USAID's Regional Development Cooperation Strategy (RDCS) 2015-2019, contributes to Development Objective 2: "Regional climate-smart economic growth enhanced." Specifically, RCCP contributes to intermediate result (IR) 2.1: "Low-carbon development increased," and IR 2.2: "Resiliency of humans and the environment to climate change impacts increased." The RCCP also contributes to the achievement of Objective 1 of the U.S. Government Strategy for Engagement in Central America (CEN Strategy), of "Prosperity and Regional Integration," as well as the first Line of Action in the Alliance for Prosperity Plan in the Northern Triangle¹⁰ to "Stimulate the productive sector to create economic opportunities," and the environmental activities of the Dominican Republic-Central America Free Trade Agreement (CAFTA-DR).

The RCCP was designed to focus on: 1) Sustainable Landscapes (the "Reducing emissions from deforestation and forest degradation" mechanism, or REDD+); and 2) Adaptation to support the Central American Region (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and Panama) in processes to mitigate the negative effects of global climate change. The Program was designed to help countries to engage in REDD+ activities conducive to reducing emissions from deforestation and forest degradation, agriculture, and other land uses. The design

⁹UNREDD (2012, p. 8). *Tenure of indigenous peoples territories and REDD+ as a forestry management incentive: the case of Mesoamerican countries*. FAO, Rome, Italy.

¹⁰ <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=39224238>

also included broadening partnerships through support for closer coordination between the General Secretariat of the Central American Integration System (SICA, by its acronym in Spanish), Specialized Environmental Institutions, and key U.S. Government (USG) agencies, such as the National Aeronautics and Space Administration (NASA), the United States Geological Survey (USGS), and the National Oceanic and Atmospheric Administration (NOAA), etc. The purpose of these partnerships was to improve the efficiency and effectiveness of delivering remote sensing data and decision support analysis tools to end users in the region.

Currently, RCCP includes three components: Sustainable Landscapes (SL), Adaptation, and Environment Management under CAFTA-DR. The first two components are aligned with two pillars of the Presidential Global Climate Change Initiative: Sustainable Landscapes, Adaptation, and Clean Energy.

Figure 1: RCCP Coordination Structure



CATIE, in collaboration with USAID/CAM coordinates work on the three components.

The three objectives of the Sustainable Landscapes component are:

1. Identify necessary steps and facilitate the implementation of foundational investments required for the development of local, national, and/or trans-boundary carbon credit marketing proposals within and between Central American countries, and between different institutions, as a mechanism to provide financial and economic incentives for the conservation of tropical forest ecosystems;
2. Develop and deploy regional and country-based integrated operations plans and mitigation measures that address climate change stressors and vulnerabilities;
3. Develop integrated and regionally harmonized REDD+ strategies and protocols and Monitoring, Reporting, and Verification (MRV) protocols / programs and other related agriculture, forestry, and other land use initiatives that have the potential to be harmonized and accepted across the region.

CATIE works on technical issues such as MRV; pilot sites, inventories, MAS, and also coordinates work with other Consortium members. CARE and IUCN work on social issues, namely safeguards; consultations; free, prior, and informed consent (FPIC); and inclusion. TERRA works on economic and financial aspects such as markets, costs, and financial projections. IUCN also works on forest policies for restoration, illegal logging, and traceability.

The two objectives of the Adaptation component are:

1. Generation of meaningful and useful climate change data by a variety of institutions distributed to decision makers in both government and the private sector, including communities and other local key stakeholders;
2. Development of distribution systems to provide this data and decision support in a timely and user-friendly manner.

CATIE is the leading institution developing Centro Clima (clearinghouse) as a public-private partnership (PPP) to provide climatological services for the Central American Region; as such, it is the liaison between the regional public institutions and the private sector.¹¹ IUCN works closely with CATIE to support the development of user networks as strategic partners of Centro Clima, providing relevant information to the database, and, in the long term, concretizing other initiatives to consolidate the map server at Centro Clima. DAI brings the information technology expertise to build a sustainable network and data management system, as well as tools to serve economic sectors in the region, and financial support.

The RCCP modification in September, 2015 added the Environmental Management component under CAFTA-DR¹² to strengthen the environmental management systems of CAFTA-DR countries (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, and Nicaragua) and their institutional and legal frameworks, thereby increasing their ability to use innovative approaches, processes, strategies, or methodologies to adapt to climate change within five areas:

1. Improving and harmonizing environmental regulations, policies, and procedures;
2. Strengthening Environmental Impact Assessment procedures;
3. Improving enforcement and compliance of environmental laws and regulations;
4. Improving energy efficiency;
5. Institutional strengthening of CCAD Secretariat.

This component seeks to continue providing assistance to promote compliance with the commitments presented under the CAFTA-DR, the Environmental Cooperation Agreement (ECA), and the environmental components of the Panama Free Trade Agreement, through better wastewater management, better solid waste management, informed decision making, and improved enforcement and compliance with environmental laws and regulations to strengthen environmental institutions and build local capacity in CAFTA-DR countries. CATIE coordinates the activities with the U.S. EPA; both work in residual waters, solid waste, Environmental Impact Assessments (EIA), and application and compliance of environmental laws. CATIE is also responsible for the work on energy efficiency and CCAD institutional strengthening.

¹¹ PRCC-USAID and CRRH-SICA. 2017. Master Document: Institutional Design, Business Plan, and Sustainability of Centro Clima. Regional Climate Change Program - USAID and CRRH-SICA, in collaboration with CCAD, San Salvador, 153 p.

¹² The U. S. Environmental Protection Agency (EPA) provides technical support to this RCCP component.

2.1 DEVELOPMENT HYPOTHESIS OF THE RCCP

Through the establishment of carbon-based incentives to reduce emissions from deforestation, forest degradation, and other land uses, and through the integration of earth observation information and geospatial technologies into development decision making, target countries will improve their environmental management and resilience to climate change.¹³

At the time of this writing, U.S. environmental policy has undergone changes relative to the period evaluated, which was from April, 2013 through the end of 2016. The current policy climate has changed, modifying the scenario under which the actionable recommendations of this evaluation would be applied. Nevertheless, the findings and conclusions pertain to activities undertaken prior to 2017, and the evaluation will focus on that perspective. Keeping this in mind, the current policy climate will need to be taken into account in continuing activities. The question also remains regarding how the Program¹⁴ can maximize implementation impact with limited resources. Hopefully, these considerations will be useful to USAID for program planning, as well as to implementing agencies, the national programs, and possibly the potential direct and indirect beneficiaries of future development actions, who will receive enhanced benefits as well.

This evaluation report is organized as follows. The present section includes a discussion of the genesis of the RCCP (USAID, 2013) and the context of the REDD+ mechanism in Central America. In the next section, the methodology used for this evaluation is explained and supported in the Annexes. Detailed lists of interviewees in different countries are also provided in the Annexes. Findings and conclusions for the four evaluation questions are elaborated on with the support of secondary data, field observations, individual and group interviews, and direct interaction with stakeholders. The three components of RCCP are embedded in each of the evaluation questions and are included in such a way as to demonstrate Program integration. Recommendations are provided in a separate section. Following the Evaluation Scope of Work (SOW), a section on Program management and use of financial resources is also included.

2.2 CONTEXT OF THE REDD+ MECHANISM IN CENTRAL AMERICA

Prior to the presentations of findings and conclusions, it is of foremost importance to understand the general concepts of the REDD+ mechanism in order for the reader to follow the Team's findings.

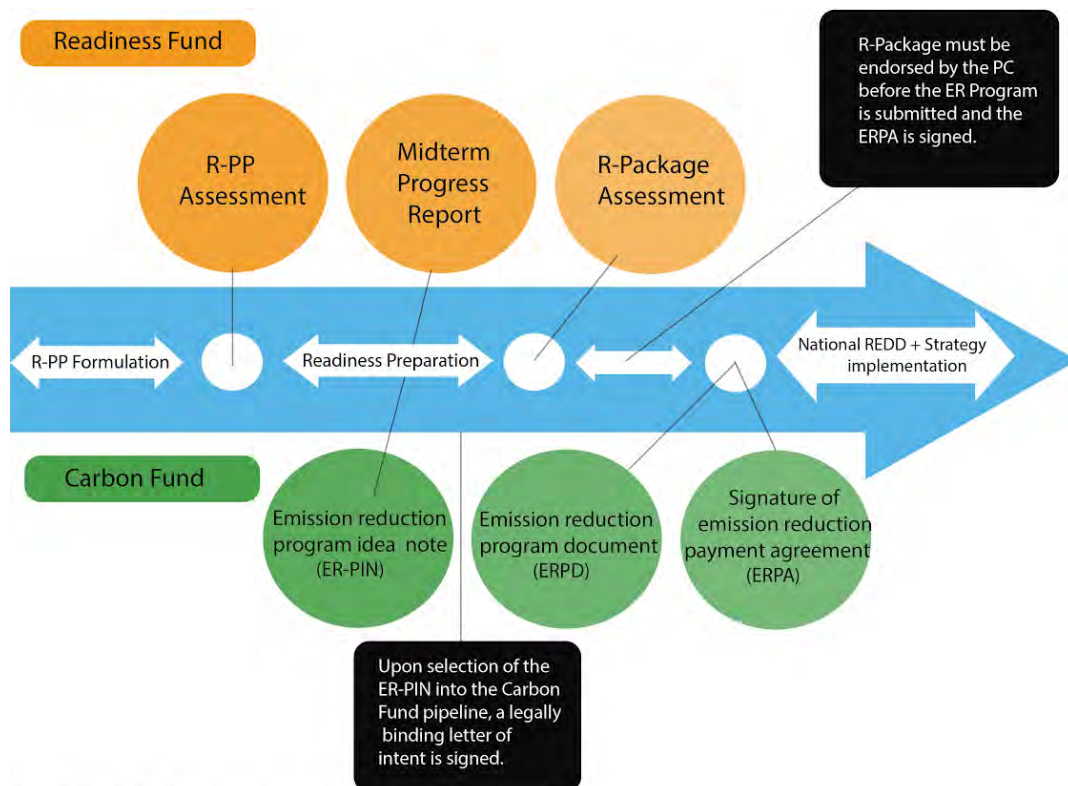
The Forest Carbon Partnership Facility (FCPF) was launched in Bali in 2007 (and started to operate in 2008) during the Conference of Parties (COP 13) of the United Nations Framework Convention on Climate Change (UNFCCC). The FCPF is a global partnership focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, and sustainable management of forests in developing countries (referred to as REDD+). This Facility has two funding mechanisms administered by the World Bank (WB): the Readiness Fund and the Carbon Fund (Forest Carbon Facility, <https://www.forestcarbonpartnership.org/>).

¹³ USAID Monitoring, Evaluation, and Learning Plan. December, 2016.

¹⁴ Henceforth, RCCP and the Program will be used interchangeably.

- The Readiness Fund supports tropical and sub-tropical developing countries in preparing for REDD+ including: a) preparing national REDD+ strategies; b) developing reference emissions levels; c) designing measurement, reporting, and verification systems (MRV); and d) setting management arrangements and environmental and social safeguards.
- The Carbon Fund allows countries to prepare and submit proposals under their National Reduction Program in the Forest Sector for possible transactions on emissions reductions. This Fund provides an incentive to the recipient country to achieve long-term sustainability in financing forest conservation and management programs.

Figure 2: Milestones of REDD+



(Forest Carbon Facility, <https://www.forestcarbonpartnership.org/>).

In addition to the FCPC, the UN-REDD+ Program is a collaboration with the United Nations (FAO, UNDP, and UNEP) for the reduction of emissions due to deforestation and degradation of forests in developing countries. It was created in 2008 to support developing countries in improving their capacity to reduce emissions and participate in REDD+ mechanisms.

All Central American countries have accessed the Readiness Fund (FPCF and UN-REDD) at different times, and currently the REDD+ status varies for each one (Annex X). In addition, some countries have addressed the mitigation approach with the expectation of participating in carbon markets (the Carbon Fund), while others are focused mainly on adaptation with no intention of participating in the carbon markets.

The REDD+ preparation process has been supported by the involvement of countries in the Bonn Challenge and the development of national strategies for restoration (Costa Rica, El Salvador, Guatemala, and Honduras).

3. EVALUATION METHODS AND LIMITATIONS

3.1 EVALUATION METHODOLOGY

This evaluation was mainly qualitative and focused on processes that have led to changes in attitudes and empowerment, as well as how, in what way, and to what extent the Program brought about changes.

To conduct the evaluation, the Team reviewed strategic documents such as the RDCS 2015-2019, the Cooperative Agreement between USAID-CATIE from April, 2013 and its modification in September, 2015, RCCP quarterly and annual reports, annual work plans, Data Quality Assessments (DQAs), climate change mitigation and adaptation literature, the UN-REDD Evaluation (UN-REDD, 2015), and miscellaneous documents. The purpose was to assess:

- progress against the deadlines specified in the approved Work Plan and performance indicator targets specified in the Performance Monitoring and Evaluation Plan (PMEP) (quantitative)
- quality of document-based deliverables (qualitative)
- implementation context: institutional framework and socio-economic conditions; and
- links with national strategies and other projects.

A list of documents consulted by the Team is included in Annex VII, and a series of chronological pictures are included in Annex VIII.

Implementation performance of the three RCCP components was assessed using PMEP indicators. This assessment was complemented with qualitative research to uncover the complexity of the Program. Questionnaire forms were developed for key informant interviews (KIIs), focus group discussions (FGDs), and meeting notes (MMs).

The Team interviewed the Implementing Partner (IP), Consortium partners, government officers, and U.S. Government staff (USAID, U.S. Department of State, U.S. Environmental Protection Agency) in selected countries. They paid special attention to gleaning what the mechanisms or practices were that induced or hindered Sustainable Landscapes and Adaptation practices to cope with climate change risks.

The Team conducted direct observations, semi-structured interviews, and focus groups with direct and indirect beneficiaries in Guatemala (Lachuá Region, Alta Verapaz, and Cerro San Gil, Izabal) and Honduras (Sico-Paulaya, Iriona). Selection of interviewees in the field was done in consultation with USAID/CAM and the IP and Consortium members; there was no room for randomization, as the pool of potential interviewees was small, and time was very limited¹⁵ (Annex III).

The different stakeholders identified by USAID and expanded on by the Team for this evaluation are as follows:

¹⁵ During the field work, the team travelled more than twice the number of contact hours with interviewed stakeholders.

1. IP (CATIE)
2. Consortium members (CARE, DAI, IUCN, TERRA Global) and U.S. EPA
3. Government cluster: authorities and officers from Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama
4. Private Sector (Forest management and agroforestry cooperatives and associations, cattle associations, NGOs, and private business people)
5. Regional and international organizations: Central American Commission for Environment and Development (CCAD), Regional Committee for Hydraulic Resources (CRRH), Central American Fisheries and Aquaculture Organization (OSPESCA), Food and Agriculture Organization of the United Nations (FAO), and the German Corporation for International Cooperation (GIZ)
6. Program beneficiaries in priority territories in Guatemala, Honduras, Nicaragua, and Panama¹⁶
7. USAID Cluster: Economic Growth Office, the Regional Program Office, and the Mission Management of the CAM Mission, USAID bilateral missions in Guatemala and Honduras, and the USAID Bureau for Economic Growth, Education and Environment's Office of Global Climate Change, and USAID bilateral activities

FGDs were structured as “show and tell” events wherein the participants described their activities and achievements, followed by semi-structured questions from the Team. This format allowed for thematic dialogue relevant to the evaluation questions. These FGDs lasted between one and four hours, depending on the level and amount of information to be shared for a specific group. Informational Meetings were held with individuals or with groups. The Team assured the participants that their responses were to be kept anonymous and that all necessary data management provisions would be taken to that end.

The number of participants in the FGDs varied from two to nine people, depending on the venue and availability of participants. Women were interviewed at some visited sites, either in a FGD or as KII. The Team was not authorized to travel to some sites due to security reasons and did not have control over the balance of participation between men and women who were traveling from remote areas requiring long journeys away from their homestead. Meetings were held in hotels when travel restrictions applied for the Team; otherwise, they were held in community centers and schools. *Maya Q'eqchi'* speaking translators were made available to ensure fluent communication between the participants in Guatemala and the Team. The majority, if not all, of key informants and participants in FGDs in Honduras spoke Spanish.

3.2 EVALUATION COVERAGE

The Team interviewed 118 individuals; 76 males and 42 females (64 and 36 percent, respectively), as shown below. The next table shows that almost half of the interviewees were from stakeholder Group 2-SICA members, national government institutions, non-governmental organizations (NGOs), and the private sector (46 percent), followed by stakeholder Group 3-

¹⁶ Visits to Nicaragua and Panama were suggested as an Alternative Plan if local contacts were confirmed and government clearances obtained. During the meeting with USAID (May 5, 2017), it was suggested that the Team should consider assessing the impact of RCCP in the Priority Territories of Nicaragua and Panama. Visits to these countries were unfeasible within the schedule of this evaluation.

beneficiaries and non-beneficiaries of the program in priority sites and public-private partners (35 percent), and stakeholder Group 1–USAID missions and implementing partners (19 percent). The sampled populations of stakeholders provided a small but diverse representation.

Table 1: Sampling of stakeholders by country, sex, and evaluation instrument

Country and Gender	Costa Rican Males	Costa Rican Females	El Salvadorian Males	El Salvadorian Females	Guatemalan Males	Guatemalan Females	Honduran Males	Honduran Females	Panamanian Males	Panamanian Females	All Countries: Male	All Countries: Females	All Countries: Both Genders
MM	7	10	4	1	12	9	0	0	2	0	25	20	45
KII	4	8	3	1	4	2	5	0	0	0	16	11	27
FGD	3	3	0	0	23	4	9	4	0	-	35	11	46
Total	14	21	7	2	39	15	14	4	2	0	76	42	118*

MM=Ad hoc interview following evaluation questions

KII=Key informant interview using semi-structured questionnaire

FGD=Focus group discussion using semi-structured questionnaire

M=male, F=female

*There were 10 instances of individuals who participated in more than one interview

Table 2: Distribution of stakeholder type, by country and sex

Country and Gender	Costa Rican Males	Costa Rican Females	El Salvadorian Males	El Salvadorian Females	Guatemalan Males	Guatemalan Females	Honduran Males	Honduran Females	Panamanian Males	Panamanian Females	All Countries: Male	All Countries: Females	All Countries: Both Genders
G1	6	4	-	-	5	3	4	1	-	-	15	8	23
G2	8	17	7	2	11	4	2	1	2	-	30	24	54
G3	-	-	-	-	23	8	8	2	-	-	31	10	41
Total	14	21	7	2	39	15	14	4	2	0	76	42	118

G1=stakeholder group 1, G2=stakeholder group 2, and G3=stakeholder group 3.

The evaluation used quantitative performance measures provided by RCCP, which were included in their progress reports submitted to USAID (Annex V). Most importantly, the evaluation relied on qualitative tools or instruments to uncover the nuances of the integration of regional efforts in mitigation and adaptation to climate change, as well as environmental management systems in the CAFTA-DR countries. Knowing what works, and why, will enhance informed managerial decision-making and program development.

The evaluation questions were associated with different **themes** as follows: Evaluation Question 1 was associated with *impact*; Evaluation Question 2 with *alignment*; Evaluation Question 3 with *capacity development*; and Evaluation Question 4 with *sustainability*. To the extent possible, the Team applied a before and after approach to answer the evaluation questions. This approach triggered explanations of how, when, in what ways, and to what extent the RCCP has achieved something beyond the quantitative performance indicators. In addition, for each evaluation question the Team incorporated, to the extent feasible, an analysis of possible differences associated with gender or social groups, particularly historically excluded groups (youth, people with disabilities, indigenous populations, etc.).

The Team presented preliminary findings to different stakeholders in San Salvador, El Salvador on June 16, 2017 (CARE, CATIE, IUCN, USAID/CAM) (Annex IV). The feedback received was processed for the preparation of this report.

Quantitative and Qualitative Analysis

Quantitative performance indicators were used to assess advancement of the Program against their expected and agreed milestones or rates (Annex V). The Performance Indicator Tracking Table (PITT) is included in Annex VI. Qualitative analysis of information gathered through direct observation, semi-structured interviews, and focus groups was based on a guide with open-ended questions related to each of the four proposed questions and also linked or mapped to eight standard indicators (SIs), three custom indicators (CIs), and four custom CAFTA-DR (CAFI) indicators in the RCCP Performance Monitoring, Evaluation, and Learning Plan (USAID, 2017).¹⁷

As the first step in the analysis, the Team prepared field notes used to identify key information as topics for assessing the three RCCP components. In the second stage, the Team compiled lists of recurrent topics or issues and arrived at a consensus regarding the most important and relevant ones. The third stage of data analysis entailed coding interview responses according to the most relevant topics. The last stage was the detailed analysis of the combined coded responses to identify the dominant responses regarding the three components in terms of the four USAID

¹⁷ Development of the Monitoring and Evaluation Plan (ME Plan) is an essential step to manage the process of assessing and reporting progress towards achieving project outputs and outcomes, and to identify what evaluation questions will be addressed through evaluation. The Monitoring, Evaluation and Learning (MEL) Plans contribute to the effectiveness of the CDCS-level Performance Management Plan (PMP), as well as the project itself, by assuring that comparable data will be collected on a regular and timely basis. <http://usaidprojectstarter.org/content/project-mel-plan>. In fact, the MEL Plan specifies roles and responsibilities. The Performance Monitoring and Evaluation Plan (PMEP) includes the Project Logical Framework and Performance Management Indicators Table with necessary methods and clear responsibilities for collecting and reporting data, as well as data sources and assumptions. http://pdf.usaid.gov/pdf_docs/PA00KDPC.pdf

questions that are linked to SI, CI, and CAFI.¹⁸ Originally, only responses provided by at least three participants, or interviewees representing at least two stakeholder categories, were considered as sufficient evidence for a finding. This criterion, however, required re-consideration in light of the limited number of informants and/or their credibility.

Evidence to support the conclusions and findings of this evaluation was also collected by a close examination of key studies and training material produced, as well as through direct observation of sustainable land management practices and adaption mechanisms conducted by participating institutions and [indigenous] communities at the priority sites. Of particular interest is how best practices implemented (in the areas of agriculture, forest management, reforestation, agroforestry, site restoration, silvopastoral systems, coffee and cacao plantations, biodiversity conservation, timber and non-timber cottage industries, etc.) improved the livelihoods of participating rural families. The Performance Monitoring and Evaluation Plan (PMEP) indicators may represent a measure of performance for accountability in resource use, but they may not properly represent the complexity of the processes being assessed.

3.3 EVALUATION LIMITATIONS

- The Team used qualitative methods to compensate for what the quantitative indicators do not explain. However, relying extensively on qualitative data can also have the limitation of not being representative and resting on anecdotal information. To compensate for these potential limitations, the Team conducted the data collection and analysis systematically by triangulating across multiple sources (stakeholder categories) and methods (individual, focus groups, and on-site observations) to ensure the reliability and validity of findings and conclusions.
- The Team could not visit the work sites in Panama and Nicaragua, as stated in the SOW, due to the length of time required to obtain travel clearances and visas. In Guatemala, the Team visited one out of five municipalities in the Lachuá Region, one of 25 communities in Cerro San Gil, Izabal, and only one of four Biocenters managed by FUNDAECO.¹⁹ In Honduras, due to security restrictions, the Team visited La Ceiba, but not the Sico-Paulaya region.
- Frequently, appointments for interviews were confirmed on time, but there were instances when an interview was performed with an individual assigned to replace the designated interviewee.
- Some of the people interviewed did not respond to the questions, and in some cases the responses were vague or reserved.
- The Team spent too much time traveling compared to the time utilized for interviews.
- It was not clear from the beginning if the priority territories were REDD+ implementations for the carbon market.

¹⁸ Harden, A. et al. (2004), Applying systematic review methods to studies of people's views: an example from public health research. *Journal of Epidemiology and Community Health*, 58, 794-800; Thomas, J. et al., (2004), Integrating qualitative research trials with trials in systematic reviews, *British Medical Journal*, 328, 1010-1012.

¹⁹ Biocenters (BioCentros) are properties that will act as training grounds (tree nurseries) for communities to learn about production methods of products that can be produced in ways that are more environmentally sound (http://www.fishwildlife.org/files/SWingsProjects_17_18_wo_budgets.pdf).

4. FINDINGS AND CONCLUSIONS

4.1 QUESTION 1: IMPACT

What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP? 1.1. What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?

4.1.1 Findings

Deforestation and land degradation in Central America have not been arrested; both processes have contributed to GHE emissions and reductions of carbon stocks. In response to this, a proposal was made to the UNFCCC in 2005 by a group of countries to include a mechanism for Reducing Emissions from Deforestation and Forest Degradation, conservation and sustainable forest management, and increased carbon stocks (REDD+).

In this context, and in the interest of several countries that are members of SICA throughout the CCAD, RCCP was designed to assist the REDD+ initiatives. When the Program started operations in 2013, the reality of each country was diverse in relation to REDD+, and each was at a different level of knowledge and advancement (readiness).

RCCP visited each country and carried out a diagnosis to evaluate their *status quo*, identify possible Program supporting frameworks, and develop “tailor-made,” demand-driven strategies.

The Program implemented a sustainable landscapes approach to address climate change in order to support the Central American countries. As the Program continued, the countries found that:

- Carbon markets were not functioning as anticipated; it was found that the ongoing floor price of a ton of equivalent CO₂ (tCO₂e) was \$5, while the beneficiaries were anticipating \$16 per tCO₂e (FGD9 G2, KII13 G1, KII21 G2);
- TERRA helped countries to calculate the breakeven prices per tCO₂e;
- Access to carbon markets was more complicated than anticipated; the countries either did not meet the required financial expertise to prepare REDD+ proposals or did not have the financial resources to hire experts (see Annex X)²⁰; and,
- REDD+ was not designed to address urgent needs such as food security and livelihoods. Some of the interviewees agreed that the vision of REDD+ was not sufficiently relevant to the people or their current conditions, and that it would have been better to have a stronger linkage with development strategies, not just as related to forest development

The Program's Consortium had to adapt and develop common definitions, practical methodologies, and tools to help different countries move forward on customized REDD+ issues. Thus, the SL component of the Program provided strategies and instruments that each IP in the

²⁰ The Program provided support to submit proposals for countries to access the carbon markets that were available to them through the results-based payment program from the Carbon Fund. RCCP supported proposals submitted by Costa Rica, Guatemala, and Dominican Republic to access REDD+ results-based payments. The Carbon Fund program provided technical assistance to complement other funding sources such as FCPF and UNDP.

Consortium developed and transferred. The construction of REDD+ strategies required the implementation of participatory processes that led to a national approach to safeguards associated with consultation processes, FPIC, the establishment of safeguard information systems, and systems for monitoring, reporting, and verification (MRV).

Several persons interviewed in different countries claimed that one significant intended effect or result for restoration of landscapes has been the Restoration Opportunities Assessment Methodology (ROAM) as a tool for planning, and they described how the application of this tool has opened windows for discussion at the ministerial levels, not only on landscapes but also on water, agriculture, and tourism. As a result, Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, and Nicaragua have identified restoration opportunities, produced maps, obtained economic data, and are moving on to consolidate their National Restoration Strategies. In fact, Guatemala's Restoration strategy was approved in 2016, after a consultation process.

Mitigation and adaptation synergy (MAS) as a tool “was considered in the Program to respond to countries’ requests, not necessarily to be implemented in the pilots.” The tool has four features: analysis based on the magnitude of ecosystem services, supply and demand functions, provision of spatially explicit information, and landscape assessments and planning. It is possible to assess trade-offs between environmental services such as biodiversity, carbon, water, and scenic beauty, and the assessments can be done at different levels (national, landscape, and plot). This tool can be applied to determine the impact of previous activity, but also used for future interventions based on available information. The impact of MAS today (using only the concept provided by CATIE), includes:

- The Honduran government has incorporated the concept and its importance in addressing climate change responses (policy statements on the *Human Face of Climate Change and National Climate Change Agenda*);
- El Salvador piloted a MAS exercise, identifying and assessing the breadth of MAS and ecosystem services nationally; it helped the Ministry of Environment and Natural Resources in El Salvador (MARN-ES) develop the adaptation-based mitigation approach in REDD+;
- Guatemala is harmonizing a MAS co-benefits (intersectoral) monitoring system with its national climate change information system and its REDD+ MRV system.

Even though Honduras is very supportive of the MAS tool, staff from the Ministry of Energy, Natural Resources, Environment, and Mines (MiAmbiente) that was interviewed (FGD12 G2²¹) mentioned that “it would have been desirable to have less technical support and have more implementation, and the program should have started right with MAS.”

The RCCP also supported the establishment of platforms or networks that have transcended into processes and decision-making, and have included the participation of key stakeholders and sectors to ensure medium- and long-term impacts on REDD+. One of the processes carried out by RCCP was the FPIC to enhance the participation and consultation of indigenous communities from Guatemala and Honduras, to protect their rights and safeguard their way of life, and to encourage participation in the decision-making processes of REDD+ initiatives. In Guatemala, FPIC was applied in Alta Verapaz; indigenous women who participated in this process indicated

²¹ Henceforth, all references to field notes: Meeting Notes, KII, or FGD, are coded to keep them anonymous. These field notes are with USAID for safekeeping.

that they were more apt to attend meetings, to become involved in activities within their community, and to work on issues related to the forest and its plantations. As expressed by one indigenous woman (MM9 G3), "I do not stay and wait to be called for a meeting; now once I know that something is going to happen in the community, I start demanding to be part of it." Several SICA country members (Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama) made a pledge to the Bonn Challenge to restore 5 million ha by 2020. The Bonn Challenge, established in 2011, is the most important international initiative for forest restoration. El Salvador and Costa Rica were the first countries to make this commitment in 2012, followed by Nicaragua in 2015. Nevertheless, obtaining financing and strategies to carry out this commitment has not been achieved in many of these countries.

Under the leadership of governments responsible for national REDD+ strategies, RCCP facilitated the creation of governance platforms (Climate Change Platform in Honduras) and the establishment of Safeguards Committees in Guatemala and Honduras in 2016. In El Salvador and the Dominican Republic, conditions have developed to allow for the fruition of efforts in 2017. RCCP supported the dialogue and preparation of proposals for the other technical social platforms required by the REDD+ process. Some examples of this support are MRV platforms in Guatemala, Honduras, and Costa Rica, supported by CATIE-IUCN; consultation and participation, by IUCN; and safeguards by CARE. Safeguards mitigate the risk of social and environmental impacts posed by climate change consequences or project investments, and also promote benefits by increasing the security of land use, empowering stakeholders (mainly vulnerable groups such as indigenous people and women), and improving biodiversity and forest governance.

RCCP introduced the national safeguards approach and facilitated a process at a regional and national level (workshops and dialogue), including Regional Guidelines to facilitate the understanding and application of safeguards in REDD+ strategies crafted through discussion and collaborative construction.

The Regional Guideline tool²² was socialized and validated in August, 2016, and has allowed the countries to define a critical road map that sets out the generic steps to build the national approach to safeguards. Its impact is such that it has set in motion **unintended outcomes** under the RCCP Program:

- Indigenous groups, members of the Guatemalan Safeguards Committee, have reviewed the Climate Change Law to incorporate aspects of rights and safeguards, and the Law has been translated into five indigenous languages;
- In Honduras, because of the involvement and participation of indigenous women in the Climate Change platform, different mechanisms have been proposed and are underway to help women to obtain land titles and to participate in discussions on co-benefits [multiple sectors or users]; and
- In Honduras, there was a conflict between the government and the Miskito communities regarding the agreement on resource management issues, and this group was skeptical of participating in REDD+ activities. Throughout FPIC and safeguards processes, misunderstandings were clarified, and now the Miskito are part of Climate Change Platform and Safeguards Committees.

²² PRCC-CARE-USAID, 2016, Regional guide on general guidelines for the incorporation of safeguards from Cancún in national REDD+ strategies in the countries of Central America and the Dominican Republic. Guatemala.

Priority Territories.²³ According to CATIE (2013, p. 3, 46-7)²⁴, within three priority territories (Greater Darien in Panama; Selva Maya Forest Ecosystems in Belize, Guatemala, and Mexico; and the Moskitia Coast Forest in both Honduras and Nicaragua) specific pilot projects were meant to be testing grounds and a source of knowledge for “scaling up” and “scaling out” results related to governance platforms, participation of local communities and indigenous peoples, testing MRV protocols, developing market proposals, and testing landscape-scale management. This and other information, tools, lessons learned and best practices will be systematized and used to catalyze and strengthen similar processes in other sub-national sites and also to support national-scale REDD+ policy development. The Program relied on pilot projects and public-private partnerships to develop and test biophysical and social tools related to Sustainable Landscapes.

Sico-Paulaya

RCCP efforts in Sico-Paulaya, Iriona-Honduras (30,000 inhabitants; 4,289.4 km² where 71 percent of its territory is under forest cover) responded to the MiAmbiente request, which identified this area as a priority to be addressed within the implementation of the national REDD+.

- Governance strengthening through the establishment of the Mesa Ambiental y de Producción de Sico-Paulaya (Environment and Production Roundtable of Sico-Paulaya, or MAPSP, integrated by 48 local organizations) and promotion of its interaction with relevant sub-national and national authorities. This included technical support, exchanges of experiences, courses, and workshops to improve participation in national consultation processes in the development of REDD+, and other protocols and mechanisms such as the Voluntary Association Agreement between Honduras and the European Union to export timber products verified to be from legal sources. MAPSP experiences are being expanded and replicated by MiAmbiente in a territory northeast of Olancho.
- In Sico-Paulaya, cattle ranching is one of the main activities that exerts tremendous pressure on the natural resources of the area. RCCP trained ranchers on silvopastoral systems (80 agricultural producers) and livestock management practices through field schools (ECAs in Spanish) in four communities. A female rancher who owns 50 calves and was interviewed told the Team about her satisfaction to learn new methods for preparing feed blocks for cattle and seeing the resulting animal growth; however, she was concerned that this requires imported inputs to manufacture the feed blocks.
- Governability in the region is very low, and violence is widespread as a way to resolve conflicts. The Honduran government (MiAmbiente) has expressed a very high, positive opinion of the silvopastoral work and support provided by the Program to the local governance platform MAPSP; however, MiAmbiente staff in Tegucigalpa did not seem to be aware that the MAPSP members were very concerned about CATIE's exit, scheduled for September, 2017. All the people interviewed by the Team belonging to the MAPSP expressed their dismay at the lack of proper response to the question regarding CATIE's exit from the priority territory that used more than \$570,000 since 2013 (FGD14 G3, FGD15 G3b, FGD16

²³ USAID/CAM (2017) Statement of Work for the RCCP Final Performance Evaluation.

²⁴ CATIE (2013). Technical Application in Response to Request for Applications (RFA) 596-12-000001, Regional Climate Change Program, Turrialba, Costa Rica, January 8, 2013.

G3b). The draft exit plan was shared with the Team on June 2, 2017²⁵. Had the RCCP Work Plan 2016-2017 and the “exit plan” been socialized with end users or beneficiaries, and with fluid and effective communication between MAPSP and CATIE's Director of Foreign Affairs between October, 2016 and May, 2017, this disappointment could have been prevented.

- RCCP and Fundación Madera Verde trained agroforestry cooperatives in the Sico-Paulaya area to achieve organizational cohesion and compliance with various legal requirements.²⁶ As a result, value chains of forest products were analyzed, studies were developed for the commercialization of non-timber forest products, and between 2013 and 2016, \$600,000 in export revenues of legal timber were recorded.

Lachuá Region

The Lachuá Region located in Alta Verapaz, Guatemala, is a national park covered with tropical rainforest (145 km²) where approximately 55 communities live in the buffer zones (20,000 inhabitants). IUCN has been working for the last 20 years with several communities, along with the Lachuá Foundation (FUNDALACHUA), which is made up of local producer associations and second level community development councils. RCCP planned to develop a voluntary carbon project in this area; however, based on the technical and financial feasibility results, the project idea was suspended, and the Program decided to continue with the development of the cocoa agro-chain for a specific market niche, as an agroforestry alternative in order to promote economic development in the territory, increase carbon stocks, and reduce the pressure for deforestation.

Board members of FUNDALACHUA informed the Team that it is selling treated cacao seeds at double the market price while admitting to not having previous experience at promoting profit oriented development programs. Interviewed farmers reported that they had no knowledge of basic managerial economics for the cacao systems being promoted. Farmers have maintained the high-quality standards set by the buyers. The Team also found that five out of 55 communities in the Lachuá area promote cacao and mahogany with cacao farming; one site they visited lacks the trained personnel and financial resources needed to successfully complete the task at hand.

The Lachuá communities are not sure who benefits from REDD+, but for the moment they will continue their agroforestry, production, and conservation work with or without REDD+. They said that “the important thing is to work with the different communities and partners, and the protection of the Lachuá natural area” (FGD6 G3a). While some farmers are interested in planting trees to enhance the tropical forest, some realized that “there is pressure on the land to generate income or contribute to household food security.”

Public Private Partnerships (PPP)

In CATIE (2013, p. 3-4), it is mentioned that, “...in addition to priority sites, the RCCP will establish Global Development Alliances (GDAs) with the public and private sectors to address jointly defined business and development objectives. The alliances will be co-designed, co-funded

²⁵ The Team verified that there was an interruption in communication between MAPSP and CATIE between October, 2016 and May, 2017.

²⁶ Forest management training included forest inventories and management plans, low intensity lumbering, and monitoring lumber from the forest to the market, among other topics (FGD14 G3).

and co-managed by partners so that the risks, responsibilities, and rewards of the partnerships are equally shared. Potential themes for global development alliances are: sustainable watershed management, disaster risk reduction, model forests, a regional clearinghouse, and carbon markets and finance.” Later on, RCCP modified the GDAs to PPPs in order to consolidate early actions of REDD+ projects and also to achieve leverage funds (FG7 G2).²⁷ Only CARE accomplished this goal, with one PPP that leveraged \$1.7 million with a \$100,000 investment and became a partner of an existing REDD+ project in 2016. Due to the slow implementation progress, time limit constraints, and political buy-in effort involved in developing the PPP, USAID determined not to pursue more PPPs in the sustainable landscapes component. USAID programming in the region supports the U.S. Strategy for Engagement in Central America, which lays out an interagency-driven vision for Central America under the three pillars of prosperity, governance, and security.²⁸

CARE considered five options for PPPs and chose the initiative of the Foundation for Eco Development and Conservation in Guatemala (FUNDAECO)²⁹, the implementing partner of a voluntary carbon market project under REDD+. The other partners under this option were:

- Ministry of the Environment and Natural Resources in Guatemala (MARN-GT), CONAP, National Forest Institute in Guatemala (INAB), and Ministry of Agriculture, Livestock and Food in Guatemala (MAGA) being the government agencies partners
- Althelia Climate Fund and Livelihoods Fund, the regional and local private investor; and
- RCCP-CARE as facilitators.

This REDD+ project seeks to generate income to ensure sustainable protected area management (Cerro San Gil, 60,000 ha, of which 60 percent is a national forest reserve) while supporting the resilience of 25 indigenous and ladino communities to climate change impacts (661 participants).³⁰

FUNDAECO engaged 25 communities in conservation activities through the establishment of agroforestry systems, and the sale of approximately 1.8 M tCO₂e, which will be sequestered through the establishment of 1000 hectares of tree plantations. About 200 community members have been trained in the establishment and management of agroforestry systems, and have received technical assistance, inputs, and administrative-legal advice to present documents for small land-holders forest management and reforestation incentives. A limitation found by the Team for carbon market projects like this is land tenure. According to an informant who lives in Cerro San Gil and who is not participating in the FUNDAECO project, “not having land, means not being eligible.” This puts the physical integrity of the forest at risk and can motivate internal or external irregular migration because of limited local opportunities.

²⁷ At least one other PPP was to be developed under the adaptation component, as explained below.

²⁸ CATIE (2015). Request (reviewed June 9, 2015) to modify the description of the USAID Climate Change Program. (Cooperative Agreement No. AID-596-A13-00002). Turrialba, Costa Rica.

²⁹ FUNDAECO has worked on conservation and sustainable development in the Caribbean Region of Guatemala for over 25 years.

³⁰ There are 10,788 inhabitants: 4,732 in 14 *Maya Q'eqchi'* communities (44 percent), 4,913 in eight ladino communities (45 percent), and 1,143 in four mixed communities (11 percent) (A. Zambrano and C. Rodríguez Olivet, “Ideas iniciales para la construcción del GDA CARE, Cuarto Borrador,” Junio 2015. RCCP-CARE, Guatemala).

Centro Clima (Clearinghouse)

Under the Adaptation component, CATIE pursued the consolidation of Centro Clima (Clearinghouse) as a network of organizations from the public and private sectors to provide meteorological services, analysis, and processing applications that could help regional, national, and local stakeholders in economic sectors such as agriculture, fisheries, and disaster preparedness (PRCC-USAID and CRRH-SICA, 2017). This is described below.

Adaptation Component

The Climate Forum is an initiative that has been led by CRRH. It periodically convenes meteorological experts from all over the region to prepare climate forecasts for the following four months. RCCP-IUCN has provided logistics support to the organization for seven Climate Fora, as of December, 2016. The Program has used the Fora as an opportunity to update the participating experts and authorities on the advances in the development of Centro Clima.

RCCP-UICN installed videoconference equipment in the meteorological institutes of the eight CRRH member countries and the CRRH office, to allow them to be connected and to share information and data more frequently, without the need to meet in person. This videoconference system could be used to update the climate forecast monthly rather than wait for the meeting every four months.

Climate Meteorological service representatives interviewed have expressed satisfaction at being able to provide essential information for other economic sectors, including agriculture, fisheries, and health (FGD10 G2). Centro Clima was conceived with a smaller scope or scale than what is being developed through the Program, and the result is of such magnitude that, according to an informant (KII21 G2), Centro Clima is “*the best bet*.” Also, another informant (FGD3 G1) perceived Centro Clima “*as an attempt to develop a regional agenda*.” Centro Clima was successfully built based on trust among all the meteorological services. As a result, these institutions have endorsed the transfer of its administration from the Program to the CRRH. Centro Clima has had a significant, positive impact with decision makers (Environment Ministers), and the Team was told that some ministers are already using the data and are interested in further applications such as uses for disaster mitigation.

Centro Clima supports two tools or applications (apps³¹), Clima Pesca and Coffee Cloud, providing climate data gathered from meteorological organizations in the region. The apps are related to productivity, livelihoods, and biodiversity, as well as to climate change.

Clima Pesca is an initiative of the OSPESCA to inform the fishing sector of climatic variability and possible risks associated with climate change, as well as to adapt efforts to increase production and ensure food security (KII24 G2). OSPESCA, prior to the existence of RCCP, had already identified the importance and necessity for this sector to understand and use climatic information; it produced a bulletin transmitted electronically to its members. Under the RCCP, and with the technical assistance of DAI, Clima Pesca has been designed as an alternative that can reach out to more stakeholders while remaining part of the Centro Clima. “*It has turned our simple newsletter into a modern-day communication tool*,” remarked an interviewee (KII24 G2). This application is expected to be launched in July, 2017. As stated by several persons interviewed, both Coffee

³¹ <https://english.stackexchange.com/questions/153696/app-or-app-when-i-refer-to-it-in-a-formal-paper>

Cloud and Clima Pesca should be continued, while exploring the opportunity to create new applications for other productive sectors (for example, sugar cane and pineapple).

Coffee Cloud was designed as an important and necessary tool for coffee growers (upon their request) that could be easily used by anyone that has a smart phone. The staff from the National Institute of Seismology, Meteorology, and Hydrology (INSIVUMEH) considers its contribution to be important to this application because it provides climate data and information (FGD10 G2). This staff perceives that the National Coffee Association of Guatemala (ANACAFE) is a key institution that brings together the coffee growers in Guatemala to take on the role as the main facilitators for the use and management of Coffee Cloud. Based on Guatemala's experience, the Costa Rican Coffee Institute (ICAFFE) requested support from the Program, and by 2016, RCCP had developed the application (Coffee Cloud) and adapted it to the needs of this country (MM RCCP). The evaluation team was informed that Honduras, El Salvador, and Nicaragua have requested similar support for their coffee sectors in 2017.

Environmental Management under CAFTA-DR

The Environmental Management component under CAFTA-DR incorporates considerations of how climate change impacts environmental decision-making in Central America; it is a follow-up on recommendations made by ECODIT (2011).³² Its inclusion in RCCP in September, 2015 was slow at the beginning due to bureaucratic procedures such as a slow transfer of funds to RCCP (USAID, RCCP Annual Report 2016). The group of technical experts participating in this component is mentored by the U.S. EPA, and there is a long history of professional collegiality between them. None of the activities carried out under this component have any interaction with the work in the other components in the Program.

Through CAFTA-DR, environmental content has been introduced to the CCAD agenda on economic development. Knowledge is maintained and shared, and the appropriation of technology and protocols depends on the needs of the countries. The group has achieved positive recognition from USAID staff and amongst the government officials interviewed (MM EPA, FGD12 G2, FGD13 G1).

4.1.2 Conclusions

Self-development capacities in REDD+ were built progressively. The REDD+ option has been incorporated and linked to other national and local development policies and strategies, as well as to other initiatives that contribute to emissions reductions. Countries in Central America are now much more active, have made progress in REDD+ compared to four years ago, and are moving forward to finalize the REDD + National Strategy by 2018.

RCCP has supported these countries to achieve developed institutional and professional capacities, and it has provided technical assistance to their national REDD+ strategy or restoration strategy. RCCP has helped people learn and act differently. However, the ability of these countries to mobilize funds to fulfill their pledge remains to be seen.

In Sico-Paulaya, Honduras, RCCP's lack of fluid communication with MAPSP members between October 3, 2016 and May 31, 2017 could have a high political cost for future work.

³² ECODIT (2011). USAID CAFTA-DR Environment Program Assessment, Arlington, VA.

The successful PPP developed by RCCP-FUNDAECO in Cerro San Gil, Izabal, Guatemala, with its 17 fold return on investment, is an example of how to build trust and understanding among the private and public sectors, and provide ladino and indigenous communities' access to voluntary carbon markets.

Centro Clima (clearinghouse) is another PPP under the Adaptation component of the Program and it is very close to fruition. CRRH has successfully compiled and managed climatic data and information. Centro Clima hosts data and has developed dynamic tools to increase knowledge and applications with end users in coffee production and fisheries. CRRH and its members have endorsed the responsibility they will take on once they manage the platform.

The CAFTA-DR component has helped to reactivate CCAD as a regional leader, with an impact on regional, national, and local levels, even though it does not operate in any of the priority areas.

4.2 QUESTION 2: ALIGNMENT

To what extent did the results of RCCP align with national and regional climate change strategies, needs and priorities in Central America?

4.2.1 Findings

The Program learned about and discussed climate change strategies, needs, and priorities with Central American countries at the beginning of the implementation period (in the framework of the Regional Strategic Program for the Management of Forest Ecosystems-PERFOR, UNFCCC, and the Biodiversity Convention). The regional agenda was established and approved at CCAD, "Regional Environmental Strategy Framework 2015-2020," at which all countries were represented by their environment ministers (KII12 G1). At the national level, not all countries were in the same situation regarding REDD+ (human capital, project development, political will, and socioeconomic conditions) and on how to respond to their individually acquired commitments. The Program responded to the needs and priorities of the countries, to support them either to access carbon markets and implement REDD+ activities, or to provide institutional strengthening and develop capacities to prepare national REDD+ strategies. Some countries were more advanced than others, and the following is how RCCP responded and aligned to their demands.

As far as regional alignment is concerned, *"Regional alignment is more difficult because the national interest tends to dominate."* *"Among the European countries the regional interest is above the national level but in Central America it is the opposite."* (FGD13 G1 and MM15 G1, respectively). Because national governments keep changing, the priorities, needs, and strategies may also change, and thus the program and its expected results change. Two contrasting situations depict how changes in governments and policies can affect the scenario where RCCP operates. Two years ago in Guatemala, under a different administration, there was more interest in environmental issues from the national government; now MARN in Guatemala is not as strong or interested (FGD3 G1). In contrast, Honduras was not very interested in rural development and environmental issues four years ago under a different administration, but now it has realized that it is lagging behind other countries in the region. Honduras has requested special support to build its climate agenda, with

many donors, but without a strategy or orientation. RCCP assisted MiAmbiente to develop that strategy, including safeguards, consultation, and FPIC (FGD12 G2).

Key informants agreed that CCAD requires training and mentoring to implement its regional mandate within the Framework of the Environmental Regional Strategy 2015-2020 and PERFOR (KII12 G1, KII21 G2, FGD12 G1, and FGD13 G1). RCCP has worked closely with individual countries adaptively, developing and implementing agendas according to their needs, but in alignment with their regional commitments.

For RCCP, the processes, instruments, and methodologies promoted in forest landscape restoration and the implementation of the conservation rights approach (consultation, FPIC, and social safeguards), as well as the access to information for decision-making (Centro Clima and information networks) have been part of, and will continue to be, in IUCN's agenda and partners beyond the projects themselves. By the same token, governments have signed long-term agreements at the international level (e.g. Bonn Challenge, UNFCCC, and compliance with social and environmental safeguards in REDD+) that go beyond the lifetime of RCCP.

The Program inputs on different topics constitute a set of [solutions] in and outside the REDD+ mechanism that contribute to compliance with commitments and international agreements, such as the International Labour Organization Convention 169 on Indigenous and Tribal Peoples (adopted in 1989), The Biodiversity Convention, and the Convention on the Elimination of All Forms of Discrimination against Women, as well as the national conservation objectives, the rights approach (consultation and PFIC), access to information, and economic development options that especially benefit indigenous and forest dependent communities.

At the beginning of the Program, REDD+ was not a well understood task, but it was a priority for RCCP to align REDD+ closely with the policies of those countries in order to reduce deforestation and vulnerability, and create employment by using the REDD+ development pathways following national environmental laws and work plans. By attending direct requests from governments, RCCP-TERRA-CATIE were well aligned with the state policies and plans for REDD+ initiatives such as ER-PIN and ER-PD³³. The principle of voluntary collaboration has always been applied; when there is adaptation to the institutional scenario, work relationships can be fruitful.

Regarding regional strategies and needs, USAID/HN and CATIE perceived a positive alignment of results in Sustainable Landscapes. TERRA, based on their successful results (ER-PINs and ER-PDs delivered to the World Bank), perceived that there was a very good alignment with the national programs requesting their input (KII13 G1). Regarding the Adaptation component, it is an information-centered initiative to support decision-making under a climate change context. RCCP did not have the mandate to analyze, design, or implement adaptation measures or policies.

An interviewee from MARN, Guatemala, mentioned that RCCP adapted to the needs and requirements of the country. *“National alignment, by design, responds to a priority, safeguards, or something else. The Program supports the countries in complying with the Paris Agreement.”*³⁴

³³ Emission Reduction Project Idea Note and Emission Reduction Project Development, respectively.

³⁴ The Paris Agreement entered into force on 4 November 2016, signed by 155 out of 196 countries, including RCCP countries. RCCP countries, by signing the agreement, reiterate their role in emission reductions through its three

At the very local level, for example, the Program had to align with community needs in Lachuá, Alta Verapaz, Guatemala, opting to promote the cocoa agro-chain to increase people's income and to ensure their ability and willingness to continue as the stewards of Parque Lachuá. Originally, the area surrounding the National Park was thought to be a potential REDD+ site, but economic analysis revealed that this option was not feasible.

Even though there are 11 items in the RCCP Gender Action Plan (CATIE, 2013, p. 90), the Team is not aware of any formal comprehensive reporting on the Program's achievements. Findings from the field and from the PITT show that women have participated as implementers or trainees in various activities. However, the majority of women (seven out of eight) interviewed with the help of translators in the communities surrounding Lake Lachuá, Alta Verapaz, Guatemala, were extremely shy in discussing issues relevant to their personal and community development, very possibly because the Team was a group of strangers. Most of the individuals leading and describing economic activities in the area were men. In Cerro San Gil, Izabal, Guatemala, only one woman was interviewed by a member of the Team and only two women from the MAPSP, Sico-Paulaya (out of ten persons) participated in interviews and group discussions.

Adaptation Component

Prior to RCCP, there were processes and systems to compile data at the regional level, such as the Central American Climate Database and the Regional Systems for Visualization and Monitoring, SERVIR; however, they were not used for sharing data and did not provide access to users outside the meteorological services. On the other hand, the climate model being used at the regional level was at a very large scale. Individually, countries used models at smaller scales, but they did not have the regional scope. The creation of the two applications, Coffee Cloud and Clima Pesca, in the Adaptation component, required an alignment between the CRRH, software developers (RCCP-DAI), and the regional end users (ANACAFE and OSPESCA). The foundation to create such a system was Centro Clima, with the goal of providing specialized services and the inputs required to craft a useful tool that could help stakeholders of different sectors diminish their vulnerability associated with climate change. RCCP has contributed to:

- Coffee growers have used information displayed by Coffee Cloud to assess *roya* infestations and other diseases such as “*ojo de gallo*.”
- Fishermen have used Clima Pesca to determine where to go fishing or decide not to go, as well as other types of decisions.

The process of consolidating Centro Clima with the applications required the stakeholders from the different countries to appreciate the availability of climatological information and sector-specific products that could help decrease vulnerability. The first beneficiary of Coffee Cloud was Guatemala, as this tool was designed specifically for that country. Both Costa Rica and Nicaragua

program components. The main purpose of the Agreement is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. Additionally, the agreement aims to strengthen the ability of countries to deal with the impacts of climate change. To reach these ambitious goals, appropriate financial flows, a new technology framework and an enhanced capacity building framework will be put in place, thus supporting action by developing countries and the most vulnerable countries, in line with their own national objectives. http://unfccc.int/paris_agreement/items/9485.php.

requested adaptation of this app in 2016. Guatemala presented this tool during a regional meeting in El Salvador in 2017; at that time, El Salvador and Honduras requested adaptation of the app for their countries.

Environmental Management under CAFTA-DR

This component was incorporated into RCCP and in support of CCAD; thus, it is aligned with the regional strategies, needs, and priorities.³⁵ Work activities are part of a regional portfolio, but the countries have the opportunity to select activities.

4.2.2 Conclusions

At the outset of RCCP, the IPs realized that the countries had different starting points regarding their needs and priorities. Despite the existence of the Framework for the Environmental Regional Strategy 2015-2020 and PERFOR, systematic consultations took place to characterize the *status quo* of the countries. Jointly with them, a strategy was developed to access carbon markets, implement REDD+ activities, strengthen institutions involved in natural resource management, and develop capacities to prepare national REDD+ strategies.

The regional political context has varied with different administrations, and this has caused changes or adjustments in national policies and priorities. Regional alignment may occur, but it can be disturbed temporarily or permanently, and there is little a regional program can do other than to adapt to the new situation.

The Team acknowledges that the sample of interviewees is less than desirable. However, it is difficult to imagine women in Lachuá (or at other sites visited) being assertive or taking leadership in meetings in the presence of men. While both men and women seem to be sensitized to participate in consultations and FPIC, and some women make a point to be included, the Team perceived that there is still a long way to go to claim that the Program has contributed to an equitable and just distribution of responsibilities and benefits in the rural households.

The Program learned how to develop national agendas following a common methodology that included consultation, FPIC, and social and environmental safeguards aligned with commitments and international agreements, including economic development options to benefit women, indigenous, and forest dependent communities. This has allowed a methodological common ground across countries while respecting their specific needs and priorities. These elements were more widely utilized in the Sustainable Landscapes and Adaptation components. This could be explained by the truly vast territorial spread and diversity of stakeholders in the sustainable landscape component compared to the adaptation component.

The creation of Centro Clima and the production of Coffee Cloud and Clima Pesca required the development of trust amongst stakeholders from participating countries in order to share data and knowledge, followed by an alignment of contributions into a production or method resulting in usable tools for decision-makers from different productive sectors. Needs alignment, knowledge

³⁵ See section on Environmental Quality, in CCAD (Central American Commission of Environment and Development) (2014). Regional Environmental Strategy Framework 2015-2020, General Secretariat of the Central American Integration System, San Salvador.

of sectoral vulnerabilities, the availability of Centro Clima, and the know-how to design and develop applications by CATIE-DAI-IUCN made the production of useful sectoral tools possible.

4.3 QUESTION 3: LOCAL CAPACITY DEVELOPMENT

To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?

4.3.1 Findings

By the end of 2016 (Annex VI):

- 955 persons were trained in Adaptation, or 51 percent of the LOP target; of those, 11 percent were female trainees.
- 384 persons were trained in Sustainable Landscapes, or 100 percent of the LOP target; of those, 41 percent were female trainees.
- 6,584 person hours of training were provided on brown issues under the CAFTA-DR component, or 57 percent of the LOP target.
- The proportion of female trainees as a percentage of the total trainees in Sustainable Landscapes was almost four times higher than in Adaptation.

There were numerous activities for local capacity development conducted by the Program to transfer knowledge and skills to different stakeholders at different levels: top-level government officials, medium and technical level officers, extension staff, and end-users of the products and tools. Each IP designed and developed a series of training events (workshops, short courses, master's program, etc.) to strengthen each country's capacities in the RCCP components. Fifteen and twenty-nine training events took place in the second and third fiscal years, respectively (USAID-RCCP, 2015 and 2016).³⁶ However, other than the general learning goal of the training events expressed in the training plans, there was no indication of how knowledge acquisition was measured. Ramos (2017)³⁷ addressed the institutional strengthening provided by RCCP in the Sustainable Landscapes and Adaptation components, applying a detailed questionnaire to 27 individuals.

Sustainable Landscapes Component

Under this component, there was training to: 1) facilitate carbon credits marketing proposals as an economic incentive to conserve tropical forests; 2) develop and deploy operation plans and mitigation measures addressing climate change stressors and vulnerabilities at different levels; and 3) develop integrated and harmonized REDD+ strategies, MRV protocols for forestry and related agriculture, and other land use initiatives potentially acceptable to the region.

- RCCP-TERRA developed economic and financial models for carbon market projects (ER-PIN and ER-PD) in Costa Rica, Guatemala, and the Dominican Republic. During the first two years

³⁶ USAID-RCCP (2015), Annual Training FY Plan 2014-2015; and USAID-RCCP (2016), Annual Training FY Plan 2015-2016.

³⁷ Ramos, N. (2017). *Development of a baseline and assessment of progress related to institutional strengthening provided by the RCCP to social organizations in the Program*. Consultancy for the Regional Climate Change Program – USAID, CATIE, San Salvador, El Salvador.

of the Program, TERRA carried out two-day workshops in REDD+ Finance in Guatemala (18 presentations), and Panama (14 presentations).³⁸

- FUNDAECO-CARE is the only PPP that the Program implemented in this component in Cerro San Gil, Izabal, Guatemala. FUNDAECO installed one Bio-Center with RCCP assistance, where it provides training (mostly in Spanish) in public health, forestry, and agroforestry management for 661 household heads in its zone of influence (three additional Bio-Centers were in place before FUNDAECO became involved with RCCP). Currently, FUNDAECO continues to operate with trained personnel and participants in its carbon market program.
- RCCP-IUCN has personnel from MARN in Guatemala and El Salvador, MiAmbiente, and MARENA in Nicaragua, amongst others, trained in the use of ROAM; this methodology includes 12-generic transitional options that reflect combinations of biophysical attributes plus a financial and economic component for decision-making. Staff from the ministries of environment who were trained by RCCP-IUCN implemented the methodology, and the Governments of El Salvador, Guatemala, and Honduras have been using it to prioritize interventions since the end of 2016. MARN in El Salvador has expanded the use of 12 transitions to 49 on its own initiative.³⁹ Informants in Honduras revealed that the MAS has been used to support the restoration plan and MRV methodologies developed by RCCP-CATIE, but the country has also used ROAM.
- Both RCCP-IUCN-CARE provided training in FPIC at the community, municipal, district, and national level; interviewees attest to its effectiveness. RCCP-CARE developed a *Regional guideline for the incorporation of environmental and social safeguards for REDD+ in the national REDD+ strategies*. This tool is the result of five socialized “generic steps” in five countries for which workshops were carried out.
- RCCP-CARE aided the creation of national safeguard committees with the design of the national safeguards in Guatemala, Honduras, the Dominican Republic, and El Salvador. This was under the flagship of REDD+ national strategies supporting governance platforms for Consultation, FPIC and access to multiple benefits. “*CARE and IUCN not only coordinated workshops but also helped optimize financial resources assigned to the countries [joint workshops].*” (FGD7 G1 and KII4 G2). The Regional Guideline was validated in August, 2016. This is a tool used by the countries. One interviewee noted that “*it does not really matter if there are changes in the government; people are now empowered and will not let anyone play with them anymore.*” (MM7 G2). Because of the high degree of participation in the training processes [five generic steps], the resulting evidence is groups of sensitized and active citizens.
- RCCP-CATIE has provided technical assistance and training (special courses and workshops) in Costa Rica, El Salvador, Guatemala, Honduras, and Nicaragua to provide orientation on the concept, methods, and procedures used to facilitate the construction and implementation of MRV. Particularly, RCCP-CATIE trained personnel in Tegucigalpa and Sico-Paulaya on MRV and MAS, and MiAmbiente staff commented that both tools are relevant and that the government is better prepared to embrace the REDD+ agenda. RCCP-CATIE deployed ten MSc. students in different work sites to support Program implementation (Annex IX).
- There was also considerable training at priority territories in the planning and establishment of forestry, agroforestry, silvopastoral, and cacao systems in Sico-Paulaya, Honduras (CATIE-

³⁸ The learning goals of these trainings, for example, were not specific to ascertain the degree of knowledge acquired.

³⁹ While the expansion from 12 to 49 landscape transitions occurred in 2017, the training occurred in 2016. It is important to acknowledge that this national initiative uses a methodology transferred by the RCCP-IUCN last year.

MADERA VERDE), Cerro San Gil, Izabal (CARE-FUNDAECO), and Lachuá Region, Alta Verapaz (IUCN-FUNDALACHUA) in Guatemala. Additional training took place in two territories: Darien in Panama and RAAN in Nicaragua. Interviews with producers in Guatemala and Honduras revealed the need for knowledge on basic managerial economic skills applied to their productive activities in order to be competitive⁴⁰ (FGD4 G2, FGD6 G3a, KII20 G2, FGD14 G3, MM9 G3, MM10 G3).

- According to Ramos (2017), RCCP has strengthened the governance mechanisms related to climate change, fostering empowerment and leadership of institutions, organizations, and national sectors, offering opportunities for interaction.

Adaptation Component

Under this component there was training to: 1) develop and systematize meaningful and useful climate data for various institutions, and distribute it to decision makers in the government and private sector, including communities and other key local stakeholders; and 2) devise distribution systems to provide climate change data and decision-making aid in a timely and user-friendly manner.

- CRRH is a 51-year-old institution that publishes climatic perspectives; currently it serves as a source of information for the Central American countries and the Dominican Republic. A Climate Forum is organized by CRRH every three months, during which meteorological information and knowledge are exchanged. “Climatic Perspective” for Central America offers a three-month rainfall forecast that has value for various sectors. *“In the earlier fora we dealt with long term climatic predictions [years], but we realized that it was important to shorten the time window for more practical purposes”* (FGD1 G2). The Program has financially and logistically supported the development of seven fora. Experts from agriculture, fisheries, energy, and other sectors participate in the Application Forum, which takes place immediately after the Climate Forum. During the Applications Forum, experts analyze the implications of the climate forecast and provide recommendations for their respective sector.
- The Program has sponsored seven meteorology MS students to study at the University of Costa Rica (mostly on-line, with two one-week face-to-face segments). The students remain working in their respective countries and institutions and are able to apply their knowledge and skills immediately.
- Centro Clima was built through a series of discussions and capacity building processes led by CATIE. In 2013, the Program had identified existing regional networks as partners for the development of tools in each of the priority topics. In 2014, there was a workshop with coffee, meteorology, and agriculture experts to identify the needs for a tool for the coffee sector. After that workshop, CATIE and DAI prepared a paper with the conceptual design of the coffee tool. No new network was created. The regional network of coffee institutes, PROMECAFE, already existed.
- CATIE prepared training manuals on coffee in Spanish for Guatemala and Honduras during 2015-2016 to assess the vulnerability of coffee plantations to climate change. This tool would later be included as a new module in Coffee Cloud. A training event for the National

⁴⁰ In contrast to our evidence, according to IUCN (2016, p. 32), farmers in Lachuá are cultivating cacao in sustainable agroforestry systems, earning up to \$10,000 per ha per year, compared to maize earnings of \$60 per ha per year; this has developed interest in the national community platforms under the Incentive Program for Small Forestland Owners (PINPEP).

Conservation Areas System (SINAC) was held in Costa Rica with a total of 86 participants; a validation workshop for the OSPESCA tool [app] was held in El Salvador.

A successful partnership. A successful partnership. ANACAFE was identified as the first user of the coffee tool during the regional workshop that RCCP organized with PROMECAFE, the regional network of coffee institutions. The idea for the tool was presented at that workshop and ANACAFE expressed interest in being the pilot for its development. Also, a “Manual to reduce vulnerability to climate change in the coffee sector” was prepared and validated by RCCP-CATIE. Key ANACAFE staff decided to become trainers of trainers using the manual in replicated workshops in Cobán and San Marcos with the assistance of RCCP-CATIE.

- CLIMA-PESCA, a tool offering daily weather information to fishermen throughout the region, was presented to OSPESCA board members in December, 2016. One interviewee (KII24 G2) remarked that “*this tool will help save lives, while boosting production.*” Training has been provided to continue enhancing the applied value of meteorology in regional economic sectors. The tool focuses on three key questions: where to catch, how to catch, and am I safely fishing today?

RCCP has contributed to the strengthening of CRRH’s capacity to acquire, process, and disseminate meteorological data and information (update of the Central America Climatic Data Base, videoconference equipment in each meteorological institute, and training on the Regional Climatological Modeling System 3). Furthermore, Centro Clima is now producing information demanded by the coffee and fishery sectors; the end users commented that they are pleased with the products.

Environmental Management under CAFTA-DR

During 2016, RCCP contributed to developing local capacity in wastewater treatment, carried out a regional training on tourism technology guidelines and a wastewater regional consultation, developed a manual on appropriate sustainable wastewater treatment in Guatemala, and carried out an assessment of domestic wastewater treatment plants in El Salvador and Honduras (USAID, RCCP Annual Report 2016).

Interviews (MM EPA, MM CATIE) revealed that it is unknown how the pilot activities in the CAFTA-DR component could contribute to enhancing the capacity of RCCP stakeholders in the Sustainable Landscapes or Adaptation components.

4.3.2 Conclusions

The Program conducted 44 training events to disseminate knowledge and skills in the three components, in collaboration with partner institutions in different countries; also, the Program continuously mentored individuals and institutions.

Training took place at different levels in the Sustainable Landscapes component. The Team was not able to verify the effect of TERRA on local capacity to develop economic and financial models for carbon markets on their own in Guatemala, Honduras, and Costa Rica. On the other hand,

the Team found that FUNDAECO in Guatemala had several practical, hands-on training activities with more than six hundred participants in a protected area involved in a carbon market program.

RCCP-IUCN was successful in building skills related to the rights approach toward development, consultation, and FPIC with local staff in Honduras (MiAmbiente), Guatemala (MARN-GT), and El Salvador (MARN-ES), as intended. This success is possibly related to the long-term experience with ROAM not only in Central America, but also in other parts of the world where the IUCN has streamlined the tool transfer. El Salvador is the most notable example of ROAM buy-in in the region. In contrast, Honduras appreciated the value of the MAS concept⁴¹ and endorsed the idea based on its technical and potential application merits, despite the fact that the tool is yet to be developed, implemented, or used in a classroom or workshop setting.

Time spent on the socialization of tools or methods is essential to develop local capacity. The Regional Guideline for the incorporation of environmental and social safeguards for REDD+ in the national strategy of each country is a tool with five generic steps that have been tailored and taught as requested by the countries. Thus, as stated by the people interviewed, the Program has demonstrated a high capacity to design safeguards for REDD+. RCCP-CARE-IUCN has also supported the governance platforms in Guatemala, Honduras, the Dominican Republic, and El Salvador to appreciate and discuss benefits for different sectors. Even though the Team could not assess [systematically] the effectiveness of the capacity building efforts, the perception of various stakeholders is that the Program has done a remarkable job of bringing people to the national platforms with a willingness to talk about the concerns of women and indigenous groups.

RCCP-CATIE's role in capacity building in Honduras was mixed. Government and USAID staff mentioned that CATIE did a very good job training in MRV and MAS, thus preparing the country to embrace the REDD+ agenda. CATIE had ten MS students working on different topics in both adaptation and mitigation.⁴² The direct and indirect beneficiaries from Sico-Paulaya spoke highly of their acquisition of knowledge from CATIE. However, there is little to no evidence of training, or its effects, on entrepreneurial decision making applied to forestry, agriculture or livestock production, beekeeping, alternative energy, or other alternative livelihoods in deprived areas such as Sico-Paulaya. While people interviewed spoke about their empowerment [through their participation in the environmental platform] to express themselves and to engage in discussions in the local or national platforms, they did not mention whether they had acquired the ability to make evidence-based decisions to address production or marketing issues.⁴³

Madera Verde Foundation was in charge of capacity building in Sico-Paulaya under CATIE's contract. From 2013 to 2016, RCCP spent \$0.57 million at that site; CATIE learned and published research in that area, but the community in Sico-Paulaya still struggles to survive. Furthermore, CATIE's exit strategy was not well-timed or adequately communicated to the stakeholders,

⁴¹ RCCP-CATIE, 2015. Synergies between adaptation and mitigation: priorities to conserve and restore the service ecosystems in Honduras. RCCP, San Salvador. Godoy Liere (2017) presents further developments of this concept. [Godoy Liere, C. 2017, El Manejo y Conservación de Bosques Tropicales y Biodiversidad, MS Thesis, CATIE, Turrialba.]

⁴² Annex X presents a brief on the MS theses produced under the Program.

⁴³ In a similar way, our observations in the Lachuá region, and in San Gil, Izabal, in Guatemala do not reveal that end users have been empowered with the necessary skills to make evidence-based decisions in the management of their natural resources or businesses.

creating frustration amongst most [all] stakeholders. The stakeholders wonder what they did wrong to trigger CATIE's programmatic attrition or exit. The excellent perception of CATIE that prevails in Tegucigalpa is now combined with end-user disappointment in one priority territory.

Regarding the Adaptation component, the Program has aided the organization of seven Climate Fora, which have influenced individuals from other economic sectors [such as amenity, health or risk management] to be involved in meteorology. The Program has granted scholarships to seven MS students in meteorology, who will be reincorporated into meteorological institutions associated with CRRH. CRRH has contributed to regional knowledge on meteorology through 51 years of research tradition.⁴⁴

One of the best investments for the Program has been its interaction with the coffee sector in Guatemala and Honduras during 2015-2016, when training manuals were developed and training events on coffee and climate change took place. The Coffee Cloud was introduced in the Coffee Forum in Guatemala. The Team concurs with some people interviewed who perceive that the Program support to CRRH and Coffee Cloud has resulted in outstanding products born and nourished through a regional effort. It is likely that the Coffee tool will be usable, following customization, by other countries in the region. The tool can include a managerial component to encourage coffee producers and traders to make evidence-based decisions that complement the biophysical information currently provided by the tool.

CLIMA PESCA is a tool that offers a sophisticated set of real-time variables useful for navigation and fishing for the traditional fishing sector, available through smart phones. The tool focuses on safe fish production, but there is an important question yet to be addressed: how much to catch? The answer to this question, related to sustainable livelihoods, requires further modification of the tool and training in critical thinking using basic principles of managerial economics.

Ramos (2017) concluded that the staff from different institutions concur that RCCP enhanced the capacity for response, information management, leadership, planning, and data analysis; leadership has been the most prominent in the Sustainable Landscapes component while information management has been salient in the Adaptation component.

The CAFTA-DR component has contributed to the training and development of regional networks in wastewater treatment, water quality control, and development of tourism guidelines. This component has allowed CATIE to work on enabling key stakeholders to take ownership of activities and results to encourage CCAD's future sustainability. These new activities have concentrated on advancing existing EPA activities and strengthening the medium- and long-term impacts of USAID's investment in CCAD, resulting in a stronger regional organization to tackle critical environment and climate change challenges in Central America.

⁴⁴ Two recent newspaper reports demonstrate some of the regional contributions: Regional Committee on Hydraulic Resources (November, 2016). "Regional Perspective on Climate" for the period of December, 2016 – March, 2017 (D16 EFM17) in Mesoamerica, the Dominican Republic, and Cuba. Accessed at <http://www.snet.gob.sv/UserFiles/meteorologia/perspectivasCA.pdf>; and Regional Committee on Hydraulic Resources (March, 2017). "Regional perspective on Climate" for the period of May – July, 2017 in Central America, Cuba, and the Dominican Republic. Accessed at: <http://www.insivumeh.gob.gt/meteorologia/Perspectiva%20Clima%2052-Abril%202017.pdf>

4.4 QUESTION 4: SUSTAINABILITY

What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

4.4.1 Findings

At the outset of the Program, most of the countries in Central America were not ready for implementing REDD+; they were working towards this end. Regarding the PCFP preparatory documentation for the Readiness Fund, the process in Costa Rica was ongoing in 2008, in Guatemala in 2012, in the Dominican Republic, El Salvador, and Nicaragua by 2013, and in Honduras by 2014. With respect to the National Reduction Program (Carbon Fund), there are also differences (see Annex X). The countries did not understand the depth of REDD+ nor how much work or cost was involved. However, the countries have made progress with RCCP support and guidance to advance the REDD+ agenda. Through the preparation of ER-PIN and ER-PD, they are now in a better position, with more knowledge and practice, to measure the impacts of mitigation and adaptation to climate change.

As mentioned by the stakeholders interviewed, there are some uncontrollable factors that affect the repeated and systematic use of knowledge and skills acquired through international cooperation: a) government instability (changes in presidents and geopolitics in the region) is a considerable barrier to the implementation of most projects; b) changes in government and key personnel are problematic; and c) frequent changes in government priorities contribute to making sustainability more elusive (KII14 G1, KII12 G2, MMI6 G2, and FGD14 G3). The Guatemalan Restoration Strategy is linked to REDD+ government incentive programs such as PINPEP and PROBOSQUES⁴⁵, forest concessions, and others. In El Salvador, the REDD+ strategy has the Restoration Program as the backbone of the Mitigation-based Adaptation Strategy.

Ministries of Environment in El Salvador, Guatemala, and Honduras use ROAM as a planning and decision-making tool to build their national restoration plans. RCCP-IUCN has been the promoter of this tool, but it is up to each government to determine the steps and pace of implementation. This is usually a responsibility left to the ministries of environment, the focal points for REDD+ and Bonn Challenge commitments.

Some informants stated that the ROAM tool needs to be up-scaled for more politicians to be aware and involved, and down-scaled for the communities to appreciate its benefits at the local level (municipality or plot level). At the same time, opinions were expressed that Guatemala and Honduras will need a lot more training to be able to implement this tool effectively. IUCN receives request for ROAM by the ministries and communities, and IUCN has expressed its commitment to continue working in the Lachuá region regardless of changes in funding.

As part of the commitments made to the UNFCCC to build their REDD+ Strategy, Guatemala and Honduras have already established National Safeguards Committees, and El Salvador and the Dominican Republic are in the building process (Annex X). Basically, the parties agreed to apply the safeguards for REDD+ and provide a summary of information on how safeguards will be

⁴⁵ Incentive Program for Small Forestland Owners (PINPEP) and Law for Promoting the Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUES).

addressed, and are also creating a Safeguards Information System (SIS). The guarantee for compliance by these countries will depend on political will. In some cases, this is because once a country has ratified a convention agreement, it becomes a national law and it needs to be implemented and enforced; but also, it should be determined by suitable environmental governance. In addition, low governability in some locations in Honduras (government often cannot enforce the rule of law), for example, has hindered the benefits of efforts in governance; to some extent, CATIE's exit from Sico-Paulaya has been influenced by this uncontrollable factor.

In El Salvador, there are five methodologies/tools received and applied with RCCP assistance: MRV, ROAM, Blue Carbon quantification, Safeguards, and Co-benefits monitoring. These tools are helping the country to prepare a National Restoration Plan. As RCCP is due to end in April, 2018, the country (MARN-ES) will continue these efforts with other funds.

While progress has been made in Guatemala, there is a need for harmonization and coordination. During 2016, two main laws or initiatives were released with RCCP facilitation and guidance: the Law for Promoting Establishment, Recovery, Restoration, Management, Production, and Protection of Forests in Guatemala (PROBOSQUE), a new incentive program of INAB and the National Restoration Strategy (MARN-GT). Interviewees in Guatemala mentioned that (FGD9 G2), *“there should be harmonization between these two legal and technical instruments.”* MARN-GT requests more coordination between agencies supporting countries with REDD+ funds and activities as a guarantee of synergy, efficiency, and sustainability. Good examples of effective coordination are activities carried out by GIZ, USAID-Climate, Nature, and Communities in Guatemala (CNGG), WB, and RCCP) (KII21 G2, FGD2 G1, FGD3 G1, MM7 G2, and MM17 G2).

The Team found that the majority of land stewards, water users, agriculturalists, livestock producers, beekeepers, and artisans in Lachuá or Sico-Paulaya do not have the skills to produce efficiently in order to compete with imports, nor do they have the skills to achieve cost-efficient export quality (FGD4 G2, FGD6 G3a, KII20 G2, FGD14 G3, MM9 G3, and MM10 G3). The exceptions were some cacao producers in Lachuá who export a very well differentiated white cacao, and MADERA VERDE, where they export mahogany for guitar necks. In general, there is a very high dependence on external advisers such as agro-foresters, entomologists, land use planners, social scientists, and small business development specialists, among others.

CRRH and its members (Meteorological Services of Central America) have endorsed Centro Clima and have accepted responsibility for administration of this platform. The transition period is currently underway and is included in the Business Plan prepared by RCCP and CRRH (RCCP-USAID and CRRH-SICA, 2017). RCCP will provide funds as an endowment or trust for operation for two years. The Business Plan includes three stages spanning over nine years. Centro Clima is the second PPP created by RCCP, after FUNDAECO, in Izabal, Guatemala in 2016. Even though Centro Clima is still technically being developed, and the hiring of its core management team is pending, it was born in the region, for the region, and it constitutes an asset for CCAD. According to the Business Plan, Centro Clima was designed to expand into new areas of knowledge and applications.

The continuity of Coffee Cloud is subject to maintaining the collaborative relationship between the CRRH (Centro Clima host administrator) and Coffee Cloud (ANACAFE), requiring continued communication, trust, and coordination of efforts between coffee growers and technicians.

While there is evidence of the use of climatological data at the regional level now that the apps for Coffee and Fishery are ready, their sustainability depends on suitable inter-institutional arrangements as well as follow-up on app performance, acceptance, and evolution. The Team is only aware of CRRH's Business Plan for Centro Clima.

Technical staff involved in the CAFTA-DR component had known each other for some time and the group was functional when it joined RCCP (MM CATIE, KII 22 G2). RCCP has helped, with equipment, expertise, and laboratories, to adopt quality standards, and has encouraged certification as an important element for financial sustainability (FGI2 G2, FGI3 HN).

4.4.2 Conclusions

The REDD+ initiative, as a political and technical instrument for reducing emissions, must be defined and applied uniformly to be long-lasting. Adapting REDD+ to the cultural and productive values in rural communities increases the probability of long lasting effects.

There is a need for more coordination between agencies supporting countries with REDD+ funds and activities to ensure synergy, efficiency, and sustainability.

RCCP has provided a diverse set of tools and methods for planning and decision making (ROAM, MRV, MAS, Consultation, Safeguards, SIS, and apps) useful for mitigating and adapting to climate change. There is a need for political will to continue using the tools, training, and socializing them among government officials, NGOs, and end users. Technical assistance can make this implementation and dissemination more effective. RCCP has contributed to the creation of Centro Clima (clearinghouse) through a public private partnership that is still in the consolidation process; its sustainability depends on stakeholders' willingness to pay for the service provided, which is a function of the usefulness of the apps to adapt to climate change in various economic sectors.

Local communities have had weak empowerment to address day-to-day and strategic planning using evidence of the status of their natural resources and the market environment to determine whether some interventions or innovations are economically viable. The communities still follow, almost blindly, the advice provided by “the experts,” or agents that do not necessarily suggest options in the best interest of long-term benefits for land stewards.

It is likely that the CAFTA-DR component will continue to share expertise even in the absence of USAID's support.

5. RECOMMENDATIONS

The Program has less than a year before its official termination on April 15, 2018. In the remaining time there is an opportunity to consolidate and bring closure to activities that are already yielding fruitful results. In the long-run, USAID has the opportunity to gear its resources towards environmental areas that have a high impact because they are aligned with national and regional needs and priorities.

5.1 IMPACT

To enrich REDD+ strategies and restoration strategies, CATIE should finalize and publish the MAS tool. Then the Program should integrate it with ROAM at different scales. A number of countries are embracing the ROAM tool and MAS concept to prioritize their work in landscape restoration. These tools are not limited to rural areas, as they can be used to include the urban-rural interface not only to recuperate and enhance agricultural productivity and livelihoods, but also to improve the provision and support of environmental services such as water, biodiversity, and cultural or amenity values for the whole population.

The Program has very high standing with MiAmbiente in their preparation for REDD+; however, in the community of Sico-Paulaya there is frustration regarding RCCP's exit plan for September, 2017, which was not properly communicated or socialized by CATIE to the MAPSP. CATIE should provide a suitable explanation for the exit plan to Sico-Paulaya MAPSP members and to local MiAmbiente staff in order to ensure their willingness to collaborate on future research or development.

The Program should strive for consumer service satisfaction (surveys and impact assessments) in the Coffee Cloud in Guatemala and Costa Rica, and should include the other countries that have requested customization of this tool (El Salvador, Honduras, and Nicaragua). The Program should design a protocol for developing a tailor-made training program in order to maximize coverage. Also, the Program should be receptive to new ideas or supplemental services related to the sector and tool capabilities.

CATIE-DAI should test the Clima Pesca app with the users trained to assess its impact and consider possible uses in other countries based on the expected pay-offs of these efforts.

Improvements to the current apps can include the marketing and economic considerations that determine the level of activity in different economic sectors, as well as considerations of negative externalities or impacts from the use of agrochemicals in blue carbon production, for example. The tools could be used to assess not only productivity but also environmental, financial, and economic impacts and trade-offs (see infoagro.net, e-agriculture.org, and agrilinks.org).

While the development of new apps can be appealing, the transition from CATIE to CRRH, who will administer Centro Clima, should be strengthened above all else. This implies paying very close attention to the Centro Clima Business Plan in the first three years and having an open mind in order to adapt to unforeseen circumstances. CATIE should consider hiring a business coach or

mentor to aid CRRH in learning how to support SICA countries and their meteorological services without neglecting institutional and financial sustainability.⁴⁶

USAID/CAM should commission a study to extract or discuss the long-lasting existence of this component in order to distill the lessons learned that could be useful in improving the design of regional activities.

5.2 ALIGNMENT

USAID/CAM, in collaboration with CCAD, and possibly with GIZ, should develop a mechanism to exchange information between the USAID bilateral Missions, and also between different projects under different donors involved in similar thematic areas. This would be compatible with the charter of the Regional Environmental Observatory and is essential to ensuring a fluid exchange of information that will allow users to benefit from other programs and to improve alignment.

USAID/CAM should consider commissioning a climate change-related gender and social inclusion analysis in the search for “development pathways for indigenous, poor and rural women.” While the Program included women as participants in the Sustainable Landscapes and Adaptation components, changes in attitudes at the intra-household level (allowing women equitable access to income generation, food security, and investments) cannot and should not be measured only by numbers of women participating in diverse activities.

CCAD should take the initiative to monitor national and regional alignment in accordance with the Environmental Regional Strategy. CCAD can rely on Coffee Cloud and Clima Pesca users to lead regional efforts. CRRH and RCCP should continue as facilitators and contribute to enhance trust.

CRRH should establish formal partnerships with CCDA, the Coordination Center for the Prevention of Disasters in Central America, and others in its advisory committee, to develop new apps or services.

5.3 LOCAL CAPACITY DEVELOPMENT

In future programs, USAID should consider requiring that programs and projects have a training program with clear goals and objectives that go beyond the quantitative performance indicators. The training results by event should measure how knowledge and skills are acquired by individuals or institutions, rather than simply a head count. Twice a year, the Program could meet and assess how the training is contributing to the application of knowledge, empowerment, and self-reliability among the beneficiaries, including high-level government positions, NGOs, extension personnel, end users of natural resources, and app users.

⁴⁶ There are 15 lines of action and 30 activities from the CCAD Regional Strategy and CRRH collaboration, through which Centro Clima can provide climatic products and services for the SICA member countries (RCCP-USAID and CRRH-SICA (2017)). A few of these lines are: applied research in disaster management in coordination with CEPREDENAC, applications in agriculture and food security, mechanisms of knowledge exchange at a regional scale, communication on climatic information at regional level and response capacity to extreme events, economic instruments for watershed management and pollution reduction of water resources, knowledge of climate change and climatic variability on marine and coastal resources, tourism and climate change, etc. The options for Centro Clima are vast; the Team's recommendations are mostly restricted to the two apps developed to date.

The Program should value and allocate the time required for the socialization of tools as a way to ensure effective local capacity. Moving together in the processes necessary to build tools should be done with the participation of all parties. Even if it takes more time and financial resources, it is of utmost importance to ensure appropriation and quality in results, while making sure to include women, indigenous, and vulnerable groups.

A general recommendation for USAID/CAM for future climate change programs is to include the sustainable livelihoods development approach in all instances where production and trade are involved. Overall, beneficiaries should be empowered with knowledge about how things work in economic, social, and environmental areas. People living in the Northern Triangle (Guatemala/El Salvador/Honduras) require skill enhancements that can contribute to increasing their productive attachment to the land. The implementers should not be satisfied with performance numbers that often hide the complexity of processes involved in production and accessing markets.

CATIE as an IP should ensure that the commitment between the parties in a learning process is socialized through an ongoing review process, with transparency and mutual accountability in the learning process.

App development such as Coffee Cloud and Clima Pesca should not be restricted to biophysical variables (rainfall, temperature, pests and diseases, etc.). They could also include an entrepreneurial dimension that delivers individual or group benefits (profit, access to markets, market intelligence, bargaining power, etc.), and also takes into consideration positive externalities in the management of watersheds and landscapes (erosion control, water supply, biodiversity, cultural and amenity attributes, among others). Centro Clima should enrich its meteorological domain with sectoral approaches sensitized to social, economic, and environmental issues. This could be key for smart or proactive local capacity that is adaptable to moving targets and reducing vulnerability.

USAID/CAM ought to request a study to assess the possible synergies between activities in the CAFTA DR component vis-à-vis the Sustainable Landscapes and Adaptation components in one priority territory.

5.4 SUSTAINABILITY

Ministries of Environment in the Central American region should continue to update and prepare statements about their readiness in REDD+. This will be useful to the countries and for the region in the international fora to present viewpoints and determine needs for more technical assistance and training, as well as to clarify how they relate to national policies and the development agenda. The regional vision could help the countries demonstrate the synergy of working together for common goals, such as resource conservation or diminishing internal and external migration.

CATIE should promote continuous training, technical assistance, and use of all the knowledge generated in the Program to develop the skills required in order to maintain the REDD+ programs. A notable example of this would be the transition from having a Sustainable Landscapes coordinator to not having one.

The Program should continue to promote and socialize all types of stakeholders in the Safeguard Committees (central and local government, civil society, private sector, academia, indigenous groups, and women) to mitigate the risk of social and environmental impacts posed by climate change.

RCCP should organize and support Centro Clima in supervising and managing a virtual library of thematic documents, video clips, presentations, reports, and scientific papers (circa 9 gigabytes). The library should be updated as contributing partners provide more information to the library. An angle that has yet to be developed is the inclusion of modules on the principles of managerial economics that are associated with the productivity of coffee or agroforestry systems, or in fisheries, and to encourage critical thinking among the users of smart phone applications.

The Program should identify synergies with other projects and programs in the region, and it should make systematic efforts for an “optimal” management of human and financial resources. Centro Clima should be a flagship that shares knowledge for the regional common good.

USAID/CAM should assign an exercise to facilitate/develop business plans for some activities carried out under the CAFTA-DR component (similar to Centro Clima in the Adaptation component).

6. PROGRAM MANAGEMENT & USE OF FINANCIAL RESOURCES

6.1 PROGRAM MANAGEMENT

The Evaluation SOW states that “In addition, the evaluation will serve to provide empirical evidence on management issues to support learning and continuous improvement in USAID’s regional environmental work in this activity and future ones.” Although frequent RCCP staff changes were made at the lower levels, the consistency of the program’s upper level of management stayed essentially the same throughout the life of the project, with the exception of the Chief of Party position, which has numbered three to date (Annex XI).

Management style in the last two years was characterized as top-down management, in contrast to a more participatory management style during the previous years. Interviewees mentioned that participatory management promotes the creativity of staff members while top-down management tends to suppress creative actions of less confident staff members. Previous management was characterized as having strong leadership that engaged in long but productive discussions. In contrast, the more recent management style is more detail-oriented with a high level of supervision and direction. Changes at the lower levels have not slowed down program advances in spite of the fact that in some components the turnover has been high. Personnel changes at lower levels can sometimes be beneficial, as new staff bring with them new ideas that challenge older staff members to reevaluate their findings and development strategies.

RCCP operates as a Consortium with several implementing partners (CATIE being the prime; CARE, IUCN, TERRA, and DAI); this requires bringing together the implementers to meet common objectives. People interviewed mentioned that for the most part, implementing partners were not encouraged by RCCP management to work together on important Program endeavors.⁴⁷ In response to the question on sustainability, “what could have been done differently?” Informants replied that “It would have been much better if all the members of the Consortium had showed up together [in the development phase] to assess the options each of them offered to the countries” (FDG12 G2).

6.2 USE OF FINANCIAL RESOURCES

By the end of 2016, the Program had spent \$12.5 million relative to the \$15.9 million committed (Annex XII). Out of the expenditures, CATIE used 63 percent, IUCN 18 percent, DAI 9 percent, TERRA 6 percent, and CARE 3 percent. CATIE’s administration cost was 29 percent (including the labor cost of technical experts, as well as technical coordination meetings and regional events), Sustainable Landscapes 48 percent, Adaptation 17 percent, and CAFTA-DR 6 percent. Expenditure in the priority territory in Sico-Paulaya, Honduras was \$578,807; in Lachuá, Alta Verapaz, Guatemala it was \$71,911; and the partnership with FUNDAECO in Cerro San Gil, Izabal, Guatemala was \$71,610.

⁴⁷ A log of coordination meetings held by the Program was provided by CATIE, shows 12 meetings in 15 quarters, from June, 2013 to December, 2016.

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ANNEX I. STATEMENT OF WORK

STATEMENT OF WORK (SOW) USAID/CAM Final Performance Evaluation of the Regional Climate Change Program (RCCP) Activity

A. Purpose of the Evaluation

The purpose of this Final Performance Evaluation of the USAID Regional Climate Change Program (RCCP) in the Central American region is to inform USAID of activity achievements and challenges to date to make any necessary changes for the remainder of program implementation and plan appropriately for future environmental work in the region. In addition, the evaluation will serve to provide empirical evidence on management issues to support learning and continuous improvement in USAID's regional environmental work in this activity and future ones.

The principal audience of this evaluation internally will be USAID, particularly the Economic Growth Office, the Regional Program Office, and the Mission Management of the Central America and Mexico (CAM) Mission; and the USAID Bureau for Economic Growth, Education and Environment's Office of Global Climate Change. In addition, the implementing partner, the Tropical Agricultural Research and Higher Education Center (CATIE, by its acronym in Spanish), will carry out the remaining activity implementation based on findings and recommendations from the evaluation. Finally, regional environmental agencies coordinating in activity implementation will also participate in the evaluation.

Findings, conclusions, and recommendations will be used by USAID to make any necessary adjustments for the remainder of RCCP implementation, as well as determine areas and approaches for future regional environmental activities based on Mission goals and expected results. In addition, evaluation results will be used for reporting purposes to stakeholders. The evaluation will be undertaken through a collaborative, utilization-focused approach. USAID will also use the evaluation findings to begin designing its next regional environmental activity. The main participants in the evaluation will be the prime implementing partner -CATIE-, activity beneficiaries, and USAID.

This Final Performance Evaluation is scheduled to occur at the three fourth points of program implementation, during the beginning of calendar 2017, with approximately one year left of implementation (RCCP ends in April 2018). The evaluation will cover the period April 16, 2013 through December 2016.

B. Background Information about the Regional Climate Change Program⁴⁸

As part of the Local Solutions component of the USAID Forward Strategy, USAID began implementing RCCP under a cooperative agreement with its local implementing partner CATIE in April 2013. The activity is slated to end in April 2018. The initial cooperative agreement was modified in September 2015 to increase the total funding amount from approximately \$18,500,000 to \$21,383,134 and reflect additional activities and results.

Activity	Implementing Partner	Award Number and Dates	Funding
Regional Climate Change Program	CATIE	AID-596-A-13-00002 April 16, 2013 – April 15, 2018	\$21,383,134.00

Within USAID's Regional Development Cooperation Strategy (RDCS) 2015-2019, the RCCP contributes to Development Objective 2 "Regional climate-smart economic growth enhanced." Specifically, it contributes to intermediate result (IR) 2.1 "Low-carbon development increased" and IR 2.2 "Resiliency of humans and the environment to climate change impacts increased."

The RCCP contributes to the achievement of Objective 1 of the U.S. Government Strategy for Engagement in Central America (CEN strategy) of "Prosperity and Regional Integration" and the first Line of Action in the Alliance for Prosperity Plan in the Northern Triangle⁴⁹ of "Stimulate the productive sector to create economic opportunities."

The RCCP was designed to focus on Sustainable Landscapes ("Reducing emissions from deforestation and forest degradation" mechanism or REDD+) and Adaptation to support the Central American Region in processes to mitigate the negative effects of global climate change. The program included the establishment of carbon-based incentives and mechanisms to reduce emissions from deforestation and forest degradation, agriculture, and other land uses. The design also included broadening partnerships through support for closer coordination between the General Secretariat of the Central American Integration System (SICA, by its acronym in Spanish), Environmental Specialized Institutions, and key U.S. Government agencies such as the National Aeronautics and Space Administration (NASA), the United States Geological Survey (USGS), and the National Oceanic and Atmospheric Administration (NOAA), etc. The purpose of these partnerships was to improve the efficiency and effectiveness of delivering remote sensing data and decision support analysis tools to end users in the region.

The RCCP includes two components: Sustainable Landscapes and Adaptation. These components are aligned with two out of the three pillars of the Presidential Global Climate Change Initiative: Sustainable Landscapes, Adaptation, and Clean Energy.

The three objectives of the Sustainable Landscapes component are:

4. Identify necessary steps and facilitate the implementation of foundational investments required for the development of local, national and/or trans-boundary carbon credit

⁴⁸ The Evaluation Team will have access to the cooperative agreement before the preparation of the Evaluation Plan.

⁴⁹ <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=39224238>.

marketing proposals within and between Central American countries, and between different institutions, as a mechanism to provide financial and economic incentives for the conservation of tropical forest ecosystems.

5. Development and deployment of regional and country-based integrated operations plans and mitigation measures that address climate change stressors and vulnerabilities.
6. Development of integrated and regionally harmonized REDD+ strategies and protocols, Monitoring, Reporting and Verification (MRV) protocols / programs, and other related agriculture, forestry, and other land use initiatives that have the potential to be harmonized and accepted across the region.

The two objectives of the Adaptation component are:

8. Meaningful and useful climate change data is being generated by a variety of institutions and is being distributed to decision makers in both government and the private sector, including communities and other key local stakeholders.
9. Distribution systems provide this data and decision support in a timely and user-friendly manner.

The RCCP modification in September 2015 added another objective: Incorporate considerations of climate change impacts into environmental decision-making in Central America, within five areas:

6. Improving and harmonizing environmental regulations, policies and procedures
7. Strengthening Environmental Impact Assessment procedures
8. Improving enforcement and compliance of environmental laws and regulations
9. Improving energy efficiency
10. Institutional strengthening

C. Evaluation Questions

The following evaluation questions, have been identified by USAID. They should be answered by the Evaluation Team and clearly presented in the Final Report in terms of how they relate to the evaluation purpose. In addition, for each of the questions below, the Evaluation Team should incorporate, to the extent feasible, analysis of possible differences associated with gender or social groups, particularly historically excluded groups (youth, people with disabilities, indigenous populations, etc.), and they should be reported separately for men and women.

1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP?
 - 1.1 What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?
2. To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?
3. To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?
4. What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

D. Evaluation Methodology, Data Collection, and Analysis

For the RCCP performance evaluation, a non-experimental mixed-methods design that combines a comprehensive, rigorous analysis of existing quantitative data with customized qualitative techniques designed to elicit primary data from a wide range of counterparts, partners, beneficiaries, and stakeholders is recommended. This approach allows for triangulation of complementary data to elucidate linkages between activity inputs, outputs, and outcomes. The Evaluation Team should consider a range of possible methods and approaches for collecting and analyzing the data to address the evaluation questions thoroughly. The use of participatory methods and activities that will enhance collaboration and dialogue among counterparts is required. Further, data collection and analysis methods should be sensitive to possible differences related to sex and/or social status, and should follow applicable Institutional Review Board (IRB) guidance on data security to ensure safety and confidentiality of all individuals providing data or information for the purposes of the evaluation. In addition, these methods, to the extent feasible, should be capable of identifying both positive and negative unintended consequences for women or girls.

The finalized evaluation method(s) and approaches, data collection plan and analysis will be included in the Evaluation Plan submitted to USAID for revision and approval before field visits and data collection begin (see Deliverables section below). The method(s) proposed should comply with the USAID Evaluation Policy (<http://www.usaid.gov/evaluation/policy>).

The data collection plan for this evaluation will include, at a minimum: a desk review of relevant documents such as cooperative agreement and work plans; review of activity performance monitoring and context data; key informant interviews and/or focus group discussions promoting equal participation of women and men; and direct observation through site visits. USAID expects both qualitative and quantitative data to be collected; and the results will be coded, triangulated and analyzed for content. The Evaluation Team is encouraged to propose additional/alternate data collection and analysis methods in the Evaluation Plan that they consider can yield stimulating, robust evidence in answering each of the evaluation's questions.

Data collection shall be systematic and data must comply with the five data quality standards of validity, integrity, precision, reliability, and timeliness.⁵⁰ Specific interview, survey and/or focus group protocols will be appended to the Evaluation Plan and finalized with approval from USAID; the questions should be used to answer each of the evaluation questions listed in this document and address the purpose of this evaluation.

All data collected in response to the evaluation questions must have as much level of disaggregation as possible. At a minimum, and per USAID Gender Equality and Female Empowerment Policy⁵¹, all data must be disaggregated and analyzed by sex, as well as analyzed for any differences between effects on men and women or male and female participation.

⁵⁰ http://pdf.usaid.gov/pdf_docs/Pnadw118.pdf

⁵¹ USAID Gender Equality and Female Empowerment Policy
(https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf)

- **Desk review of relevant documents**

USAID will provide the Evaluation Team with all relevant strategy and activity specific documents, such as the cooperative agreement between USAID and CATIE and its amendment(s) including the expected results, performance reports stating the results achieved, any prior assessments if applicable, etc. The Evaluation Team must review these documents and other existing literature provided by USAID and others in preparation for the initial team planning meetings and before meeting with local stakeholders for interviews. The Evaluation Team is expected to review these, make their own contextual literature research and review, and create a Review Matrix to be delivered to USAID as part of the final Evaluation Report, which indicates how key information extracted from reviewed documents and other methodologies used will be linked to each evaluation question.

At a minimum, the following documents relevant to the RCCP Final Performance Evaluation shall be reviewed by the Evaluation Team:

- Regional Development Cooperation Strategy 2015-2019
- RCCP Description and Modification
- RCCP Monitoring and Evaluation Plan
- RCCP annual work plans
- RCCP annual and quarterly progress reports
- U.S. Government Strategy for Engagement in Central America
- Alliance for Prosperity Plan in the Northern Triangle
- USAID Climate Change and Development Strategy 2012 - 2016

These documents will be provided to the Evaluation Team by USAID. Some of them may be publicly available on USAID's Development Experience Clearinghouse (DEC):
<http://dec.usaid.gov>

- **Review of performance indicators**

RCCP has an activity-specific Monitoring and Evaluation Plan and has collected data on a number of standard and custom indicators during activity implementation. This monitoring data collected for USAID, Annual and Quarterly reports, and the implementing partner will provide one source of data on progress toward objectives and outcomes. The Evaluation Team may use monitoring data on performance indicators as part of the evaluation analysis and should report on it in the Final Report as much as it relates to the evaluation questions stated above and satisfies relevant data quality standards.

Context data should be analyzed and included to the maximum extent possible when answering the evaluation questions.

- **Key informant interviews, surveys, focus group discussions**

The Evaluation Team will interview stakeholders, through key informant interviews, group interviews, short surveys, and/or focus group interviews. The Evaluation Team will include both men and women in the stakeholder consultation processes. USAID or its Implementing Partner will provide key informant contact information once the evaluation begins.

At a minimum, the Evaluation Team will interview:

- Key USAID/CAM staff (Agreement Officer's Representative -AOR-, alternate AOR, RDCS DO 2 Team Leader)

- CATIE staff (RCCP key personnel based in San Salvador and CATIE headquarters based in Turrialba⁵², Costa Rica)
- RCCP key partners: IUCN, CARE, DAI, TERRA, and U.S. EPA
- Host country counterparts in targeted countries, including Environmental authorities
- SICA Regional organizations: CRRH, CEPREDENAC, CCAD
- Bilateral USAID Missions in Guatemala, Honduras, and Nicaragua; U.S. Environmental Hub in Costa Rica; and U.S. Embassy in Panama

The Evaluation Team is encouraged to interview other donors and key stakeholders as needed, who are involved with Climate Change cooperation programs, and other actors that can provide insight into USAID programmatic impacts.

A sampling plan describing the selection process (such as purposeful, random, or a combination of approaches⁵³) for organizations and stakeholders for key informant interviews, surveys, and focus group discussions (including sex disaggregation) is expected to be included in the Evaluation Plan and Final Report.

- **Site visits and direct observation**

The Evaluation Team, in consultation with USAID and CATIE, will select relevant site visits based on a sampling plan developed for the Evaluation Plan and included in the Final Report. At a minimum, the Evaluation Team should expect to visit “Pilot Priority Territories”:

Guatemala

Region: Alta and Baja Verapaz

Site where RCCP is: Lachúa (Cobán)

Distance and access from Guatemala city: 224 miles. Asphalt road and dirt road.

Honduras

Region: Sico Paulaya

Site where RCCP is: Iriona (Colón)

Distance and access from Tegucigalpa: 282 miles (between five to six hours of travel). An internal flight from Tegucigalpa to La Ceiba is needed. Dirt road and bridle paths. Ferry the vehicle over by rudimentary basic raft.

Nicaragua

Region: North Caribbean Coast Autonomous Region

Site where RCCP is: Puerto Cabezas (Bilwi)

Distance and access from Managua: 322 miles. An internal flight from Managua to Puerto Cabezas is needed.

Panama

Region: Darien

⁵² Turrialba is 39 miles away from San José, capital of Costa Rica.

⁵³ Some sampling approaches include quota sampling, proximity sampling, convenience sampling, theoretical sampling, typical case sampling, etc.

Site where RCCP is: Punta Patiño (La Palma)

Distance and access from Panama City: Driving between four and five hours on asphalt road towards Puerto Kimba in Darién. Sailing by boat approximately two hours from Puerto Kimba to Punta Patiño (it is necessary for there to be a high tide in order to leave Puerto Kimba)

Large amounts of indigenous populations live in the areas where the pilot territories are located (Q'eqchi', Miskito, Embera-Wounaan); therefore, the Evaluation Team must take into consideration the cultural aspects of these populations when conducting site visits, focus groups, interviews, etc.

The Evaluation Team should plan to meet with USAID bilateral missions (USAID/Guatemala, USAID/Honduras, and USAID/Nicaragua) after being introduced by USAID/CAM to get feedback in the field, since they are the most knowledgeable regarding key players, stakeholders, and potential partners. When meeting key in-country representatives, the Evaluation Team may be accompanied by a member of USAID bilateral missions if the Missions consider it appropriate. The Evaluation Team may be required to debrief USAID bilateral missions on field meetings or site visits, if deemed appropriate. The purpose of the debriefing will be to share findings and receive comments or feedback prior to the preparation of the Draft Evaluation Report.

The Evaluation Team may attend events hosted or sponsored by RCCP during the field work period of the evaluation in order to conduct direct observation. The Evaluation Team can use these events to talk with stakeholders, conduct interviews, and collect additional data as evidence to answer the evaluation questions. USAID and the implementing partner will provide the Evaluation Team with a list of events once the evaluation begins.

Team planning meetings

An initial team-planning/ kick off meeting will be held in El Salvador between USAID and the Evaluation Team before the submission of the Evaluation Plan so that USAID can clarify any questions from the Evaluation Team, expectations, and guidelines. The expected results of this meeting are to:

- Clarify each team member's role and responsibilities
- Confirm the anticipated timeline and deliverables
- Discuss data collection tools and methodologies by evaluation question to be presented in the Evaluation Plan
- Identify communications logistics and how the Evaluation Team, USAID, and the implementing partner will communicate with each other

Additional meetings may be held as deemed necessary by USAID and/or the Evaluation Team.

E. Deliverables

It is estimated that not more than 70 working days of services from the starting date of the evaluation will be required to complete a high-quality evaluation as required under this SOW. During that timeframe, the evaluation team shall submit the following deliverables:

- I. An **Evaluation Plan**, in Word, font Times New Roman size 12, to be completed by the Evaluation Team after the Team Planning Meetings, no later than 15 calendar days after the

starting day of the evaluation. USAID will receive the Evaluation Plan via electronic mail and review it to provide comments no later than 5 working days after receiving the document. The Evaluation Plan will provide details of how the various deliverables, tasks, and activities will be undertaken. It must include at least:

- RCCP description and logic (change theory/development hypothesis);
- Evaluation design⁵⁴, and the explanation of why the design or mix of designs proposed is the most appropriate, its limitations, and how these limitations will be addressed;
- A matrix summarizing the following information per each evaluation question:
 - Method(s) for data collection, data source, the explanation of why one method or mix of methods is the most appropriate, its limitations and the ways to address them;
 - Technique(s) for data analysis⁵⁵, the explanation of why one analysis technique or mix of techniques is the most appropriate, its limitations and the ways to address them.
- Data Management Plan describing the capture of data (for example, interview notes or live recording), storage and transfer, and how all data will be handled in such a manner as to protect the identities of informants in any situations where there are comments that could potentially have a negative impact on their employment or security.
- Timeline and/or Milestone Plan, including tentative starting time for data collection and duration of each activity conducted under the evaluation;
- Drafts of data collection protocols, such as questionnaires or focus group moderator guide(s), interview scripts, consent form,⁵⁶ etc.;
- Evaluation Team composition and roles;
 - Location for the evaluation and Site visit plan.

If the Evaluation Plan includes key informant interviews, surveys, and/or focus group discussions, the Evaluation Plan should include the following information:

1. How the interviews/surveys will help to answer the evaluation questions
2. Who will conduct the interviews/surveys and why they are qualified to do so
3. What the rationale and methods are for deciding the number, timing, and location of the interviews/surveys
4. How the participants will be selected and recruited
5. How the interviews/surveys will be recorded
6. How the interview/survey data will be analyzed and presented

The Evaluation Plan, particularly the data collection and analysis protocols, as well as interview and focus group guides, must be approved by USAID prior to the start of data collection and the field work. All interview protocols must be submitted in English and Spanish. The Evaluation Team will have another 5 working days to make any changes. Once the Evaluation Plan is approved, the Evaluation Team will submit to USAID an electronic copy in PDF. Any subsequent change to the Evaluation Plan must be approved by USAID. The Evaluation Team shall provide USAID and the

⁵⁴ Some examples of evaluation designs for performance evaluations include snapshot design, cross-sectorial design, before-and-after design, time series design, case study design, panel design, etc.

⁵⁵ Some examples of data analysis techniques include parallel, conversion, sequential, multilevel, data synthesis, content analysis, etc.

⁵⁶ If underage persons (less than 18 years old) will participate in this performance evaluation, the Evaluation Team must make sure to comply with all national regulations related to Child Protection.

Implementing Partner with a preliminary briefing on the Evaluation Plan prior to the beginning of data collection.

2. Brief **weekly bullet reports of activities**, submitted to the COR of this evaluation by electronic mail, due every Monday by the close of business.
3. **A Draft of the Final Report** in Word, font Times New Roman size 12, submitted for review no later than 42 calendar days after the approval of the Evaluation Plan via electronic mail. USAID will be responsible for distributing it to the implementing partner and other stakeholders for comments. USAID will consolidate all comments and send the draft back to the Evaluation Team within 10 working days. At a minimum, and in accordance with the USAID Evaluation Policy and ADS 201, the Final Report and its draft versions must include the following sections:
 - Executive Summary of the purpose, background, evaluation questions, findings, conclusions, and recommendations;
 - Evaluation purpose and questions;
 - Thorough description of the evaluation design and any challenges/limitations⁵⁷, with emphasis on the timeliness and methods for data collection and data analysis;
 - Relevant data analysis tables;
 - Findings and conclusions drawn from the analysis of the findings⁵⁸;
 - Action-oriented, practical, and specific recommendations, with defined responsibility for the action;
 - A dissemination plan of findings, conclusions, and recommendations to intended users of the evaluation, and;
 - Appendices:
 - Original SOW, annotated with any changes approved by USAID
 - Evaluation and data collection team composition and roles, with conflict of interest disclosures for all real or perceived conflicts of interest, if necessary
 - Data collection protocols and instruments, including questionnaires and checklists
 - Review matrix of documents consulted
 - Meeting notes
 - Complete schedule of evaluation activities, meetings, and interviews
 - List of individuals and organizations contacted and sites visited
 - Tables, graphs, pictures taken during site visits, maps
4. **A Draft Report Briefing** for USAID and other stakeholders that USAID considers necessary, on the contents, findings, conclusions, and recommendations included in the Final Report. Depending on the audience, the Draft Report briefing may be conducted in English or Spanish. Only the Team Leader needs to be present for this briefing; however, local/regional Evaluation Team members may also attend. The Draft Report Briefing will be used by the Evaluation Team as a feedback exercise to adjust the Final Report.

⁵⁷ The Evaluation Team must identify (a) steps taken to mitigate limitations, and (b) how/whether the limitations affect any particular finding, conclusions, or recommendations.

⁵⁸ In moving from findings to conclusions, the analysis must be clear as to how findings are synthesized through different techniques such as divergence, convergence, and amalgamation; propensity; weighting; etc.

5. **Final Report** in PDF, font Times New Roman size 12, no longer than 40 pages in its body, excluding the cover page; Table of Contents; List of Acronyms; and Appendices. The approved Final Report must adhere to USAID's Evaluation Policy and ADS 201, must be submitted in English and Spanish, and have incorporated USAID's comments, as appropriate. The Final Report will be due to USAID 10 working days after the Evaluation Team receives comments on the draft, and no later than 90 calendar days after the start of the evaluation. Five high-quality printed, bound copies in English and Spanish of the Final Report must be submitted to USAID within 10 calendar days of acceptance of the Final Report.
6. A **One-Page** summary of the evaluation purpose, findings, conclusions, and recommendations. The One-Page summary will be prepared in English and Spanish in PDF.
7. Any **raw data** (qualitative or quantitative) collected in electronic form (DVD or flash drive, in original format of Word, Excel, etc.) is due no later than 100 calendar days after the starting date of the evaluation. As per ADS 540, the Evaluation Team must submit to the Development Data Library (DDL) at www.usaid.gov/data, in a machine-readable, non-proprietary format, a copy of any datasets that are used (or of sufficient quality) to produce an Intellectual Work.
8. A **Final Presentation** with PowerPoint slides to USAID (and potentially to any other stakeholders that USAID considers relevant) in English and Spanish, as the Final Report is being finalized, no later than 100 calendar days after the starting date of the evaluation. Only the Team Leader needs to be present for the final presentation; however, local/regional Evaluation Team members may also attend. The Evaluation Team will upload the final presentation to the DEC and submit an electronic copy of the final presentation to the COR of this evaluation.
9. **Other deliverables** as identified during the Team Meeting and agreed to by USAID and the Evaluation Team.

All reports and papers will be considered draft versions until they are approved by USAID. These draft documents must be labeled with the word "DRAFT" in watermark.

Findings must be presented as analyzed facts, strong qualitative and quantitative evidence and data, and not based on anecdotes, hearsay or the compilation of people's opinions. To ensure unbiased findings, there is no guarantee that findings will be modified based on USAID suggestions. The Evaluation Team will research, investigate, and corroborate as objective any suggestion before it is incorporated in the findings, and the change will be noted in the draft document so as to have a record of the change.

All submitted reports and presentations must be thoughtful, well-researched, and well-organized documents, and objectively answer the evaluation questions. When writing the report, the Evaluation Team must remember the different audiences. The style of writing should be easy to understand and concise, while making sure to address the evaluation questions and issues with

accurate and data-driven findings, justifiable conclusions, and practical recommendations.⁵⁹ The Evaluation Team should clearly list any biases or limitations that exist during both data collection and analysis (selection bias, recall bias, unobservable differences between comparative groups, etc.). In addition, all real or possible conflicts of interest must be disclosed by each member of the Evaluation Team in writing.

When quoting an individual in any report, the Evaluation Team must always give the context or circumstances of the quote. Correcting a grammatical error in the quote may be valid, but not rewording an entire phrase. When translating quotes from one language to another, the Evaluation Team should do so in an idiomatic way, and care must be taken to ensure that the tone of the translation is equivalent to the tone of the original. Quotes should be presented in their original language in report texts.

All reports must comply with the USAID Graphic Standards Manual (http://pdf.usaid.gov/pdf_docs/PNADB334.pdf) and the ADS Style and Format Guide (<https://www.usaid.gov/sites/default/files/documents/1868/501mac.pdf>).⁶⁰ Once a Final Report has been approved by USAID, the Evaluation Team will make it compliant and submit it to the DEC.⁶¹ The Evaluation Team will send by electronic mail to USAID the DEC link where the evaluation reports are available. USAID will assess the quality of all evaluation reports using the Evaluation Report and Review Template (<http://usaidlearninglab.org/sites/default/files/resource/files/template-evaluation-report-checklist-and-review-aug2015.pdf>). USAID may attach a Statement of Differences as an Annex to any Final Report if any differences remain in the final version.

F. Evaluation Management

Evaluation Team

This performance evaluation will use a combination of multidisciplinary international, regional, and local experts. The Evaluation Team must include at a minimum:

Evaluation Team Leader (Key personnel)

Minimum qualifications

Education: Master's degree in development or related development fields, such as Economics, Political Science, Public Administration, Business Administration, or other disciplines related to development assistance is required. Ph.D. degree is a plus. Formal training in monitoring and evaluation is preferred.

Language Proficiency: English Level IV and Spanish Level III

Work Experience: At least 10 years of relevant prior experience conducting rigorous external evaluations using both quantitative and qualitative methods for development objectives and monitoring projects and programs, preferably in Latin America. Experience in Central America is

⁵⁹ For additional information on the criteria to ensure the quality of Evaluation Reports, see the USAID's How-To Note "Preparing Evaluation Reports" (https://www.usaid.gov/sites/default/files/documents/1870/How-to-Note_Prepating-Evaluation-Reports.pdf), and Annex 1 of the USAID Evaluation Policy (<https://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf>)

⁶⁰ Evaluation Team may use the Evaluation Report Template available in <http://usaidlearninglab.org/library/evaluation-report-template>

⁶¹ Per Automated Directives System 540, documents and development assistance projects materials produced or funded by USAID must be submitted for inclusion in the DEC: <https://dec.usaid.gov/dec/content/Create.aspx?ctID=ODVhZjk4NWQtM2YyMi00YjRmLTkxNjktZTcxMjM2NDhmY2Uy>

a plus. At least eight years of project management experience. Experience with management of multidisciplinary teams is a plus. Some familiarity with USAID's objectives, approaches, operations, and policies, particularly as they relate to evaluations is a plus.

Position Description: The Evaluation Team Leader will be responsible for overseeing and coordinating all activities related to this performance evaluation and for ensuring the production and completion of quality deliverables in a professional manner, in conformance with this SOW.

Two (2) Environment/Climate Change Specialists (Key Personnel)

Minimum qualifications

Education: Bachelor's degree in Environmental Studies, Natural Sciences, Biology, or a field related to development such as International Relations, Public Administration, Public Policy, Political Sciences, and other Economic Development fields. Advanced degree is preferred. Formal training in monitoring and evaluation is preferred.

Language Proficiency: Spanish Level IV and English Level IV.

Work Experience: At least 8 years of progressively responsible, professional-level experience in environmental studies, protection, climate change, mitigation, sustainable landscapes and/or environmental policy is required, preferably in Central or Latin America. Experience or knowledge of Central America's major environmental issues and entities is preferred. Familiarity with USAID's objectives, approaches, and operations, particularly as they relate to evaluations is a plus.

Position Description: The Specialists will provide guidance to the Evaluation Team Leader on environmental and climate change issues. They should be familiar with major environmental issues, entities, and frameworks.

Logistics Coordinator (Non-Key Personnel)

Minimum qualifications

Education: High school or technical degree in administration or a related development field, such as Economics, Political Science, Public Administration, Business Administration, or other related discipline related to development assistance is required.

Language Proficiency: Spanish Level IV and English Level II.

Work Experience: At least five years of relevant work experience. Participation in or knowledge of evaluation of development projects is a plus.

Position Description: The Logistics Coordinator will be responsible for coordinating with USAID, the implementing partner, and the Evaluation Team to schedule meetings, transportation, and other administrative logistics. S/he will be involved in planning and may help with data collection and analysis.

Key personnel should have considerable experience in designing, monitoring, and evaluating development assistance programs. They must have excellent written and oral presentation skills and the ability to conceptualize and write clearly and concisely. Understanding of the Latin American context is necessary, with a preference for personnel with work experience specifically in Central America. At least one key personnel member must have experience working in gender and social inclusion issues in a development context. All Team members will be required to provide to USAID a signed statement indicating any conflict of interest. The Team Leader must be someone external to USAID. No key personnel shall have been directly involved in the implementation of RCCP. Anyone who

has worked directly with USAID or its implementing partner in the last five years must not be considered as part of the Evaluation Team.

Logistics

The Evaluator will be responsible for all logistics support under this SOW, including field office administration, all travel arrangements (with required USAID clearances), team planning facilitation and appointment scheduling, coordination with all partners and stakeholders involved, administrative services (computer support, printing and copying), report editing and dissemination, and for complying with provisions set forth in this SOW.

USAID will provide limited support to the Evaluation Team. This support, if needed, may include assistance in arranging high level meetings; access to the U.S. Embassy compounds as necessary; and access to all reports, data, and other relevant documents created by RCCP.

ANNEX II. WORK PLAN



WORK PLAN: FINAL PERFORMANCE EVALUATION OF THE REGIONAL CLIMATE CHANGE PROGRAM (RCCP) ACTIVITY

Evaluation Work Plan

May 15th, 2017

Prepared for the United States Agency for International Development
M&E&L Initiative for Contract Number: AID-OAA-I-15-00024/AID-519-TO-16-00002

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ACRONYMS

AOR	Agreement Officer's Representative
CAM	Central America and Mexico
CAFI	Custom CAFTA-DR Indicator
CAFTA-DR	Dominican Republic-Central America Free Trade Agreement
CARE	Christian Action Research and Education
CATIE	Tropical Agricultural Research and Higher Education Center
CCAD	Central American Commission on Environment and Development
CEN	U.S. Government Strategy for Engagement in Central America
CEPREDENAC	Coordination Center for Disaster Prevention in Central America
CI	Custom Indicator
CRRH	Regional Committee on Hydraulic Resources (SICA)
DAI	Development Associates International
DEC	Development Experience Clearinghouse
DO	Development Objective
DQA	Data Quality Assessment
EPA	Environmental Protection Office
FGD	Focus Group Discussion
IR	Intermediate Result
IRB	Institutional Review Board
IUCN	International Union for Nature Conservation
LOE	Level of Effort
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation, and Learning (Plan)
NASA	National Aeronautics and Space Administration
NOAA	National Oceanic and Atmospheric Administration
NRM	Natural Resource Management
MRV	Monitoring, Reporting and Verification
PIRS	Project Indicator Reference Sheet
PITT	Performance Indicator Tracking Table
PMEP	Performance Monitoring and Evaluation Plan
PMP	Performance Management Plan
PPP	PowerPoint Presentation
RCCP	Regional Climate Change Program
RDCS	Regional Development Cooperation Strategy
REDD+	Reducing Emissions from Deforestation and Forest Degradation Mechanism
SI	Standard Indicator
SICA	General Secretariat of the Central American Integration System
SLM	Sustainable Land Management
SOW	Statement of Work
TERRA	Terra Capital, Inc.
USAID	U.S. Agency for International Development
USGS	U.S. Geological Survey

INTRODUCTION⁶²

As part of the Local Solutions component of the United States Agency for International Development (USAID) Forward Strategy⁶³, USAID began implementing the Regional Climate Change Program (RCCP) activity under a cooperative agreement with its local implementing partner, the Tropical Agricultural Research and Higher Education Center (CATIE, by its acronym in Spanish), in April 2013. The activity was scheduled to end in April 2018. The initial cooperative agreement was modified in September 2015 to increase the total funding from \$18,500,000 to \$21,383,134 and to reflect additional activities and results.

The RCCP, within USAID's Regional Development Cooperation Strategy (RDCS) 2015-2019, contributes to Development Objective 2 "Regional climate-smart economic growth enhanced." Specifically, RCCP contributes to intermediate result (IR) 2.1 "Low-carbon development increased" and IR 2.2 "Resiliency of humans and the environment to climate change impacts increased." The RCCP also contributes to the achievement of Objective 1 of the U.S. Government Strategy for Engagement in Central America (CEN Strategy) of "Prosperity and Regional Integration," the first Line of Action in the Alliance for Prosperity Plan in the Northern Triangle⁶⁴ to "Stimulate the productive sector to create economic opportunities," and the environmental activities of the Dominican Republic-Central America Free Trade Agreement (CAFTA-DR).

The RCCP was designed to focus on Sustainable Landscapes ("Reducing emissions from deforestation and forest degradation" mechanism, or REDD+) and Adaptation to support the Central American Region (Costa Rica, El Salvador, Honduras, Guatemala, Nicaragua, and Panama) in processes to mitigate the negative effects of global climate change. The program included the establishment of carbon-based incentives and mechanisms to reduce emissions from deforestation and forest degradation, agriculture, and other land uses. The design also included broadening partnerships through support for closer coordination between the General Secretariat of the Central American Integration System (SICA, by its acronym in Spanish), Environmental Specialized Institutions, and key U.S. Government agencies such as the National Aeronautics and Space Administration (NASA), the United States Geological Survey (USGS), and the National Oceanic and Atmospheric Administration (NOAA), etc. The purpose of these partnerships was to improve the efficiency and effectiveness of delivering remote sensing data and decision support analysis tools to end users in the region.

The RCCP includes three components: Sustainable Landscapes, Adaptation, and CAFTA-DR. These components are aligned with two pillars of the Presidential Global Climate Change Initiative: Sustainable Landscapes, Adaptation, and Clean Energy.

The three objectives of the Sustainable Landscapes component are:

1. Identify necessary steps and facilitate the implementation of foundational investments required for the development of local, national and/or trans-boundary carbon credit marketing proposals within and between Central American countries, and between

⁶² This section is based on USAID. Central America and Mexico (CAM), Regional Development Cooperation Strategy, 2015-2019, the Statement of Work for this Evaluation, and the Monitoring and Evaluation and Learning Plan for the Regional Climate Change Program.

⁶³ <https://www.usaid.gov/usaiddforward>

⁶⁴ <http://idbdocs.iadb.org/wsdocs/getdocument.aspx?docnum=39224238>

different institutions, as a mechanism to provide financial and economic incentives for the conservation of tropical forest ecosystems;

2. Develop and deploy regional and country-based integrated operations plans and mitigation measures that address climate change stressors and vulnerabilities;
3. Develop integrated and regionally harmonized REDD+ strategies and protocols, Monitoring, Reporting and Verification (MRV) protocols / programs, and other related agriculture, forestry, and other land use initiatives that have the potential to be harmonized and accepted across the region.

The two objectives of the Adaptation component are:

1. Generation of meaningful and useful climate change data by a variety of institutions and distribution to decision makers in both government and the private sector, including communities and other key local stakeholders;
2. Development of distribution systems to provide this data and decision support in a timely and user-friendly manner.

The RCCP modification in September 2015 added another component—CAFTA-DR: to strengthen the environmental management systems of CAFTA-DR countries (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, and Panama) and their institutional and legal frameworks, thereby increasing their ability to use innovative approaches, processes, strategies, or methodologies to adapt to climate change within five areas:

1. Improving and harmonizing environmental regulations, policies and procedures;
2. Strengthening Environmental Impact Assessment procedures;
3. Improving enforcement and compliance of environmental laws and regulations;
4. Improving energy efficiency;
5. Institutional strengthening.

Development hypothesis of the RCCP: Through the establishment of carbon-based incentives to reduce emissions from deforestation, forest degradation, and other land uses, and through the integration of earth observation information and geospatial technologies into development decision making, target countries will improve their environmental management and resilience to climate change.

EVALUATION OBJECTIVES

As ordered by the SOW, the purpose of this Final Performance Evaluation of the USAID Regional Climate Change Program (RCCP) in the Central American region is to inform USAID of activity achievements and challenges to date in order to make any necessary changes for the remainder of program implementation and plan appropriately for future environmental work in the region. In addition, the evaluation will serve to provide empirical evidence on management issues to support learning and continuous improvement in USAID's regional environmental work in this and future activities.

The principal audience of this evaluation internally will be USAID, particularly the Economic Growth Office, the Regional Program Office, and the Mission Management of the Central America and Mexico (CAM) Mission; and the USAID Bureau for Economic Growth, Education and Environment's Office of Global Climate Change. In addition, the implementing partner, the Tropical Agricultural Research and Higher Education Center (CATIE, by its acronym in

Spanish), will carry out the remaining implementation activity based on findings and recommendations from the evaluation. Finally, regional environmental agencies coordinating in activity implementation will also participate in the evaluation.

Findings, conclusions, and recommendations will be used by USAID to make any necessary adjustments for the remainder of RCCP implementation, as well as determine areas and approaches for future regional environmental activities based on Mission goals and expected results. In addition, evaluation results will be used for reporting purposes to stakeholders. The evaluation will be undertaken through a collaborative, utilization-focused approach. USAID will also use the evaluation findings to begin considering its next regional environmental activity. The main participants in the evaluation will be the prime implementing partner -CATIE-, activity beneficiaries, and USAID.

APPROACH AND METHODOLOGY

Approach

Below is a narrative of the scope of the evaluation coverage, key and secondary data sources that the Evaluation Team (the Team) will be consulting for analysis, data collection and design strategy, data collection instruments, and how they will be used throughout this evaluation. Finally, risks and limitations as well as the importance of integrating gender and social inclusion topics into the evaluation are addressed. The Evaluation Design Matrix contains the four key evaluation questions mentioned in the SOW, the information sought, information sources, data analysis methods, and limitations associated with the methods (Annex A). Refer to Annex B for the Work Schedule. Prior to conducting stakeholder consultations and interviews, the Team will conduct in depth interviews with Program (CATIE) and USAID staff.

Evaluation questions⁶⁵

The following evaluation questions, **in priority order**, have been identified by USAID. They will be answered by the Team and clearly presented in the Final Report in terms of how they relate to the evaluation purpose. To the extent possible, the Team will apply a before and after approach to answer the evaluation questions, as this will trigger explanations of how, when, in what ways, and to what extent the RCCP has achieved something beyond the quantitative indicators (see Annex A). In addition, for each of the questions below, the Team will incorporate, to the extent feasible, analysis of possible differences associated with gender or social groups, particularly historically excluded groups (youth, people with disabilities, indigenous populations, etc.), and they will be reported separately for men and women. The evaluation questions are:

1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP?
 - 1.1 What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?
2. To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?
3. To what extent has USAID been able to build or strengthen local capacity in the region

⁶⁵ Statement of Work (SOW), USAID/CAM Final Performance Evaluation of the Regional Climate Change Program (RCCP) Activity, March 2017.

- to address climate change issues?
4. What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

The different stakeholders identified by USAID and expanded on by the Team for this evaluation are:

8. Implementing Partner-IP (CATIE)
9. Consortium members (CARE, DAI, IUCN, TERRA Global, and U.S. EPA)
10. Government cluster: officers from Guatemala, Honduras, Nicaragua, and Panama
11. Private Sector (Forest management and agroforestry cooperatives, cattle associations, private NGOs, and private business people)
12. Regional organizations: CRRH, OSPESCA, CCAD, NGOs, FAO, GIZ
13. Program beneficiaries in Guatemala, Honduras, Nicaragua, and Panama.⁶⁶ This may include forest users inside and outside REDD+ areas
14. USAID Cluster: Economic Growth Office, the Regional Program Office, and the Mission Management of the CAM Mission, USAID bilateral missions in Guatemala and Honduras,

Evaluation questions for different groups of stakeholders								
	Group 1 (USAID Cluster, Implementing Partners)	Group 2 (SICA members, National Governments, NGOs, Private Sector)	Group 3 (Program beneficiaries and <u>non beneficiaries</u> at pilot sites)					
	Number of questions							
Question 1.1 <i>Impact</i>	3, 3	3, 3						
Question 1.2 <i>Impact</i>	3	4						
Question 2 <i>Alignment</i>	3	1						
Question 3 <i>Capacity Development</i>	3	6						
Question 4 <i>Sustainability</i>	3	2						
Custom questions C1, C2, C3	2	1						
TOTAL	20	20	22					

⁶⁶ Visits to Nicaragua and Panama are included as an **Alternative Plan** if local contacts are confirmed and government clearances are obtained. During the meeting with USAID (May 5, 2017), it was suggested that the Team should consider assessing the impact of RCCP in the Pilot Priority Territories of Nicaragua and Panama. And if, during this evaluation, the opportunity arises to visit these sites (timely clearances), the Team will try to visit the sites, preferably with USAID staff. Thus, it would be necessary to allocate five more days to this consultancy, therefore, the Team requests to budget trips to Northern Nicaragua and Punta Patiño in Panama (5 LOE and financial resources for the three team members).

and the USAID Bureau for Economic Growth, Education and Environment's Office of Global Climate Change.

To facilitate their work, the Team has divided the stakeholders into three distinct groups, and the Evaluation questions have been associated with themes as follows: Evaluation question 1 with *impact*, Evaluation question 2 with *alignment*, Evaluation question 3 with *capacity development*, and Evaluation question 4 with *sustainability*.

The Team will also interview indirect beneficiaries (institutions and organizations at the pilot sites visited), in order to ascertain their thoughts on RCCP's relevance and implementation strategies.

The performance of RCCP can be assessed in terms of its three components by capturing the interplay with their associated outputs and outcomes in order to determine whether the project is:

- *Sustainable*, building on local capacity in preparation for the donor's exit strategy, in this case the main implementing partners
- *Replicable*, demonstrating that the approach(es) can be scaled up to reach greater coverage
- *Evidence-based*, enhancing access to information on current conditions and best practices to promote informed decision-making.

As explained in the next section, this evaluation will use quantitative performance measures provided by RCCP and reported in the progress reports submitted to USAID. Most importantly, the evaluation will rely on qualitative tools or instruments to uncover the nuances of the integration of regional efforts in mitigation and adaptation to climate change, as well as environmental management systems in the CAFTA-DR countries. Knowing what works and why will enhance informed managerial decision-making and program development.

METHODOLOGY

This evaluation will assess implementation performance of the three RCCP components using the PMEP indicators. This assessment will be complemented with qualitative research to uncover the complexity of the project. The Team will interview end users (or beneficiaries), land users in areas under REDD+ who have received assistance and training in sustainable land management and adaptation to climate change, including agroforestry community enterprises, producer associations, and local investors, among others. The Team will also interview indirect beneficiaries such as individuals, communities, or municipalities that may observe and learn from the direct participants. The Team also will interview the implementing partner, Consortium partners, government officers, and USAID staff in selected countries. They will receive special attention in order to understand what the mechanisms or practices are that induce or hinder sustainable landscape management and adaptation practices to cope with climate change risks.

Direct Observations, Interviews and Focus Groups

The Team will conduct direct observations, semi-structured interviews, and focus groups with direct and indirect beneficiaries in Guatemala (Lachúa, Cobán, Alta and Baja Verapaz Region, and Izabal) and Honduras (Iriona, Colón, Sico-Paulaya Region). Selection of interviewees will be done in consultation with USAID and the Implementing partner and Consortium members;

there is no room for randomization, as the pool of potential interviewees, locations, and time is very limited. El Salvador and Costa Rica provide administrative and programmatic support to RCCP. All interviews will be conducted by specialists with more than ten years of experience each in diverse settings.

Focus Group Discussions (FGD) will be structured as a “show and tell” event wherein the participants will describe their activities and achievements, followed by semi-structured questions from the Team. This format will allow for thematic dialogue relevant to the evaluation questions. These FGDs could last between two to four hours, depending on the level and amount of information to be shared for a specific group. The number of participants in the FGDs can vary from two to eight people, depending on the venue and availability of participants. If there are enough women in the visited sites, separate FGDs will be conducted. The Team is not authorized to travel to some sites due to security reasons and does not have control of participation by both men and women from remote areas that require long journeys away from their homestead. Meetings will be held in hotels when travel restrictions hold for the Team, otherwise they will be held in community centers, schools, or churches. Maya speaking translators will ensure fluent communication between the participants and the Team. The majority of, if not all, key informants and participants in FGDs in Honduras speak Spanish.

Data will be written in the Questionnaire forms and will be filed as daily recordings as notes from the key informant interviews (KII) or FDGs, which in turn will be uploaded once a week into a Google docs system that the Mendez England & Associates office has customized for easy uploading in English. As instructed by the Statement of Work (SOW), the Team will strive to interview women, youth, and indigenous groups to determine how they have benefited from the program, and how men and women have been affected differently. Whenever possible, the Team will debrief the bilateral USAID Missions after the field visits.

Schedule of field activities

Stakeholder	Guatemala	Honduras	El Salvador	Costa Rica
1-Government	X	X	X	X
2-IP and Consortium members	X	X	X	X
3-Regional organizations, NGOs, donors, and private sector	X	X	X	X
4-USAID cluster	X	X	X	
5-Direct beneficiaries at pilot sites	X	X		
5-Indirect beneficiaries at pilot sites	X	X		
Dates	May 22-29	May 30-June 3	June 5- 6	May 15- 21

Quantitative and qualitative analysis

Performance indicators will be used to assess advancement of the Program against its expected and agreed upon milestones. This entails computations of proportions or percentages in a Performance Indicator Tracking Table (PITT). Qualitative analysis of information gathered through direct observation, semi structured interviews, and focus groups will be based on a guide with open-ended questions related to each of the four proposed questions, and also linked or mapped to eight standard indicators (SI), three custom indicators (CI), and four custom CAFTA-DR (CAFI) indicators in the RCCP Performance Monitoring, Evaluation and Learning Plan (USAID, 2017). In qualitative research, the first step is the development of field notes, for which the Team will identify key information as topics for assessing the three RCCP components. In a second stage, the team will compile lists of recurrent topics or issues and will come to a consensus regarding the most important and relevant ones. The third stage of data analysis entails coding interview responses according to the most relevant topics. The last stage will be a detailed analysis of the combined coded responses to identify the dominant responses regarding the three components in terms of the four USAID questions that are linked to SI, CI, and CAFI.⁶⁷ Only responses provided by at least three participants or interviewees, representing at least two stakeholder categories, will be considered as valid evidence for a finding. This criteria, however, may need to be re-considered in light of the number of informants and/or their credibility. Evidence to support the conclusions and findings of this evaluation will also be gathered by a close examination of key studies and training material produced, and direct observation of sustainable land management (SLM) practices and adaption mechanisms conducted by participating institutions and indigenous communities at the pilot sites. Of particular interest here are how best practices implemented (in agriculture, forest management, reforestation, agroforestry, site restoration, silvo-pastoral systems, coffee and cacao plantations, biodiversity conservation, timber and non-timber cottage industries, etc.) improved the livelihoods of participating rural families. Annex C presents open ended questions for direct and indirect participants, as well as questions for other types of stakeholders.

Limitations of the methods used

The PMEPI indicators may represent a measure of performance for accountability in resource use, but they may not properly represent the complexity of the processes being assessed. The Team will assess the results of the Data Quality Assessment (DQA) performed to date, as well as the indicators used by USAID for accountability purposes. The Team will use qualitative methods to compensate for what the indicators do not explain. In turn, relying extensively on qualitative data can also have the limitation of not being representative and resting on anecdotal information. To compensate for these potential limitations, the Team will conduct the data collection and analysis systematically by triangulating across multiple sources (stakeholder categories) and methods (individual, focus groups, and on-site observations) to ensure the reliability and validity of findings and conclusions (see Annex A).

⁶⁷ Harden, A. et al. (2004), Applying systematic review methods to studies of people's views: an example from public health research. *Journal of Epidemiology and Community Health*, 58, 794-800; Thomas, J. et al., (2004), Integrating qualitative research trials with trials in systematic reviews, *British Medical Journal*, 328, 1010-1012.

Vetting of findings, conclusions and recommendations

Initial findings will be shared with USAID in country debriefing meetings or with the Contract Officer's Representative (COR) in the weekly reports. Additionally, the Team will "socialize initial impressions" after the visits to the Pilot Priority Territories and countries (sometime during the week of Friday June 16).⁶⁸ The Draft Final Report will be shared with USAID and stakeholders to collect feedback. Also, there will be a presentation for USAID to discuss the findings, conclusions, and recommendations, and to attest that the outputs of this evaluation are congruent with the stakeholders' perceptions and that the recommendations are actionable and useful to inform decision-making and program development. Observations and recommendations from this process will be integrated into the final version of the evaluation report.

Summary of the evaluation methodology

The Evaluation Design Matrix contains the four key evaluation questions; the data collection method(s) to be used are specified as well as the targeted stakeholder groups. Prior to conducting stakeholder interviews, the Team will interview relevant RCCP Project Team members. Some sub questions and prompts are provided, taking into consideration themes or elements embedded in the RCCP results framework, as represented by the PMP Indicators. Refer to Annex B for the Work Schedule. In addition to the stakeholders mentioned, the Team anticipates that it will identify other individuals and organizations during the course of the evaluation that can offer insights on project performance and future directions, and will interview them accordingly. The Team (Annex E) will keep a log of all contacts and selected photos.

Documents & Data Review

The Team will review strategic documents such as the RDCS 2015-2019, the Cooperative Agreement USAID-CATIE, April 2013 and its modification on September 2015, RCCP quarterly and annual reports, annual work plans, DQAs, climate change mitigation and adaptation literature, the United Nations Programme on Reducing Emission from Deforestation and Forest Degradation Evaluation (UN-REDD, 2015), and miscellaneous documents, to assess:

- progress against the deadlines specified in the approved Work Plan and indicator targets specified in the PMP (quantitative);
- quality of document-based deliverables (qualitative);
- implementation context: institutional framework and socio-economic conditions; and
- links with national strategies and other projects.

A preliminary list of documents revised by the Team is included in Annex F.

⁶⁸ The socialization of initial findings will require two additional days of LOE (preparation and event) to avoid reducing time already allocated to the preparation of the Final Draft Report. This is now reflected in the Deliverables Table below.

KEY DELIVERABLES AND WORK SCHEDULE

Key deliverables and deadlines are as follows.

Deliverables and Trips to the Field	Date
Preparation and submission of Evaluation plan, one week from home and two weeks in El Salvador	April 17- May 5
In-Briefing meeting	April 24
Draft Work Plan to USAID	May 5
USAID Work Plan approval	May 12
Changes in the Evaluation Plan / approval of the Evaluation Plan / programming site visits and direct observation (ET)	May 15
Site visits, focus groups, and interviews in El Salvador, Guatemala, Honduras, Nicaragua, Panama, and Costa Rica (ET)	May 16-June 5
Data analysis (ET) and “socialization of initial impressions” ⁶⁹	May 29-June 16
Writing and submission of draft Final Report (ET)	June 12- July 7
Draft Final Report Briefing / One Page Summary (Spanish and English) (TL)	July 7
Review draft Final Report (USAID)	July 10-21
Finalization of Final Report in English to M&E&L (Aug 1 st) for quality control, M&E&L provides feedback (Aug 3 rd), Work on final submission to M&E&L, Preparation of Power Point presentation (TL), USAID approval of Final Report in English	July 24-August 4
Final Power Point presentation in El Salvador (TL) (Aug 10 th), approved document in English translated to Spanish by ME&A in consultation with TL	August 7-18
Final Report(s) finalized and uploaded in the USAID Clearinghouse ⁷⁰	August 14-18

ET=Evaluation Team, TL=Team Leader

Annex G includes the Planned Interviews with Stakeholders in Countries and Pilot Priority Territories, and Annex H includes a detailed daily schedule of interviews between May 14 and June 5.

⁶⁹ Two days of work for the preparation and socialization of initial impressions are accounted for in the deliverables table, but the Gantt Chart in Annex B was not modified because it was designed on a weekly, not a daily basis.

⁷⁰ The translation and verification of Spanish version may take longer, 21-25 August.

Annexes

ANNEX A. EVALUATION DESIGN MATRIX

Evaluation Question and PME-Related Indicator	Information sought	Information sources	Data analysis methods	Limitations
Q1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP? Q1.1. What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?	Most relevant intended and unintended results achieved by the Program. How has RCCP benefited stakeholders, including regional, national, and local public institutions and forestry and agriculture cooperatives, community organizations, and indigenous families? Assess the impact of different products such as the Mitigation and Adaptation Synergy Tool, MRV, Financial Planning for National REDD+ Programs, Adaptation tools for energy, coffee, fisheries, and disaster risks. Data base of climatic data in Central America, information clearinghouse, institutional design and business plan for Centro Clima, and the Climatic model for the region.	Key informants (all stakeholders). Annual and quarterly reports. Methodologies, training materials, tools and scientific reports produced or supported by the Program. RCCP Dropbox made accessible to the Team.	Literature review of USAID and UN work in REDD+. Direct observations, open ended questions for stakeholders, interviews and focus group discussions with participants and beneficiaries. Information will be coded, verified with triangulation across stakeholders and locations in different countries.	Interviewees may confuse drivers of deforestation with assumptions made by the RCCP. Whenever necessary, the interviewers will try to establish differences between RCCP assumptions and drivers of deforestation without obstructing the flow of communication in open-ended questions. Program interventions may not be the only ones influencing environmental, social, and economic processes. There are interactions amongst them; thus, it may be difficult to establish causality. The Team will try to capture information not only from Program related individuals but also from other donors or similar projects in the same areas to help determine program attribution in observed results or outcomes.

Evaluation Question and PMEP-Related Indicator	Information sought	Information sources	Data analysis methods	Limitations
	Specification and understanding of controllable and uncontrollable factors that affected RCCP performance. Contextual factors that affect performance at the country and pilot priority territory level.			Although interviewees will be selected with great care for their knowledge of RCCP, not all will be versed in all facets of this very complicated initiative, meaning that they might not be able to respond in great detail to some important questions. This is especially true of public institutions, businesses, and community organizations found at the pilot sites. The questions to be asked at these sites have been formulated to attend to this limitation.
Q2. To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?	The Team will investigate how regional, national, and local policies, strategies, and needs as related to climate change have evolved over time. If the RCCP has evolved to meet these changes, then the answer to this question is yes, RCCP is very much in line with the needs of the region/countries. Congruence of results with national and CA climate change strategies, needs, and priorities	Annual reports. CAFTA-DR documentation. Key informants (USAID officers, Implementation Partner and Consortium members, high level government officials in ES, CR, GT, HN and NI) Improved policies, rules, regulations, and staffing arrangements adapted by participating institutions.	Literature review of national and regional environmental agendas and actions. Assessment of indicators. Qualitative indicators of performance and congruence analysis⁷¹. Open ended questions for key informants. Information will be coded, verified, and triangulated across stakeholders and pilots in different countries.	Documentation on strategies, needs, and priorities for the different countries and for the region may not be suitable for quantification of congruence (due to incomplete harmonization or impediments for implementation in the field due to heterogeneous socioeconomic conditions such as asymmetric natural assets, social and political exclusion, among others).

⁷¹ Mark Lundy, C. I. A. T., & Thomas Reardon, M. S. U. Learning to Compete in Dynamic Food Systems: Elements for Successful Supply Chains in CAFTA-DR.

Evaluation Question and PMEP-Related Indicator	Information sought	Information sources	Data analysis methods	Limitations
				Thus, the Team may have to rely on subjective assessment of interviewees. In this question, the Team asks for perceived rankings, but also asks “what could have been done differently” in order to provide an idea of credibility in the perceived ranking. The more elaborate the response to this question provides an idea of the credibility of the ranking at any level.
Q3. To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?	Presence of initiatives with little or no support by the IP, or Consortium members show local capacity to address climate change issues. Evidence that the program encouraged national self-sufficiency. For example, policies, procedures, and methods, formulated and followed with minimum to no supervision by IP or consortium members.	Quarterly and annual reports. Improved policies, rules, regulations, and staffing arrangements adapted by participating institutions. Evolutional history of regional (including CATIE), national, and local institutions, and organizations supported by USAID. What organizations are in trouble? Have some organizations disappeared? Have new organizations appeared on the scene that deal with climate change?	Direct observations, open ended questions for stakeholders, interviews, and focus groups. Examination of training material and tools produced in the program. Information will be coded, verified with triangulation across stakeholders and pilots in different countries.	Some indicators for training may already be above the target levels in the life of the project (LOP). Quantities of events and people trained do not necessarily reflect the quality of training and improved capacity of national and regional staff. Because of the relatively short duration of the program, there may not be enough evidence of self-sufficiency in organized collective actions to access technical and financial resources to address environmental issues at the community, district, state, or regional level.

Evaluation Question and PMEP-Related Indicator	Information sought	Information sources	Data analysis methods	Limitations
	Assess dissemination of different products such as the Mitigation and Adaptation Synergy Tool, MRV, Financial Planning for National REDD+ Programs, Adaptation tools for energy, coffee, fisheries, and disaster risks. Data base of climatic data in Central America, information clearinghouse, institutional design and business plan for Centro Clima, and the Climatic model for the region.	Results-products reported in mitigation and adoption component, site visits and interviews with users and potential users.		
Q4. What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?	Evidence of know-how that can be implemented for sustainable land management and adaptation for climate change in various contexts, not necessarily in the "best possible scenarios" (the minority of cases) but in "complex and conflictive scenarios" (the majority of the cases). Evidence of synergies in the integration of mitigation and adaptation actions.	Key informants (all types of stakeholders). Quarterly and annual reports Reports on training courses Manuals and other training materials used or produced by the program. MAS tools produced by CATIE. Reports on production and sale of products produced by stakeholders. Best practices applied at the pilot sites: forest management, forest plantations, and agroforestry systems including cacao, café, and tropical fruits.	Direct observations, open ended questions for stakeholders, interviews, and focus groups. Examination of training material and tools produced in the program. Information will be coded, verified with triangulation across stakeholders and pilots in different countries.	Participants in the project may/may not cease to implement some of the methodologies, approaches, and results of the project in the absence of support. There is no strict counterfactual of what these stakeholders would do in the absence of the project intervention. For example, neighbors of the REDD+ pilots have already seen some of the impacts of the interventions; after USAID support they may continue "business as usual" but they may decide to try some practices used during the programs.

Evaluation Question and PMEP-Related Indicator	Information sought	Information sources	Data analysis methods	Limitations
				Some pilots are not representative of the average conditions, thus, they are difficult to disseminate or up-scale.

ANNEX B. WORK SCHEDULE FOR THE FINAL PERFORMANCE EVALUATION RCCP

RCCP Final Performance Evaluation		Week																
Activity	April 17-21	April 24-28	May 1-5	May 8-12	May 15-19	May 22-26	May 29-June 2	June 5-9	June 12-16	June 19-23	June 26-30	July 3-7	July 10-14	July 17-21	July 24-28	July 31-Aug 4	Aug 7-11	Aug 14-18
Preparation and submission Evaluation Plan (ET)	Team work at home	Team work in ES																
Review Evaluation Plan (USAID)																		
Changes of Evaluation Plan/approval of Evaluation Plan/programming site visits and direct observation (ET)					Team work in ES													
Site visits, focus groups and interviews (ET)					Field trips CR, ES, GT, HN													
Data analysis (ET)							Team work in ES											
Writing and discussion of draft Final Report (ET)									Team work ES									
Review draft Final Report (USAID)																		
Draft Final Report Briefing / one page summary (SP&ENG)														TL in ES				
Submission Final Report and Raw Data (TL)															TL works from Home			
Final Presentation with Power Point (TL)																	TL in ES	
Approved document in English translated into Spanish																		
Final Report uploaded in the USAID Clearinghouse																		

ET=Evaluation Team, ES=El Salvador, TL = Team Leader

ANNEX C. QUESTIONNAIRES FOR THREE GROUPS OF STAKEHOLDERS

Group 1⁷²

RCCP Final Performance Evaluation.

RCCP Final Performance Evaluation. Questionnaires for USAID cluster and IP and Consortium members

Country:		KII No.	FGD No.
Name of interviewee:			
Institution:			
Identification (type of stakeholder):			
Participants:			
Moderator/Interviewer	Note Taker	Date and time	Venue
AR CKJ CD			

Thank you for making yourself available for this important interview. As you probably know, we are working for Mendez England & Associates to carry out the Final Performance Evaluation for the Regional Climate Change Program (RCCP) Activity. You, as a USAID official, are familiar with the program, and that is the reason why we would like to go into some details about this Activity. We want to assure you that our conversation here will be kept strictly confidential, and we will not mention your name as the source of this information. This interview will not last more than one hour and a half, depending on how much you elaborate on the questions. Please feel free to end the interview at any time should you not want to continue. Please let us know if you have any questions about this interview? May we proceed with the interview?

Gracias por su disposición para participar en esta importante reunión. Como seguramente Ud. Sabe, trabajamos para Mendez England & Associates para evaluar el desempeño de la actividad del Programa Regional de Cambio Climático (PRCC). Usted como un oficial de la USAID está familiarizado con este programa y por esta razón le haremos algunas preguntas acerca de esta actividad. Le queremos asegurar que esta conversación es estrictamente confidencial y no mencionaremos su nombre como informante. Esta entrevista no durará entre 60 y 90 minutos, dependiendo de que tanto elabore en las diferentes preguntas. Por favor siéntase en libertad de terminar la entrevista en cualquier momento que lo considere necesario. ¿Por favor indíqueme si quiere saber más acerca de esta entrevista? Si no es así, ¿podríamos comenzar con la entrevista?

⁷² Prompts for questions in Group 1 and Group 2, and thematic content of expected responses in Group 3 are included in Annex D.

EVALUATION QUESTION ONE

A. In your opinion, what have been the most significant intended environmental, social and economic results achieved to date by RCCP in its three components?

Component	Most significant INTENDED results for Environmental / Social / Economic
Sustainable landscapes	
Adaptation	
CAFTA-DR	

B. In your opinion, what have been the most significant unintended environmental, social and economic results achieved to date by RCCP in its three components?

Component	Most significant UNINTENDED results Environmental / Social / Economic
Sustainable landscapes	
Adaptation	
CAFTA-DR	

C. Could you please elaborate on the internal and external factors that have affected the achievement or non-achievement of the Program's results as planned

Component	Factors	Achievement / Non-achievement
Sustainable Landscapes	Internal External	
Adaptation	Internal External	
CAFTA-DR	Internal External	

EVALUATION QUESTION TWO. *To what extent are the results of RCCP aligned with national and regional climate change strategies, needs, and priorities in Central America?*

In your opinion, to what extent do the Program's results align with national and regional climate change strategies, needs, and priorities in CA?

Results alignment of RCCP: 1 to 5, one being the **lowest** and **5 the highest**. What could have been done differently?

Area	National / Regional
Strategies (Sustainable landscapes / Adaptation / CAFTA-DR)	
Needs (Sustainable landscapes / Adaptation / CAFTA-DR)	
Priorities (Sustainable landscapes / Adaptation / CAFTA-DR)	

EVALUATION QUESTION THREE

*To what extent has USAID been able to **build or strengthen local capacity** in the region to address climate change issues?*

Can you explain how and to what extent USAID has contributed to build or strengthen local capacity (district or community) in different components of the program?

Area	Building local capacity
Sustainable Landscapes How / To what extent?	
Adaptation How / To what extent?	
CAFTA-DR How / To what extent?	

EVALUATION QUESTION FOUR

What methodologies, approaches, and results achieved by RCCP have the potential to continue to exist after USAID's funding ends?

Can you tell us about the potential for sustainability of methodologies, approaches, and results achieved by the different components of the program?

Area	Methodologies / Approaches / Results achieved
Sustainable landscapes	
Adaptation	
CAFTA-DR	

Custom questions

C1. What could have been done differently to ensure that the project would have continuity after USAID's funding ends?

C2. In your opinion, where does the project go from here? Indicators possibly show that it has performed satisfactorily, but indicators may not say much about the complexity of the project. Please elaborate.

Thanks for your candid comments and we want to remind you that your comments and opinions will be anonymous.

Group 2.

RCCP Final Performance Evaluation.

Questionnaire I: Members of SICA and National Institutions, NGOs, the Private Sector, and International Development Organizations		
Country:	KII No.	FGD No.
Pilot site:		
Names of the interviewers:		
Names of the participants:		
Name of the Note Taker:		
Date and Time:		

Thank you for taking the time to speak with us. We are working for Mendez England & Associates, a firm that is managing the USAID Initiative for Monitoring, Evaluation and Learning, and we are members of the Evaluation Team for the Final Performance Evaluation of the Regional Climate Change Program. The purpose of this evaluation is to inform USAID of activity achievements and challenges to date to make any necessary changes for the remainder of the program implementation and to plan appropriately for future environmental work in the region. This means that USAID is concerned about improving the quality of its work and increasing the impact on rural communities like yours. Our interview will not last more than one hour but it may extend if there is enough interest to engage in our conversation. Please feel free to end the interview at any time should you not want to continue. Please let us know if you have any questions about this interview. May we proceed with the interview?

Prior explanations for the participants:

Objective of the evaluation: The purpose of the Final Performance Evaluation for USAID's RCCP (Regional Climate Change Program) Program in the Central American region is to inform USAID and the associated institutions on the achievements and advances made to date, and to provide recommendations for adjustments in the implementation of the program during the remainder of its implementation. This evaluation will also inform future USAID activities in the region on the topics of environment and climate change.

(Methodology: With the support of program staff, meetings will be set up with a number of representatives from the respective institutions, and officials. The meetings will, preferably, be held as discussion groups.)

Gracias por concedernos tiempo para hablar con nosotros. Nosotros trabajamos para Mendez England & Associates (ME&A), una compañía consultora que maneja las iniciativas de Monitoreo, Evaluación y Aprendizaje de la Agencia Internacional de Desarrollo de los Estados Unidos (USAID). En este caso se trata de la Evaluación de Desempeño del Programa de Cambio Climático Regional. El propósito de esta evaluación es informar a la USAID de los logros de la actividad y los retos que enfrenta para hacer los cambios necesarios para el resto

de la implementación del programa y planear adecuadamente el trabajo futuro en la región. Esto quiere decir que USAID está preocupada por la calidad de su trabajo e incrementar el impacto en comunidades rurales como la suya. Esta entrevista no durará más de una hora pero podría extenderse si hay suficiente interés en nuestra conversación. Por favor siéntanse en confianza de interrumpir esta entrevista en cualquier momento que no deseen continuar. Por favor, háganos saber si desean saber más acerca de esta entrevista. Sin no es así, ¿podríamos proceder con la entrevista?

Explicaciones previas a los participantes:

Objetivo de la evaluación: El propósito de esta Evaluación de Desempeño Final del Programa Regional de Cambio Climático (RCCP) de la USAID en la región centroamericana es informar a USAID y a las instituciones asociadas de los logros y avances a la fecha y de emitir recomendaciones para hacer ajustes en la implementación del programa en el periodo restante. También esta evaluación dará orientaciones para las futuras acciones de la USAID en la Región en los temas ambientales y de cambio climático.

(Metodología: Con el apoyo del personal del programa, se concertarán las reuniones con un número representativo de las respectivas instituciones y funcionarios. De preferencia las reuniones serán en grupos de discusión.)

Question 1A. Adaptation

*What environmental, **social, and economic results** in the short and long run can you identify, as a result of the RCCP, to strengthen the capacity to assess or cope with climate change risks and to improve resilience? What are the **risks**? What **implications** do those risks have?*

Objective 1. Data on climatic change generated for different institutions and distributed to decision makers in the government, private sector, communities, and other key local actors.

Objective 2. Distribution systems provide data support and decisions in a timely and user-friendly manner.

Question 1B. Sustainable Landscapes

*What **environmental, social, and economic results** in the short and long-run do you identify from the efforts of RCCP to strengthen capacities and preserve, restore, and **improve land use**?*

Objective 1. To facilitate investments to market local, national, and transborder carbon credits to provide economic and financial incentives for the conservation of tropical forest ecosystems.

Objective 2. Development and deployment of integrated plans and measures for national and regional mitigation to face stress factors and vulnerability to climate change.

Objective 3. Development of REDD+ strategies and protocols for MRV.

Question 2: *In your opinion, how have results of the CAFTA-DR component contributed to the environmental agenda of the member countries? Please explain.*

Objective 1. Improvement and harmonization of regulations, policies and environmental procedures.

Objective 2. Strengthening evaluation procedures for environmental impact.

Objective 3. Improve enforcement and compliance of environmental laws and regulations.

Objective 4. Improve energy efficiency.

Objective 5. Institutional strengthening.

Question 3A. *Do you think your institution and technical personnel have the necessary information, tools, technologies, equipment, and capacity to **provide a better service** to be more **resilient to climate change**? How has your organization benefited from this participation (Adaptation)?*

Question 3B. *Do you think your institution and technical personnel have the necessary information, tools, technologies, equipment, and capacity to **preserve and improve land use**? How has your organization benefited from this participation (Sustainable Landscapes)?*

Question 3C. *Do you think your institution and technical personnel have the necessary information, tools, technologies, equipment, and capacity to meet CAFTA-DR commitments? How has your organization benefited from this participation (CAFTA-DR)?*

Question 4A. How has the RCCP helped in the **generation, articulation, and exchange of climatic information (national and regional) for decision-making**? What do you think remains to be done to improve its use and effectiveness (Adaptation)?

Question 4B. How has the RCCP helped you to face REDD+ or implement economic development with low levels of carbon emissions? What do you consider remains to be done to have greater economic development that is low in emissions (Sustainable Landscapes)?

Question 5. Do you consider that the new tools, technologies, and methodologies generated by the RCCP are known, used, and accepted by the users? How does this respond to their needs? Adaptation? Sustainable Landscapes? CAFTA-DR?

Question 6. What lessons have you learned with respect to **environmental, social, and economic themes** in the RCCP and what recommendations would you like to suggest.

Group 3.

Group 3: Interviews and discussion groups at Pilot sites: Sico-Paulaya (Honduras); Verapaz/Lachúa (Guatemala); Puerto Barrio/Izabal (Guatemala)

Final Evaluation of the USAID Climate Change Program in Central America

Questionnaire for Group 1: local public and private institutions, indigenous and local communities, small businesses, and women		
Country:	KII No.	FGD No.
Pilot site:		
Target Group:		
Interviewers:		
Interviewees:		
Note Taker:		
Date and Time:		

Thank you for taking the time to speak with us. We are working for Mendez England & Associates, a firm that is managing the USAID Initiative for Monitoring, Evaluation and Learning, and we are members of the Evaluation Team for the Final Performance Evaluation of the Regional Climate Change Program (RCCP). The purpose of this evaluation is to inform USAID of activity achievements and challenges to date to make any necessary changes for the remainder of the Program and plan appropriately for the future. This means that USAID is concerned about improving the quality of its work in the region. Our interview will not last more than one hour. We want to assure you that our conversation here will be kept strictly confidential, and we will not mention your name as the source of this information. Please feel to end the interview at any time should you not want to continue. Please let us know if you have any questions. May we proceed with the interview? Thank you.

<u>RCCP Evaluation Questions</u>	<u>Questions to be posed to the interviewees or in the discussion groups</u>
1. What have been the most significant intended and unintended environmental, social, and economic results achieved to date by RCCP?	Question 1: What are the most important results you achieved with the help of this program? Did you plan for other goals? Did you meet these goals? If not, what were the problems? Response:
What have been the main internal and external factors that have influenced the achievement or non-achievement of RCCP's expected results as planned?	Question 2: How did this program help your organization grow? What factors influenced this growth? What factors slowed down this growth? Response:
2. To what extent are the results of RCCP aligned with (local is missing here) national and regional climate change strategies, needs, and priorities in Central America?	Question 3: Was the program in tune with your policies, strategies and needs? If not tell me why? What was lacking? Response:
3. To what extent has USAID been able to build or strengthen local capacity in the region to address climate change issues?	Question 4: To what extent has the program strengthened your capacity to improve land management activities and to deal with the risks of climate change? Response:
To what extent has the program strengthened your capacity to improve land management activities and to deal with the risks of climate change?	Question 5: What strategies methodologies, technologies, tools, and results promoted by the program will you continue to develop after the program is gone? Why? Response:
Your chance	Question 6: What are the short term impacts of this program? What lessons has this program generated? What recommendations would you like pass on to the program for the future? What do you recommend to involve indigenous groups, women, and youth to face the risks of climate change? Response:

ANNEX D. PROMPTS, ACTIVITIES AND ASSOCIATED INDICATOR(S), BY COMPONENT

Note: Prompts, Indicators and Expected results reported in the Annual Reports for 2015 and 2016 are used for Group 1 and Group 2. For Group 3, instead of prompts, expected thematic narratives are included.

PROMPTS FOR USE DURING MEETINGS WITH GROUPS 1 and 2

Component I. SUSTAINABLE LANDSCAPES Prompts	Activities
1. GT, CR, ES and HN at COP 21 (Indicator EG13-3 Result ER1.1) 2. Draft GT Benefit Sharing and Results-Based Payments (Terra) (Indicator Custom 1, Result ER 2.3, 3.1) 3. Terra Global (TG) templates to support stakeholders in REDD+ financial projections (Indicator EG13-3, Result ER 1.2, 1.4) 4. Terra G supported evaluations policies and actions included in REDD+ strategy. (Indicator EG13-3 Result ER 2.1) 5. Manual of landscape restoration (IUCN) (Indicator EG13-3 Result ER1.3) 6. Phase I–Green Bond partnership with CR, feasibility assessment, partnership design and private partner commitment (TERRA) (Indicator EG13-4, Cross-cutting) 7. MAS concept and tool promotion (CATIE) (Indicator Custom 1 Results ER2.2) 8. MAS implementation negotiated and agreed upon in two candidate countries. (Indicator Custom 1 Results ER2.2) 9. Blue carbon methods published (CATIE) (Indicator Custom 1 Results ER2.3) 10. Dec. 2-3 Agreement on variables for the equations to define priority restoration areas (IUCN) (EG 13-2 Result 3.1) 11. CATIE activities and milestones for Sico-Paulaya. Strengthening management capacity of the MAPSP. (Indicator Custom 1, Result ER 2.2) 12. Support on REDD+ MRV provided at the regional level, specifically GT and HN (CATIE) (Indicator EG 13-2 ER 3.1) 13. Dec. GT first draft of the national safeguards. HN REDD+ Subcommittee reactivated, BL Road Map to build the national approach initiated (CARE) (Indicator EG13-2 Results 3.1) 14. Methods to construct national FREL/FRLs published (CATIE) (Indicator Custom 1 Results ER2.3) 15. Publication of good practices for NFI data management (CATIE) (EG13-2 Results ER3.1)	1. Improvement of capacities of vulnerable communities and territories (11, 16, 18,19,24) 2. Institutional capacity to address sustainable landscapes (1, 3, 10, 13, 15, 22, 23, 27) 3. Improving and harmonizing environmental regulations, policies and procedures Investment mobilized (5, 6, 13, 20) 4. Reinforce technical capacities and technologies, methodologies (in climate change, REDD+, MRV,) (7, 8, 9, 12, 14, 16, 17, 21, 22, 23, 25, 26, 27)

Component I. SUSTAINABLE LANDSCAPES Prompts	Activities
16. RCCP/IUCN supported prioritization of restoration areas in the North Caribbean Coast Autonomous Region of NI (RACCN) using IUCN's ROAM (Restoration Opportunities Assessment Methodology) (CUSTOM I Results ER3.3) 17. Dec. GT first MRV system developed by GIMBUT-GCI; in HN; the first draft of TDRs to design the MRV system is in progress. (CARE) (EG13-2 Results 3.1) 18. Carbon Fund, World Bank, approves Emissions Reduction Program Idea Note (ER-PIN) from DR, GT y CR. (Indicator EG13-3 Results 1.4) 19. Priority forest landscape Sico-Paulaya, La Ceiba, HN, site visit performed. Agroforestry and livestock 20. Forest landscape sites in the Department of Izabal visited. Livelihood Fund (private), FUNDAECO. Caribbean GT, 4000 ha reforestation with agroforestry, 40,000 ha avoided deforestation of tropical rainforest, 25 indigenous and local communities. Mixed agroforestry (fruit orchards, rubber, organic black pepper). CARE-FUNDAECO agreement (Indicator EG13-4) 21. Probosques Law and regulation officially presented in March, with participation of the forestry-sector stakeholders involved (Indicator EG13-3 Result ER2.1) 22. Mitigation and Adaptation Synergy tool launched in GT. App. Tradeoff between, co-benefits of adaptation and mitigation (Indicator Custom I Results ER2.2) 23. Honduran sustainable livestock experiences presented in PA (Indicator EG13-2 Results ER3.1) 24. Knowledge exchange to enhance more effective participation in REDD+ Process (Indicator EG13-2 Results ER3.1) 25. NI Northern Region RCCP field visit. Local and indigenous communities. Forest Environment Consultative Board (CCFA) and Indigenous People's Leaders (Cayos Miskitos) (Indicator Custom 2 Result 6.5) 26. Environmental safeguards deployed, GU (Indicator EG13-2 Results ER3.1) 27. Environmental and Social Safeguards Regional Workshop for CA and DR countries (Indicator EG13-2 Results ER3.1) 28. Students trained in MS Program on Management and Conservation of Tropical Forest and Biodiversity (Indicator EG13-1 Results ER1.2)	

PROMPTS FOR USE DURING MEETINGS WITH GROUPS 1 and 2

Component 2. ADAPTATION Prompts	Activities
1. 2. U.S. supports Central America Climate Forum in DR (Indicador EG I I-6 & Custom I Result ER5.1) 3. Coffee cloud app within Centro Clima (Indicator Custom I Result ER 4.1) 4. Coastal marine biodiversity, ecosystems and carbon network established in support to Jaques Cousteau Obs. (Indicator EG I I-2 Result ER 4.2) 5. CR Meteo Services trained in Geo Clima tool (Indicator EG I I-2 Result ER 4.2) 6. Launch of Centro Clima. USAID and ES gov. for SICA countries (Indicator Custom 3 Result 6.4) 7. U.S. supports CA Climate Forum in GU and CR. Attended by CR ES GU HO NIC PA, DR (Indicator EG I I-6 Result ER 5.1) 8. NI Forum in building resilience in coffee-dependent communities (Indicator EG I I-2 Result ER 4.2) (Indicator EG I I-6 Result ER 5.1) 9. Ntl. Conf. on Adaptation and CC, held in Panama (Indicator EG I I-6 Result ER 5.1) 10. USAID's RCCP and NASA host "Space app Hackathon" (Custom I ER 4.1) 11. Coffee and CC Forum/Conference at Sta. Rosa de Copán, Honduras (Indicator EG I I-2 Result ER 4.2; Indicator EG I I-6 Result ER 5.1) 12. USAID's RCCP showcases tools and apps at the GU National Coffee Congress (Custom I ER 4.1) 13. Guide: How to reduce vulnerability and increase the adaptive capacity of marine and coastal ecosystems in the face of climate change? (Indicator EG I I-2 Result ER 4.2) 14. National Coffee Training Workshop in GU. Extension agents represented 8 coffee regions: Acatenango, Antigua, Atitlán, Cobán, Frijanes, Huehuetenango, Nvo. Oriente, and San Marcos. Apr-June 2016 (Indicator EG I I-1 Result ER 5.2) (Indicator EG I I-6 Result ER 5.1) 15. Communication strategy for dissemination of climate information to partners' network on agriculture (coffee) (IUCN) (Indicator EG I I-Result ER 4.2) 16. Work plan for the biodiversity, ecosystems and carbon (coastal marine) network, developed by the Jacques Cousteau Observatory (IUCN) (Indicator EG I I-2 Result ER 4.2) 17. Communication strategy for dissemination of climate information to partners' network on biodiversity (IUCN) (Indicator EG I I-2 Result ER 4.2)	1. Institutional capacity to address climate change risks (1, 7, 8, 10, 12, 13,17) 2. Enhance data production, use and dissemination; users, partners and networks (3, 6, 7, 14) 3. Reinforce technical capacities and technologies (tools developed) (2, 4, 7, 10, 11, 12, 13, 18, 19, 20) 4. Clearinghouse functioning (5)

Component 2. ADAPTATION Prompts	Activities
18. Regional video conference system installed and operating in nine institutions in the region (IUCN) (EG I I-2 ER 4.2) 19. Training for trainers' manual for extension agents and technical facilitators for CR (CATIE) (Indicator EG I I-2 Result ER 4.2) 20. Clima Pesca tool released with OSPESCA (Indicator Custom I Result ER 4.1) 21. Water and Energy prototype selected (Indicator Custom I Result ER 4.1)	

PROMPTS FOR USE DURING MEETINGS WITH GROUPS 1 and 2

Component 3. CAFTA-DR Prompts	Activities
1. Water Inter-Laboratory Study in Panama-wastewater ISO/IEC 17025 (Indicator Custom C-DR1 Result ER 6.1.2 &6.1.4) 2. EIA directors' meeting in Honduras. Strengthening Environmental Impact Assessments (Indicator Custom C-DR2 Results 6.2.4) 3. Tourism Technical Review , Guidelines, Regional training 4. Central America Wastewater Regional Consultation in El Salvador (Indicator Custom C-DR2 Result ER61.4) 5. [Appropriate] sustainable wastewater treatment manual , training in GU (Indicator Custom C-DR2 Result ER61.4) 6. National Workshop on Adjudication of Environmental cases , Sto. Domingo (Indicator Custom C-DR2 Result ER6.3.3) 7. Assessments of domestic wastewater treatment plants . ES and HO. Workshop in GU and HO (Indicator Custom C-DR2 Result ER61.4) 8. DR scoping mission to identify possible pilot projects in solid wastes (Indicator Custom C-DR4 Results ER6.1.6) 9. Three national baseline analyses completed for GU CR and ES. Wastewater, solid wastes, EIA, compliance and enforcement (Indicator Custom C-DR2 Result ER61.4 & ER6.2.1)	1. Improving and harmonizing environmental regulations, policies and procedures (2, 5) 2. Strengthening EIA procedures (2, 3, 6) 3. Enhancing enforcement of environmental laws and regulations (4, 6) 4. Increasing energy efficiency 5. Institutional strengthening (1-9)

Regional Thematic Content for Interviews with Group 3

SICO-PAULAYA HONDURAS (IUCN): This specific pilot site serves as an RCCP testing ground for moving toward implementation of Reducing Emissions from Forest Degradation and Deforestation (REDD+) strategies, specifically working with communities on sustainable forest management. National environment authorities recognize Sico-Paulaya as a strategic area for the implementation of the Honduran REDD+ national strategy and as an opportunity to scale-up lessons learned.

Important Advances:

1. Strengthening MAPSP and its projection at a national level: The legal structure, organizational structure, membership, and participatory processes of the MAPSP were consolidated and the members' participation was strengthened and expanded.
2. Promoting sustainable forest management: The “Madera Verde Foundation” is helping agroforestry cooperatives generate income through the sale of high quality mahogany wood.
- 3: Promotion of silvo-pastoral systems: Silvo-pastoral systems (SSPs) and good livestock management practices are being promoted in four communities.
4. Carbon quantification. 21 local technicians were trained in carbon stock measurement procedures.

Problems found: The lack of presence and weakness of government institutions in the territory makes it more difficult to achieve higher levels of governance, fomenting impunity for forest crimes and causing demotivation for community forestry⁷³.

2) DEPARTMENT OF IZABAL, GUATEMALA (IUCN): This specific area serves as USAID's RCCP testing ground to enhance an alliance with private-sector engagement (Livelihood Fund - private sector), USAID and FUNDAECO are moving toward implementation of REDD+ strategies, specifically working with communities on forest management. For the past 15 years, FUNDAECO has supported the management and conservation of the Regional Network of Protected Areas in Caribbean Guatemala, in close coordination with the National Council for Protected Areas (CONAP). FUNDAECO has designed a REDD+ project for the region. This project seeks to foster the conservation of unique rainforests and to support sustainable development of local communities. The following summarizes key activities being conducted at this site.

- The project aims to reforest 4,000 hectares combined with agroforestry systems, in this way avoiding the deforestation of approximately 40,000 hectares of tropical rainforest and benefiting more than 25 indigenous and local communities.
- The project has established mixed agroforestry systems (fruit orchards, rubber tree plantations, and organic black pepper). These systems support security, as well as generate income for the farmers. They are also part of a larger land restoration program. In addition, the project has established forest community greenhouses for species such as rubber.
- Technical assistance is being provided to farmers to improve sustainable agricultural production.
- In August, the CARE-FUNDAECO agreement was signed to facilitate the implementation of a FUNDAECO alliance with private investors.⁷⁴

3) VERAPACES GUATEMALA: Verapaces is formed by two departments: Northern Guatemala and Baja and Alta Verapaz. Ninety percent (90%) of the population lives in poverty and 47% in extreme poverty. The intervention logic of this pilot site is

a) improve governance of forestry platforms and cocoa working groups), b) support the development of policy instruments for PROBOSQUES, PINPEP, ENAC, and ERPF, c) promote

⁷³ Information contained in this summary report comes from two sources: 1) Program's Quarterly Report July – September & Yearly Summary 2015 (pages 82-83) and 2) a written report provided by CATIE's staff person in charge of Component 2: SLM in May 2017.

⁷⁴ Information for this summary report was that from RCCP's Quarterly Report—FY3 2015–2016 (January - March 2016), page 12.

successful management experiences at local and national levels, e) mobilize state and private sector investments for the leverage of cacao business models.

The most significant advances in this site are a) members of the Forest Platform participated in the creation and updating of regulations for PROBOSQUES and PINPEP, b) increased participation of cacao actors in the Forest Platform, b) formulation and socialization of the national strategy for the restoration of degraded lands, c) formulation and socialization of the national strategy for cacao d) distribution of technical tools for restoration and production of agroforestry/cacao, e) cacao actors mobilized financial resources from the state and the private sector to expand their business models, and f) levels of income and employment of cocoa producers were increased.

Problems include weak state institutions and difficult administrative procedures prosed by these and other organization in the Region.⁷⁵

⁷⁵ Information for this summary report was provided by CATIE's staff person in charge of Component 2: SLM, in a written report produced in May 2017.

ANNEX E: EVALUATION TEAM

Name, role	Duties and responsibilities
Abelardo Rodríguez, Evaluation Team Leader	The Evaluation Team Leader will be responsible for overseeing and coordinating all activities related to this performance evaluation and for ensuring the production and completion of quality deliverables in a professional manner, in compliance with this SOW.
Charles B. Kenny Jordan, Environment/Climate Change Specialist	The Specialist will provide guidance to the Evaluation Team Leader on environmental and climate change issues. He should be familiar with major environmental issues, entities, and frameworks.
Carolina Dreikorn, Environment/Climate Change Specialist	The Specialist will provide guidance to the Evaluation Team Leader on environmental and climate change issues. She should be familiar with major environmental issues, entities, and frameworks.
Katia Zepeda, Logistics Coordinator	The Logistics Coordinator will be responsible for coordinating with USAID, the implementing partner, and the Evaluation Team to schedule meetings, transportation, and other administrative logistics. She will be involved in planning and may help with data collection and analysis.

ANNEX F. REFERENCES TO DATE

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ANNEX III. MEETINGS & INTERVIEW LOG

Meetings-Interview Log for the RCCP Final Performance Evaluation for April-June 2017

Date	Time	Name	Title	Institution	Telephone	Email	Location	
April 24	9:00	Peter Appleton	COP	ME&A	(503) 25237486	pappleton@engl.com	San Salvador	MM
		Katia Zepeda	Manager of Evaluation and Studies	ME&A	(503) 76027210 25237486	kzpeda@engl.com	San Salvador	MM
	11:00	Orlando Hidalgo	Development Assistance Specialist (MEL)	USAID	(503) 2501 3333	ohidalgo@usaid.gov	San Salvador	MM
		Katia Zepeda and Peter Appleton also attended this meeting					San Salvador	MM
	12:30	Rubén Alemán	Climate Change/CAFTA-DR Environment Specialist	USAID	(503) 77368885 25013361	rleman@usaid.gov	San Salvador	MM
		Gabriela Velez	M&E Specialist	USAID		gvelez@usaid.gov	San Salvador	MM
		Katia Zepeda and Orlando Hidalgo also attended the meeting					San Salvador	
April 25	8:30 am	Ana María Majano	COP RCCP	RCCP CATIE	(503) 78446482	Ana.majano@catie.ac.cr	San Salvador	MM
		Mario Escobedo	Manager for Component I Sustainable Landscapes	RCCP CATIE	(503) 7844997	maescobedo@catie.ac.cr	San Salvador	MM
		Jorge Garza	M&E Manager	RCCP CATIE	(504) 25228700	jgarza@catie.ac.cr	San Salvador	MM
		Romina Segovia	M&E Assistant	RCCP CATIE	(504) 25228700	Romina.segovia@catie.ac.cr	San Salvador	MM
April 26	2:30 pm	Margarita Sánchez	Gender Specialist	ME&A	(504) 76028436	msanchez@engl.com	San Salvador	MM
	5:00 pm	Orlando González	International Environmental Program Specialist (CADTA-DR)	EPA	+1 202 564 6446	Gonzalez.orlando@epa.gov	Marriot Hotel San Salvador	MM

Date	Time	Name	Title	Institution	Telephone	Email	Location	
April 28	8:30	Deisy López	Manager for Component 2 Adaptation	RCCP CATIE	(503) 78446008	dlopez@catie.ac.cr	RCCP Office San Salvador	MM
		RCCP team also attended the meeting					RCCP Office San Salvador	MM
April 29	9:00 am	Mario Escobedo	Manager for Component I SL	RCCP CATIE	(503) 7844997	maescobedo@catie.ac.cr	RCCP Office San Salvador	MM
May 2	2:00 pm	Rubén Alemán	Climate Change/CAFTA-DR Environment Specialist	USAID	(503) 77368885 25013361	rleman@usaid.gov	ME&A Office San Salvador	MM
May 4	9:00 am	Luis Ramos	Project Management Specialist (Environment)	USAID	(503) 25013358 (503) 77973912	lramos@usaid.gov	USAID San Salvador	MM
		Orlando González, Rubén Alemán from USAID, and Katia Zepeda also attended meeting					USAID San Salvador	MM
May 4	2:00 pm	RCCP team: Ana María Majano, Jorge Garza, Romina, Mario Escobedo and Deisy López		RCCP CATIE	(504) 25228700		San Salvador	Meeting
May 5	3:00 pm	Jorge López	Advisor	OSPESCA	(503) 2248 8881	peony@live.com.ar	San Salvador	KII practice
May 16	9:00 am	IUCN Staff working in RCCP	See entries 21-25	IUCN	(506) 22838449		IUCN	MM
	10:00 am	Tania Ammour	Regional Program Coordinator	IUCN	(506) 22838449	Tania.ammour@iucn.org	IUCN	KII
		María Pía Hernández	Biodiversity and Rights Unit - Coordinator	IUCN	(506) 22838449	Pia.hernandez@iucn.org	IUCN	KII
		Milena Berrocal	Project Officer, Biodiversity and Rights Unit	IUCN	(506) 22838449	milena.berrocal@iucn.org	IUCN	KII
	11:00 pm	Zelma Larios	Project Officer	IUCN	(506) 22838449	Zelma.larios@iucn.org	IUCN	KII

Date	Time	Name	Title	Institution	Telephone	Email	Location	
		Melinka Najera	Project Officer, Governance, Forestry and Economy Unit	IUCN	(506) 22838449	Melinka.najer@iucn.org	IUCN	KII
	1:00 pm	Alejandro Solís	Information and Communications Technology Specialist	DAI	(506) 89251000	Alejandro_solis@DAI.com	UICN	MM
	3:00 pm	Gretel Aguilar	Regional Director for Mexico, CA and Caribbean ORMACC	IUCN	(506) 2283-8449;	Grethel.Aguilar@iucn.org	IUCN	KII
	4:00 pm	Berta Olmedo	Executive Secretary	CRRH	(506) 2231 5791	bolmedo@recursoshidricos.org +	CRRH	FGD (2f)
		Patricia Ramírez	Former Executive Secretary	CRRH	(506) 2231 5791	Patricia.ramirez@recursoshidricos.org	CRRH	As above
May 17	10:00 am	Jorge Faustino	CATIE Outreach Director	CATIE	(506) 2558-2653	faustino@catie.ac.cr	Turrialba	KII
	11:00 am	Miguel Cifuentes	Technical Liaison for Component 1	CATIE	(506) 25582393	miguel.cifuentes@catie.ac.cr	Turrialba	KII
	3:00 pm	Guillermo Detlefsen	Technical Liaison for Component 2 See entries 32-34	CATIE	(506) 25582591	gdetlef@catie.ac.cr	Turrialba	MM (1f, 2m)
		Yuri Martínez	Governance strategies and capacity enhancement specialist	CATIE	(506)2558 2409	ymartinez@catie.ac.cr	Turrialba	As above
		Elías de Melo	Liason CATIE-Brasil Agroforestry System on Sustainable Coffee Plantation Project	CATIE	(506) 2558 2602	eliasdem@catie.ac.cr	Turrialba	
May 18	8:00 am	Group meeting: Miguel Cifuentes, Fernando Carrera, and Claudia Sepulveda	Presentation of work: Darien and Sico Paulaya See entries 35-37	CATIE			Turrialba	MM (2m, 1f)
		Fernando Carrera	General Manager of the Ibero American Model Forest Network (AIMFIN)	CATIE	(506) 2558 2619	fcarrera@catie.ac.cr	Turrialba	KII
		Claudia Sepulveda	Livestock and Environment Program - Specialist	CATIE	(506) 25582428	csepul@catie.ac.cr	Turrialba	
	11:00 am	Laura Benegas	Coordinator- Water Clima Project	CATIE		Laura.benegas@catie.ac.cr	Turrialba	KII

Date	Time	Name	Title	Institution	Telephone	Email	Location	
	12:30 pm	Fabio Diaz, Marilyn Manrow, and Claudia Lano	Students of Master's course financed by RCCP	CATIE			Turrialba	MM2 (2f, 1m)
	3:00 pm	Muhammad Ibrahim	General Director	CATIE	(506) 2558-2551	mibrahim@catie.ac.cr	Turrialba	KII
May 19	9:00 am	Shannon Thomas	Regional Environment Assistant See entries 41-42	Environmental Hub for Central American US Embassy	(506) 2519 2383	thomasSB@state.gov	San Jose	FGD (1f, 1m)
		Diego Acosta	Environmental Specialist	Environmental Hub for Central American US Embassy	(506) 2519 2383	dacosta@state.gov	San Jose	As above
	11:00 am	Patricia Campos	Deputy Director of Climate Change Office and CCAD/CAFTA DR focal point	Climate Change Office-MINAE	(506) 2223-5086/ 2258-0069	pcampos@minae.go.cr	San Jose	KII
May 22	9:00 am	Harry T. Kriz	Deputy Director and Alternate for CNCG	USAID	(502)24224209	hkriz@usaid.gov	Guatemala City	FGD (1m, 1f)
		Teresa Roble	Advisor in Land Policy and Natural Resources	USAID	(502) 24224325	trobles@usaid.gov		As above
	11:00 am	Glenda Lee	Co-Head LatAm Principal	Terra Global Capital	(502) 5412-9990 / 2259-5883	glenda.lee@terraglobalcapital.com	Guatemala City	KII
	2:30 pm	Fernando Coronado	Vice Minister	MARN	502) 2423-0500	acampos@marn.gob.gt		KII
	4:00 pm	Oscar Rojas	Country Director COP CNCG See entries 48-50	Clima, Naturaleza y Comunidades en Guatemala CNCG Rainforest Alliance	(502) 2300 6809 (502) 5907 9824	orojas@ra.org	Guatemala City	FGD (2m, 1f)
		Genoveva Martínez	REDD+ Specialist	CNCG	502) 2300-6800 Ext. 1036	gbmartinez@ra.org	Guatemala City	As above

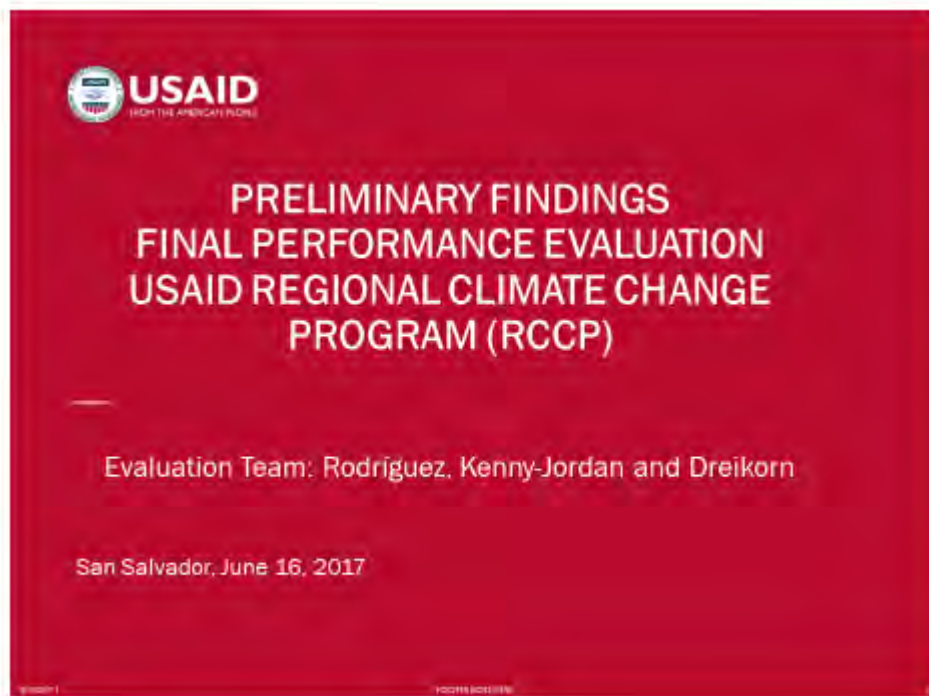
Date	Time	Name	Title	Institution	Telephone	Email	Location	
		Alejandro Santos	Deputy Director	CNG	(502) 2300 6800 Ext 10110	asantos@ra.org	Guatemala City	As above
		Elvin Britton	Representative in Panama	CATIE	(507)2327745		Panama (via skype)	MM via Skype
May 23	8:30 pm	Ronal McCarthy	See entries 52-54	IUCN	506 2283-8449	ronald.mccarthy@iucn.org	Cobán	FGD (2m, 1f)
		Eric Ac	Agroforestry Specialist	IUCN	(502) 2363 2070, (502) 2363 2327, (502) 2363 2469	Erick.ac@iucn.org	Cobán	KII
		Zelma Larios	Project Officer	IUCN	(506) 22838449	Zelma.larios@iucn.org	Cobán	As above
May 24	9:30 am	ASODIRP <i>Asociación de Desarrollo Rural Integral</i> – Association for Comprehensive Rural Development	Board of Directors, Women's Group	Rocjá Pomtilá Community			Lachua Eco Region	MM(6f, 1m)) MM (2f) FGD (4m)
		Matías Verapaz	In charge of Forestry and cacao program	Municipality of Chisec			Chisec	KII
May 25	9:30 am	Hugo Rolando Mo Pana	President See entries 57-60	Funda LaChua			Salacuim, Eco Region Lachua	MM (4m) FGD (4m)
		Israel Ruiz	Technical Coordinator and former President	Funda LaChua			Salacuim, Eco Region Lachua	As above
		Ernesto Tot son	Administrative Coordinator	Funda LaChua			Salacuim, Eco Region Lachua	As above
		Evaristo Chub Xicol	Vice President	Funda LaChua			Salacuim, Eco Region Lachua,	As above
May 25	8:30 pm	Ada Zambrano	Director See entries 61-64	CARE	(502) 2331-4575 (502) 2360-4801	ada.zambrano@care.org	Puerto Barrios, Izabal	FDG (1f, 3m)
		Carlos Rodriguez Olivet	CARE/RCCP Consultant	CARE	(502) 2331-4575 (502) 2360-4801	Cloivet1963@gmail.com	Puerto Barrios, Izabal	As above
		Roberto Chuc	CARE Consultant	CARE	(502) 54584243	j.chuc@care.org	Puerto Barrios, Izabal	As above

Date	Time	Name	Title	Institution	Telephone	Email	Location	
		Ebal Sales	CARE Consultant	CARE	(502) 23214520	Ebal.sales@inab.gob.gt	Puerto Barrios, Izabal	As above
May 26	7:00 am	Walter Chávez	Project director See entries 65-67	FUNDAECO	(502)2314 1900	wchavez@fundaeco.org.gt	Cerro San Gil, Finca Las Jaras Izabal	MM(3m)
		Byron Samayoa	Project Deputy Director	FUNDAECO		bsamayoa@fundaeco.org.gt	Cerro San Gil, Finca Las Jaras Izabal	As above
		Marco Antonio Román	Coordinator of Bio Centro Las Jaras	FUNDAECO			Cerro San Gil, Finca Las Jaras Izabal	As above
		Darién Patino	Non-participant in FUNDAECO program	Cerro San Gil			Cerro San Gil, Finca Las Jaras Izabal	MM
		Jesús González Gómez, Humberto García Molina, Erick Ovidio Iboy	Farmers participating in incentive program FUNDAECO	Cerro San Gil			Cerro San Gil, Finca Las Jaras Izabal	FGD (3m)
		Humberto García Molina	Farmer	Cerro San Gil			Cerro San Gil, Finca Las Jaras Izabal	KII
May 29	11:00 am	Jacobo Cotto	Climate Change Manager See entries 71-73	INAB	(502) 23214511	elian.cotto@inab.gob.gt	Guatemala Ciudad	FGD (3m)
		Marcel Oseida	External Cooperation Manager	INAB	(502) 23214511	marcel.oseida@inab.gob.gt	Guatemala City	As above
		Ebel Sales	Forestry Policy Manager	INAB	(502) 23214520	Ebal.sales@inab.gob.gt	Guatemala City	As above
	2:30 pm	Eddy Sánchez	Main Director See entries 74-74	INSIVUMEH	(502)22613238	indireccion@insivumeh.gob.gt	Guatemala City	FGD (2m)
		Walter Bardales	Climatology Manager	INSIVUMEH	(502)23105000	wabardales@insivumeh.gob.gt	Guatemala City	As above
	2:30 pm	Roy Barboza	Executive Secretary See entries 76-80	CEPREDENAC	(502)23900200	rbarboza@sica.int	Guatemala City	FGD (3m,2f)
		Noel Barillas	Advisor	CEPREDENAC	(502)23900200	nbarillas@sica.int	Guatemala City	As above
		Jessica Solano		CEPREDENAC	(502)23900200	jsolano@sica.int	Guatemala City	As above
		Juan Pablo Carbonero		CEPREDENAC	(502)23900200		Guatemala City	As above
		Mayra López		CEPREDENAC	(502)23900200		Guatemala City	As above

Date	Time	Name	Title	Institution	Telephone	Email	Location	
	6:00 pm	Ogden Rodas	Consultant	FAO	(502)23900200		Guatemala City	MM
May 30	9:00 am	Mariela Meléndez	Environment Specialist	ANACAFE	(502)2431 3700 Ext 1017 (502)54118794	Lmariela.mp@anacafe.org	Guatemala City	KII2 Carolina
May 31	9:00 am	Rosibel Martínez Arriaga	External Cooperation & Resource Management Unit Director and CCAD focal point See entries 83-85	MiAmbiente	(504) 99700309 (504)22390498	Rmarriaga.miambiente@gmail.com	Tegucigalpa	FGD (2f, 1m)
		Roberto Portillo	PNUMA Redd focal point at Mlabmiente	MiAmbiente	(504)22214026	rportillo@miambiente.gob.hn	Tegucigalpa	As above
		Karen Sierra	CAFTA DR technical point	MiAmbiente	MiAmbiente	ksierra@miambiente.gob.hn	Tegucigalpa	As above
	2:00 pm	Peter Hearne	Environmental and Disaster Officer See entries 86-88		(504)22369320 Ext 4416	phearne@usaid.gov	Tegucigalpa	FGD (3m)
		Isaac Ferrera	Environment and Agriculture Project Specialist		(504) 2236-9320	iferrera@usaid.gov	Tegucigalpa	As above
		Héctor Andrews	Regional Program Coordinator		(504)22369320 Ext 4107	handrews@usaid.gov	Tegucigalpa	As above
June 1	10:30 am	Jaime Peralta	Priority site Program Director at Sico Paulaya	CATIE / RCCP	(504)95661814	jaime.peralta@catie.ac.cr	La Ceiba	KII
June 2	9:00 am	Eliezer Murillo	MAPSP member (former President) See entries 90-92	MAPSP	(504)99287419	pabloeliezerm@yahoo.com	La Ceiba	FGD (1m, 1f)
		Maribel Mejía	Producer and MAPSP member	MAPSP	(504)98403712		La Ceiba	As above
		Justo Abelino Diaz	Technical forest	ICF/BRP	(504)99791715	justicdiaz@yahoo.com	La Ceiba	As above
		Osman Alvarado	President See entries 93-94	MAPSP	(504)96127852	Stereosico-paulaya@yahoo.es	La Ceiba	FGD (1m, 1f)
		Dilcia Lizeth Hernández	MAPSP member	MAPSP	(504)99560222	dilciahernandez@yahoo.com	La Ceiba	As above
		Osman Duarte	Former silvopastoral technician See entries 95-96	CATIE	(504)95883729	Osman_duarte29@yahoo.com	La Ceiba	FGD (2m)
		Wilmer Barahona	MAPSP member	MAPSP	(504)94809668	bwilmer@yahoo.com	La Ceiba	As above
		Melvin Cruz	Forestry advisor	Madera Verde Foundation	(504) 49561764)	macruz@maderaverde.org.hn	La Ceiba	KII

Date	Time	Name	Title	Institution	Telephone	Email	Location	
June 5	2:30 pm	Salvador Nieto	Executive Secretary	CCAD	(503) 22488843	snieto@sica.int	San Salvador	KII
	4:15 pm	Enriqueta Ramírez	CAFTA DR coordinator at RCCP	RCCP/CATIE	(503) 25228713	Enriqueta.ramirez@catie.ac.cr	San Salvador	KII
	5:30 pm	Ana María Majano	COP	RCCP/CATIE	(503) 25228700 (503) 78446482	Ana.Majano@catie.ac.cr	San Salvador	MM
	3:00 pm	Juan Arnulfo Ruiz	REDD+ focal point and COP Readiness project	MARN	(503) 2132 9936	jruiz@marn.gob.sv	San Salvador	KK
June 6	11:00 am	Ronal McCarthy and Leander Raes	Economist in Costa Rica	IUCN	506 2283-8449	ronald.mccarthy@iucn.org	San Salvador via skype	MM (2m)
June 7	11:00 am	Reinaldo Morales	Chief Technical Officer	OSPESCA			San Salvador	KII
	2:30 pm	Guillermo Mayorga	Sectorial Specialist See entries 104-105	GIZ	(503)21215173	Guillermo.mayorga@giz.de	San Salvador	MM (2m)
		Abner Jiménez	Sectorial Specialist	GIZ	(503)21215164	Abner.jimenez@giz.de	San Salvador	As above

ANNEX IV. POWER POINT PRESENTATION



EVALUATION PURPOSE

Report on the achievements, activities, and challenges within the Program, proposing adjustments and recommendations for future environmental work in the region.

- Evaluation period: April 2013 – December 2016
- Countries: El Salvador, Guatemala, Costa Rica, Honduras and Panama

INTERVIEWED GROUPS

- **Group 1**

USAID Missions, implementing partners

- **Group 2**

SICA Members, national government institutions, NGOs, and the private sector

- **Group 3**

Program beneficiaries and non-beneficiaries at priority sites and public-private partnerships



METHODOLOGY

The evaluation is based on 4 pre-established questions that correspond to the 3 program components.

Sample of participants, by country, sex, and evaluation instrument

	Guatemala		El Salvador		Honduras		Costa Rica		Panama		All countries			
	M	F	M	F	M	F	M	F	M	F	M	F	M+F	
MM	12	9	4	1	0	0	7	10	2	0	25	20	45	MM
KII	4	2	3	1	5	0	4	8	0	0	16	11	27	KII
FGD	23	4	0	0	9	4	3	3	0		35	11	46	FGD
Total	39	15	7	2	14	4	14	21	2	0	76	42	118	Total

Bibliographic review, semi-structured interviews with participants or persons related to the RCCP, and visits/field observations.

MM: Ad-hoc interviews (individual and/or collective)

KII: Key informant interviews (individual)

FGD: Focus group discussions (more than one person)

LIMITATIONS

- Work sites in Panama and Nicaragua were not visited
- We only visited La Ceiba, and not the Sico-Paulaya region
- Unanswered questions, vague or reserved responses
- A lot of travel time and little time for interviews
- It wasn't clarified from the beginning that the pilot priority areas were REDD+ exercises for the carbon market

FINDINGS



EVALUATION QUESTIONS

I. IMPACT

What were the most significant environmental, economic, and social results of the RCCP? (intentional, non-intentional, internal and external factors)

II. ALIGNMENT

To what extent did the RCCP align with national and regional strategies on climate change, and the needs and priorities in Central America?

EVALUATION QUESTIONS

III. CAPACITY DEVELOPMENT

To what extent has USAID been capable of building or reinforcing capacity in the region to address climate change?

IV. SUSTAINABILITY

What methodologies, focuses, and results achieved by the RCCP have the potential to continue after the program is finalized?

I. IMPACTO PAISAJES SOSTENIBLES				
REGIONAL				
➤ Acceso a mercados de carbono complicada ➤ Instrumentos económicos con menos impacto ➤ Capacidades en REDD+ construido ➤ Reducción de emisiones + co-beneficios + costos ➤ REDD+ te vincula a otras políticas y estrategias ➤ RCCP utiliza PS para hacer frente al cambio climático ➤ Interacción de SI sin llegar juntos ➤ El efecto intencional mas significativo en la restauración fue usar herramientas del REDD ➤ GT, ES, NI, HN, CR identifican oportunidades de restauración				
GUATEMALA	EL SALVADOR	HONDURAS	COSTA RICA	
• Comité Nacional de Salvaguardas • Plan Nac. de Restauración • Mapeo Forestal y escenarios carbono • Propuesta ERMN • Dimensión de género y grupos indígenas incluída	• Comité Nacional de Salvaguardas • Equipo nacional aplicando análisis de oportunidades de restauración • Carbono azul	• Comité Nacional de Salvaguardas • Reforma a ley incluye grupos indígenas • Sinergia de mitigación y adaptación permitió inclusión de mas sectores • Estructura de agenda CC fortalecida	• REDD+ Plan financiero • Programa de reducción de emisiones	
SITIOS PRIORITARIOS		SOCIO PÚBLICO PRIVADO		
• Concurrencia y coordinación en gobernanza se queda • Comunidades no reciben los beneficios REDD+ por seguridad patrimonial • Preocupación por el superávit de la política por la limitación del tiempo		• 20% impacto esperado en APPs, pero con alto impacto de apareamiento de recursos • Impacto limitado por no concretizarse APP con gremio ganaderos (CR)		

Impact

Sustainable Landscapes

Regional

- Complicated access to carbon markets
- Economic instruments with less impact
- REDD+ capacities built
- Reduction in emissions +co-benefits + costs
- REDD+ links you to other policies and strategies
- RCCP uses SL to address climate change
- SI interaction without arriving together
- The most significant international effect was using RCCP tools
- GT, ES, NI, HN, CR identified restoration opportunities

Guatemala

- National Safeguard Committee
- National Restoration Plan
- Forest Mapping and carbon scenarios
- ERPIN Proposal
- Gender dimension and indigenous groups included

El Salvador

- National Safeguard Committee
- National team applying restoration opportunities analysis
- Blue carbon

Honduras

- National Safeguard Committee
- Legal reform includes indigenous groups
- Mitigation and adaptation synergy allows for inclusion of more sectors

- CC agenda structure strengthened

Costa Rica

- REDD+ Financial Plan
- Emissions Reduction Program

Priority Sites

- Knowledge and best practices in governance will remain
- Communities unsure of REDD+ benefits, but they will continue participating
- Worried about the increase in the population given territorial limitations

Public-Private Partnership

- 20% impact expected in APPs, but with high impact from leveraged resources
- Limited impact as APP was not made concrete with cattle trade association (CR)

I. ADAPTATION IMPACT			
CENTRO CLIMA	CLIMA PESCA	COFFEE CLOUD Y MANUAL DE VULNERABILIDAD	FOROS DEL CLIMA
• Construido sobre la base de confianza de servicios meteorológicos • Contribuye al desarrollo de agenda regional • Concebido con un alcance menor • Alto impacto en tomadores de decisión	• Clima Pesca y Coffee Cloud relacionados con productividad, medios de subsistencia y cambio climático • Continuar el esfuerzo de 2 APPs	• Conocimiento y comprensión de la variabilidad climática • Valoración positiva entre usuarios y beneficiarios • Personal se convierte en capacitadores del "Manual Reduciendo la Vulnerabilidad al CC del sector cafetalero en Guatemala"	• Información proporciona poder de decisión y genera resistencia • Foros Regionales fortalecen a CRRH, Servicios Meteorológicos y otros sectores

Centro Clima

- Built on a foundation of trust in meteorological services
- Contributes to a regional development agenda
- Conceived with a smaller scope
- High impact for decision-makers

Clima Pesca

- Clima Pesca and Coffee Cloud are related to productivity, subsistence measures, and climate change
- Continue the efforts with the 2 APPs

Coffee Cloud and Vulnerability Manual

- Knowledge and understanding of climate variability
- Positive assessment by users and beneficiaries

- Staff become trainers on the “Manual for Reducing Vulnerability to Climate Change in Guatemala’s Coffee Sector”

Climate Forums

- Information provides decision-making power and generates resistance
- Regional Forums strengthen CRRH, Meteorological Services, and other sectors

I. IMPACT

CAFTA DR

- Improved order in the region, results over more than 10 years
- CCAD, environmental leader, is reactivated
- CAFTA DR impacts the local, national, and regional level
- Environmental agenda introduced into the economic development agenda
- Knowledge is maintained and shared
- Appropriation of technology and protocols depends on the needs of each country

II. ALIGNMENT

Alignment: moving simultaneously, moving without interfering with others

Perception of Alignment, Group 1

Components	C1	C2	C3	C1	C2	C3	All
Strategies	4	5	3	4	5	3	Well aligned
Needs	4	5	-	4	5	2	
Priorities	Could be better	-	-	5	5	3	
Stakeholder	USAID			CATIE			TERRA

1= Minimal alignment
5= Maximum alignment

C1= Sustainable Landscapes
C2= Adaptation
C3= CAFTA DR

II. ALIGNMENT

- Alignment is associated with knowledge regarding needs
- RCCP adapted to the needs of the countries
- In Lachua, RCCP-UICN aligned in order to counteract the effect of low prices
- CATIE adapted to the needs of Sico Paulaya
- CAFTA, the topics are requested by the countries

III. BUILDING CAPACITY

- Objective: generate knowledge and tools for decision-making
- Methodology: combine efforts to clear up concepts and develop methodologies and political, social, and environmental tools
- Strategies: courses, seminars, workshops, field schools, exchanges, and networks
- Results: Greater connection and collaboration at the national and regional level

"Money well spent" is the opinion of many interviewees

III. CAPACITY BUILDING

Methodologies and tools appropriated for use			
Sustainable Landscape Management	REDD+ Projects (TERRA);	MAS (CATIE)	ROAM (IUCN)
	CLPI (IUCN)	REDD+ Safeguards (CARE)	Blue Carbon? MRV?
Adaptation	Vulnerability manual for the coffee sector	Centro Clima (DAI)	Clima Pesca (OSPESCA)
	Coffee Cloud (ANACAFE-Guatemala)	Silvo pastoral Sico	Marine and coastal ecosystems
CAFTA DR: Regional Treaty Supporting CCAD			

III. CAPACITY BUILDING

Field work context

- Areas selected according to the interests of the participants
- Slow development of the carbon market → “no regret clause”
- Public-Private Alliance is established in San Gil (FUNDAECO-CARE)
- Development activities are backed up by IUCN in Lachua (FUNDALACHUA).
- CATIE supports the MAPSP forestry program with the participation of Madera Verde
- Lack of clarity on the “central purpose” of the work areas
- Some say: “They are learning centers;” others say, “the RCCP was not designed to go to the field.”

III. CAPACITY BUILDING

San Gil (FUNDAECO) Public-Private Alliance

- Carbon projects are being prepared on 61,000 ha, with 40,000 ha for reserve
- RCCP helps with administrative and technical aspects of the project
- 661 farm families from the area surrounding the reserve can participate, but the families on the reserve cannot
- Participating families hand in carbon rights to FUNDAECO
- In exchange, they receive goods with which to establish productive plantations, and legal support.
- \$1.7 million has been sold on the voluntary market
- Those “without land” cannot participate; danger for migration and incursions
- Reasons that others gave for not participating: “they will take my land away;” “they’ll keep my incentives;” “I’m old and stubborn,” “I need space for my corn crops,” “I have cows.”

III. BUILDING CAPACITY

Work Area: Lachuá, Guatemala (FUNDAECO-IUCN)

- Support to IUCN for the institutional strengthening of FUNDALACHUA
- Forestry, agro-forestry, and cacao (drying and marketing) fields
- Training and technical assistance activities very appreciated, particularly by women
- They receive double the market price for cacao (Is this sustainable?)
- Greater attention to topics related to economics, the environment, traditional knowledge, and food security
- FUNDALACHUA is very dependent on donors, it hopes to become a for-profit organization

"When the Project arrived, we could maximize our potential and reactivate our Platform."

"Being organized gives us a voice in local development at the local and national level."

"Training and technical assistance is very much appreciated."

"Lack of attention to the economy, the environment, and traditional knowledge/harvests."

"Without land, the danger of migration and incursions into protected areas."

III. BUILDING CAPACITY

Work area: Sico-Paulaya, (CATIE-MAPSP-MADERA VERDE)

- CATIE and Madera Verde supported MAPSP governance
- MAPSP member: "Being organized gives us a voice in development affairs at a local and national level."
- MAPSP supports 6 agroforestry associations in the application forest management plans and preparation and sale of wood
- It also promotes agro-forestry and silvo-pastoral development with 120 cattle ranchers in the area
- ROAM application is beginning in the municipalities with a need for restoration; technical support is mission
- Urgent community needs: Electricity, security, food, and education
- RCCP's early exit from Sico-Paulaya, without an explanation, leaving MAPSP without support

"If the MAPSP Program is closed, it will not be able to provide technical support to the forestry associations or the cattle ranchers."

IV. SUSTAINABILITY

SOSTENIBILIDAD	ADAPTACION	CAFTA-DR
• PRCC adaptó REDD+ localmente • ROAM una herramienta de decisión de prioridades • CATIE ha reconocido estrategias regionales	• Han trabajado con dos sectores productivos: café y pesca	• Grupo estable con enfoque regional
• PSA no han logrado objetivos REDD+ • Incursiones o invasiones en áreas protegidas • Alternativas agroforestales para usuarios finales por demostrar • Necesidad de datos climatológicos en agroforestería • Desarrollo verde, en proceso • 1 de 5 PPP es funcional → germen de sustentabilidad	• No han escuchado de los servicios climatológicos en otros sectores	

Sustainability

- RCCP adapted REDD+ locally
- ROAM is a tool to decide on priorities
- CATIE has recognized regional strategies
 - PSA has not achieved REDD+ objectives
 - Incursions or invasions in protected areas
 - Alternative agroforestry for final users still to be seen
 - Need for climate data on agroforestry
 - Green development, in process
 - 1 in 5 PPP is functional -> root of sustainability

Adaptation

- Have worked in two productive sectors: coffee and fisheries
- Have not listened to the climate services in other sectors

CAFTA-DR

- Stable group with a regional focus

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ANNEX V. QUANTITATIVE ASSESSMENT

Below is a narrative of highlights of eight standard indicators, two custom indicators, and four custom CAFTA-DR indicators from April 2014 to December 2016, provided in the PITT (Annex VI).

Standard indicators (USAID No.)

1. EG 11-1. Number of people trained in climate change adaptation supported by USG assistance. *Nine hundred and fifty-five persons trained or 51 percent implementation of LOP target, 11.3 percent of the total persons trained were females.*
2. EG 11-2. Number of institutions with improved capacity to address climate change risks supported by USG assistance. *Twenty-six institutions with improved capacity or eighty-seven percent implementation of LOP target.*
3. EG 11-4. Amount of investment mobilized (in USD) for climate change adaptation as supported by USG assistance. *\$200,000 to be achieved in 2017 when the APPs will be launched.*
4. EG 11-6. Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance. *Three hundred and two people or sixty-eight percent implementation of LOP target.*
5. EG 13-1. Number of people trained in sustainable landscapes issues as supported by USG assistance. *CATIE has provided training to individuals from the national programs in sustainable landscapes and adaptation, as well as 13 MS students working in blue carbon and MRV. Three hundred and eighty-four persons trained, or one hundred percent implementation of LOP target, 40.6 percent of the total persons trained were females. See enclosed synopsis of students in Annex IX.*
6. EG 13-2. Number of institutions with improved capacity to address sustainable landscapes supported by USG assistance. *Fifteen institutions or eighty-eight percent implementation of LOP target.*
7. EG 13-3. Number of laws, policies, regulations or standards addressing sustainable landscapes formally proposed, adopted, or implemented as supported by USG assistance. *Fourteen laws, policies, regulations or standards or sixty-seven percent implementation of LOP target.*
8. EG 13-4. Amount of investment mobilized (in USD) for sustainable landscapes as supported by USG assistance. *The project managed to mobilize \$1,713,000 investment from the public and private sector to support sustainable landscapes (Las Jaras, Izabal), this represents a 17-fold investment relative to the RCCP contribution and over achievement.*

Custom indicators

9. Custom 1. Number of climate mitigation and/or adaptation tools, technologies or methodologies developed, tested and/or adopted as a result of USG assistance. *Tools developed: Centro Clima, Coffee Cloud, Climate Change Coffee vulnerability, fifty-eight percent implementation of LOP target.*
10. Custom 2. Number of days of U.S. funded technical assistance in climate change provided to counterpart or stakeholders. *The number of days of technical assistance (423) almost tripled the LOP target (160).*

Custom Indicators C-DR

The indicators for CAFTA-DR show that the program is behind the LOP targets due to a slow start caused by administrative issues (slow disbursement of funds).

11. Custom C-DR1. Number of institutions with improved capacity to address brown issues as a result of USG assistance. *One institution or twenty percent implementation of LOP target.*
12. Custom C-DR2. Number of national laws, policies, strategies, plans or regulations addressing brown issues officially proposed or adopted as a result of USG assistance. *Three laws, policies, strategies, plans or regulations, or twenty-three percent implementation of LOP target.*
13. Custom C-DR3. Number of person hours of training completed on brown issues as a result of USG assistance. *Six-thousand five-hundred and eighty-four person hours or fifty-seven percent implementation of LOP target.*
14. Custom C-DR4. Number of brown issues, tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance. *Zero percent implementation of the LOP target.*

Based on USAID-ECODIT (2011), the USAID Environmental Cooperation Program to Promote Compliance with CAFTA-DR has shown that the group has the capacity to deliver all the performance indicators, at or above target. And, the first quarterly report of the 2017 Fiscal Year (October-December 2016) showed all indicators were expected to be completed by September 2017. There were no target shares for female participation in training events, though the proportion of women who received training in Sustainable Landscapes was almost four times as high as that received by their counterparts in Adaptation.

ANNEX VI. PERFORMANCE INDICATORS TRACKING TABLE

Quantitative Performance, Regional Climate Change Program

No.		USAID			Year 2	Year 3	LOP		RCCP Report Narrative	
Indic. Indicator No.		Definition	Unit		Actual (Y1+Y2)	Actual	Actual	Target	% of target	2016
1	EG.11-1	Number of people trained in climate change adaptation supported by USG assistance	Number		144	811	955	1,855	51	On Fiscal year 2016 a total of 811 persons were trained. Among the persons trained 465 are coffee extension agents, 322 are coffee farmers and 24 are technical staff from Coastal Protected Areas.
		Male			109	738	847	-	-	
		Female			35	73	108	-	-	
2	EG.11-2	Number of institutions with improved capacity to assess or address climate change risks supported by USG assistance	Number		16	10	26	30	87	During this fiscal year, US government continues to provide assistance to sixteen institutions previously reported during FY 2015. For Fiscal year 2016, two new institutions have been added, for a total of eighteen. These institutions are able to: -Use climate change data, information or analysis to inform decisions and actions: Coffee Cloud, Centro Clima, Central America Climate Data Base -Improved access to equipment and data: Servers for climate Modeling, VTC Systems -Engaging stakeholders and building networks related to climate change adaptation objectives: Regional Coffee Organizations (PROMECAFE), Guatemalan Coffee Institute (ANACAFE), Honduran Coffee Institute (IHCAFE), Central America Water Resources Secretary (CRRH), Costa Rica Protection Areas System (SINAC), Central America Fishery Organization (OSPESCA) and 8 National Fishery Organizations (Belize, El Salvador, Honduras, Guatemala, Costa Rica, Nicaragua, Panama and Dominican Republic) -Building in-house technical expertise: Meteorological Services and Organizations mentioned above
		National governmental			-	1	1	-	-	
		Sub-national governmental			-	-	-	-	-	
		Other			16	9	25	-	-	
3	EG.11-4	Amount of investment mobilized (in USD) for climate change adaptation as supported by USG assistance					-	200,000		To be delivered in 2017
		Public, domestic								
		Public, international								
		Private, domestic								
		Private, international								
4	EG.11-6	Number of people using climate information or implementing risk-reducing actions to improve resilience to climate change as supported by USG assistance	Number		2	300	302	443	68	Two Climate Change Forum were held to support the Regional Committee on Hydraulic Resources (CRRH). The first one in Guatemala, on April 2016 and the second in Costa Rica, on July 2016.
		Male			-	200	200	-	-	
		Female			-	100	100	-	-	
5	EG.13-1	Number of people trained in sustainable landscapes supported by USG assistance	Number		374	10	384	384	100	10 students from Catic Master degree
		Male			221	7	228	-	-	
		Female			153	3	156	-	-	
6	EG.13-2	Number of institutions with improved capacity to address sustainable landscapes issues as supported by USG assistance	Number		11	4	15	17	88	During fiscal year 2016, an extra demand to support the following institutions was received in order to improve Forest Management, Reduce emissions by Forest Degradation and Deforestation: Ministerio de Ambiente Dominican Republic FUNDACIÓN SOTZIL (GT) FUNDALACHUA (GT) SERENA RACCN Institutions have engaged stakeholders and built networks; in house technical expertise has been built and institutions are using climate change data and information to inform decision and actions
		National governmental			7	-	7	-	-	
		Sub-national governmental			-	-	-	-	-	
		Other			4	4	8	-	-	

7	EG.13-3	Number of laws, policies, regulations, or standards addressing sustainable landscapes formally proposed, adopted, or implemented as supported by USG assistance	Number	5	9	14	21	67	During fiscal year 2016, the following Plans and Standards to Reduce emissions by Forest Degradation and Deforestation were accomplished: *2 Financial Marketing REDD plans proposed (CR) *3 National Reduction Emission Programs Standards: *ER-PIN (GT & RD), ER-PD (CR) *3 National Cost Studies Standards *PERFOR: Regional Strategic Program for the Management of Forest Ecosystems (implemented)
		National, proposed		3	2	5	-	-	
		National, adopted			6	-	-	-	
		National, implemented		-	-	-	-	-	
		Sub-national, proposed		-	-	-	-	-	
		Sub-national, adopted		-	-	-	-	-	
		Sub-national, implemented		-	-	-	-	-	
		Regional or international, proposed		-	-	-	-	-	
8	EG.13-4	Amount of investment mobilized (in USD) for sustainable landscapes as supported by USG assistance	USD	-	1,713,000	1,713,000	100,000	1713	\$1,713,000.00 were mobilized from the public and the private sector, investments were possible by finance interventions such as: *Support for development and structuring of other financial instruments and, * Equity or investment shares FUNDABCO Alliance was able to bring large amount of investment in order to support Forest Management in the Izabal area
		Public, domestic		-	728,000	-	-	-	
		Public, international		-	-	-	-	-	
		Private, domestic		-	-	-	-	-	
		Private, international		-	985,000	-	-	-	
9	Custom 1	Number of climate mitigation and/or adaptation tools, technologies and methodologies developed, tested and/or adopted as a result of USG assistance	Number	3	4	7	12	58	During fiscal year 2016, under Sustainable Landscapes the Free, Prior and Informed Consent Tool (FPIC) was developed and tested. This tool aims to address people concerns regarding implementation of forest activities. During fiscal year 2016, under Adaptation the following tools were developed: - Centro Clima (March 2016) - Coffee Cloud - Climate Change Coffee Vulnerability
		Sustainable Landscapes		3	1	4	-	-	
		Adaptation		-	3	3	-	-	
10	Custom 2	Number of days of USG funded technical assistance in climate change provided to counterparts or stakeholders	Number	422	1	423	160	264	
11	Custom C-DR1	Number of institutions with improved capacity to address brown issues as a result of USG assistance			1	1	5	20	Two national studies of inter laboratory comparison developed
12	Custom C-DR2	Number of national laws, policies, strategies, plans or regulations addressing brown issues officially proposed or adopted as a result of USG assistance		-	3	3	13	23	During this fiscal year technical assistance has been provided to the Ministries of Environment from Guatemala, El Salvador and Costa Rica in their effort to: a) Develop two baseline studies to promote enforcement and compliance of environmental laws (Costa Rica & Guatemala) b) Develop one guideline for the environmental compensation (El Salvador)
13	Custom C-DR3	Number of person hours of training completed on brown issues as a result of USG assistance.			6,584	6,584	11,584	57	Only 57% was achieved due to several factors: a) Work Plan was developed during October and got final approval from CCAD council of Ministers in January; b) Implementation with full staff began in February 2016
14	Custom C-DR4	Number of brown issues tools, technologies and methodologies developed, tested and/or adopted as result of USG assistance			-	-	4	0	

Source: RCCP M&E; Work Plans; Annual and quarterly reports; USAID IIA. Updated Aug. 23, 2017.

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ANNEX VIII. EVALUATION PICTURES



COSTA RICA

- CATIE, IUCN



COSTA RICA

- CATIE, Turrialba





GUATEMALA

- INAB
- ANACAFE
- USAID-CNCG
- TERRA
- COBAN-IUCN



GUATEMALA

- Lachua Region
- FundaLachua
- Communities





GUATEMALA

- Cerro San Gil - Izabal
- FUNDAECO, CARE





EL SALVADOR

FINDINGS PRESENTATION

- USAID
- CATIE, CARE, DAI, IUCN
- ME&A



EL SALVADOR



EL SALVADOR



ANNEX IX. MASTER'S PROGRAM IN CLIMATE CHANGE (CATIE)

CATIE initiated a post-graduate course on climate change in 2015. According to CATIE, this master's program responds to a regional and international demand to strengthen knowledge, competences, skills, and technological tools that would help to develop and integrate responses to mitigate and adapt to the variability and damaging events caused by climate change in the region. Students pursuing a Master's degree program have had the opportunity to get involved in research in RCCP's Sustainable Landscapes and Adaptation components. Mentored by highly trained and experienced professionals, the students work on climate change problems recognized by local, national, and regional institutions as serious challenges.

RCCP financed thirteen students enrolled in the MS program on climate change. As part of their academic requirements, the students had to write a thesis. The table below shows the 13 students financed by RCCP, their subject of research, their relationship with component one or two in the Program, as well as the objectives of their research.

It is interesting to note that RCCP Component 1 and Component 2 were equally represented by students involved in Centro Clima, Coffee Cloud, Blue Carbon, SAM, and MRV. One student was involved in *Climate Change Governance: The case of land-use based emissions MRV systems in Central America and The Dominican Republic*. Out of the remaining thesis topics, none of them addressed issues such as Consultation, FPIC, and Safeguards, or the managerial economics of natural resources in silvopastoral and agroforestry systems, or decision-making in territorial restoration, among other options. RCCP had identified that governance of local development platforms was a serious problem in Sico Paulaya. Yet, no student worked on these issues linking social science and environment. Other sites where RCCP carried out some work, such as Lachuá, Verapaz and San Gil, Izabal in Guatemala did not benefit from CATIE's students.

The Team met with three students who mentioned that their coursework was originally scheduled for 24 months, but was recently shortened to 18 months; however, the number of credits and the thesis work remains the same. Students mentioned that they would like to publish their theses results, but did not know if this was going to be possible. Some worried about the future of climate change as a research area, and others were preoccupied as to where they were going to find a job after graduation.

CATIE Master's students, RCCP Component, thesis theme, and relation to RCCP

	Name	RCCP Component	Thesis theme	Relationship with Program
1	Alejandro Brenes Loaiza	Component 2: Adaptation	Effect of shade on colonization, sporulation and aerial dispersion of rust on the leaves of the coffee plant.	Aimed at providing information for "Centro Clima" and Coffee Cloud.
2	Aldo Flores Marin	Component 1 and 2: SLM and Adaptation	Spatial optimization for the ecological restoration of mangrove swamps in Jeannette Kawas Fernández Blanca National Park, Honduras.	Contributes basic information to the Government of Honduras to develop blue carbon applications in the country.
3	Fabio Gabriel Diaz Santos	Component 1 and 2 SLM and Adaptation	Estimate of aerial carbon in natural forests of the altitudinal gradient of the Cordillera de Talamanca in Costa Rica and two volcanoes in southwestern Nicaragua and its relation with environmental factors.	Contributes current information to develop emission factors for highland forests
4	Carlos Enrique Godoy	Components 1 and 2: SLM and Adaptation	Development of principles, criteria and indicators for the monitoring and evaluation of the development of synergies between adaptation and mitigation of climate change in territories	Design of the M&E system for the SAM toolbox
5	Edio Geovanni Gonzalez Celada	Component 2: Adaptation	Impact of climate change and use / coverage on hydrological behavior, water erosion and availability of water for agricultural and human use in the Quiscab River basin, Lake Atitlan basin, Guatemala.	Provides local information on climate change impacts to design best productive practices
6	Noelia Larios Bojorquez	Components 1 and 2: SLM and Adaptation	The role of ecosystem services of mangroves in the generation of local livelihoods in the Jaltepeque estuary, Bajo Lempa, El Salvador	Contributes base information to develop blue carbon offset mechanisms in El Salvador
7	Marilyn Manrow	Component 1. SLM	Capacity of LIDAR / RADAR remote sensors to capture the carbon degradation of forest ecosystems in a climate gradient	Develop a method for quantifying forest degradation in the region with innovative technology and contribute to building country FREL/ FR
8	Andrea Pacheco Figueroa	Component 2: Adaptation	Climate Change Governance: The case of land-use based emissions MRV systems in Central America and The Dominican Republic	Identifies common technical and governance elements that prompt a well harmonized design of MRV systems
9	Victor Rodriguez Salguera	Components 1 and 2: SLM and Adaptation	Balance of greenhouse gases, tree diversity and their effect on carbon stocks in land uses of dual purpose cattle farms in the Sico and Paulaya valley, Honduras	Provides the baseline of emissions from the livestock sector in the pilot priority territory of Sico-Paulaya

	Name	RCCP Component	Thesis theme	Relationship with Program
10	Luis Alberto Soto Chavarria	Components 1 and 2: SLM and Adaptation	Synergies between Mitigation and Adaptation for Functional Areas for Conservation	Extends the work of the MBAs applied to the conservation of territories
11	Rafael Arcides Gómez Lozano		First year students are not required to select a thesis topic.	
12	Ethewaldo Estrada Trochez		First year students are not required to select a thesis topic.	
13	Yader José Mercado López		First year students are not required to select a thesis topic.	

Source: RCCP, May 2017

ANNEX X. MECHANISM REDD+ IN CENTRAL AMERICA

REDD+ in Central American Countries – RCCP support as of December 2016

	Costa Rica	Dominican Republic	El Salvador	Guatemala	Honduras	Nicaragua
Total area (Km²)	51,100	48,000	21,041	108,890	111,492	130,375
Total Population	4,890,370 (2015)	10,056,181 (2015)	6,127,000 (2014)	7,993,268 (2015)	8,098,213 (2013)	6,082,032 (2014)
Total forested area (ha)⁷⁶	2,560,200	1,972,000	287,000	3,722,592	5,192,000	3,254,145
REDD+ National Strategy (Readiness Fund)	Under construction (FCPF 2008)	Under construction (FCPF 2013)	Under construction (FCPF 2013)	Under construction (FCPF 2012)	Under construction (FCPF 2014) (UN-REDD 2015)	Under construction (FCPF 2013)
National Reduction Program (Carbon Fund)	Emission Reductions Program Document ER-PD 2016 Readiness Package R-Package 2015	Emission Reductions Program Idea Note ER-PIN 2015		Emission Reductions Program Idea Note ER-PIN 2014		Emission Reductions Program Idea Note (Sub-National) ER-PIN 2015
Financial mechanism	FONAFIFO incentive program			PINPEP and PROBOSQUE Incentive programs	FONADEFO Incentive program	

⁷⁶ CCAD, (2014) Regional Strategic Program for Forest Ecosystems Management (Perfor) Central America-Dominican Republic Region.

	Costa Rica	Dominican Republic	El Salvador	Guatemala	Honduras	Nicaragua
MRV	MRV finished		Technical assistance and training received and MRV under construction	Technical assistance and training received and MRV under construction	Technical assistance and training received and MRV under construction	Technical assistance and training received and MRV under construction
Safeguard Committee, FPIC, and SIS		National Safeguard Committee in process	National Safeguard Committee in process	Established in 2015 FPIC	Established in 2016 FPIC	FPIC
Bonn Challenge	Pledge in 2012 1 million ha by 2020		Pledge in 2012 1 million ha by 2020	Pledge in 2014 1,200,000 ha by 2020	Pledge in 2014 1 million ha by 2020	Pledge in 2015 2.7 million ha by 2020
National Restoration Strategy	Under construction	Under construction	Under construction	National Strategy approved in 2016	Under construction	Under construction
Tools and Approach	ROAM Blue Carbon Method		ROAM Blue Carbon	ROAM MAS concept	ROAM	
Legal Frameworks and Land Tenure issues				PROBOSQUE law was prepared and approved	Climate Change Law revised	
Gender and Indigenous					Gender Unit included in strategy, and indigenous peoples component became prominent	

ANNEX XI. COORDINATION TEAM COMPOSITION

Socio	Role	Persons
CATIE	Director of Foreign Affairs	Jorge Jiménez, since the beginning of the Program to Dec 2016; Jorge Faustino, since Jan 2017
CATIE	Chief of Party	Franz Tattenbach (Apr 2013 - Sep 2015), Jorge Faustino (temporary, Oct-Dec 2015), Ana María Majano (Jan 2016 to present)
CATIE	Sustainable Landscapes Specialist, Component 1 Coordinator	Mario Escobedo (since the beginning of the Program)
CATIE	Adaptation Specialist, Component 2 Coordinator	Deisy López (since Aug 2013 to present)
CATIE	Component 3 Coordinator (CAFTA DR)	Ana María Majano (Nov-Dec 2015), Salvador Nieto (Feb-Dec 2016), Enriqueta Ramírez (temporary since Jan 2016 to May 2017, permanent since Jun 2017)
CATIE	M&E Specialist	Jorge Garza (since the beginning of the Program)
CATIE	Administrator	Héctor Portillo (since the beginning of the Program)
CATIE	Internal Coordinator, CATIE headquarters	Jorge Faustino, since Oct 2015
CATIE	CATIE Technical Liaison Component 1	Miguel Cifuentes. Since the beginning of the Program
CATIE	CATIE Liaison, Activities Component 2 – Capacity Building	Elena Florian (Sep 2013 to Nov 2016) Guillermo Detlefsen (Dec 2016 to present)
CATIE	Administrative-Finance Coordinator, CATIE headquarters	Edgar Brenes (since the beginning of the Program)
DAI	Project Director	Jennifer Lewis (Apr 2013 a Sep 2015) Marcio Baca (Oct 2015 to date)
DAI	Project Manager	Beth Leonhardt (Apr 2013 to Jan 2015) Ailea Sneller (Feb 2015 to Sep 2015) Travis Snow (Oct 2015 to Dec 2016) Juliette Gaitan (Jan 2017 to date)
DAI	Regional Project Coordinator	Ben Cooper (Apr 2013 to May 2014) Robin Young (Jun 2014 to Feb 2015) Krista Baptista (Mar 2015 to date)
DAI	Technical Coordinator	Alejandro Solís (Mar 2014 to date)
UICN	Principal Liaison	María Pia Hernández (since the beginning of the Program). Zelma Larios assists in coordination
UICN	Component 1 Liaison	Ronald McCarthy/German Obando. Currently only Ronald.
UICN	Component 2 Liaison	Rocío Córdoba and Marta Pérez de Madrid (Apr 2013 a Apr 2015) Ivonne Jaimes (May 2015 to Jan 2016) Daniela Salas (temporary Feb 2016 to May 2016) Cristina Solana (Jun 2016 to Sep 2016) Milena Berrocal (Oct 2016 to date)
CARE	Principal Liaison	Ada Zambrano, Office Coordinator, CARE Guatemala. Since the beginning of the Program
CARE	Technical Liaison	Pascal Girot, based in Costa Rica, since the beginning of the Program to Aug 2014; Carlos Rodríguez, starting Nov 2014. Technical support: Roberto Chuc since 2015
TERRA Global Capital	Principal Liaison	Leslie Durschinger (since the beginning of the Program)
TERRA Global Capital	Technical Liaison	Nora Nelson, since the beginning of the Program to Jun 2014. Alejandro Mejía, from Jun - Nov 2014; Glenda Lee and Nicole Rossell from Nov 2014 to date

ANNEX XII. RCCP USE OF FINANCIAL RESOURCES

Summary of Expenditure by Partner and Component

Socio	Componente	Monto contrato	Obligado	Gastos 2013-2016
CATIE	Administración	6,417,875	4,910,210	3,608,633
	Paisajes Sostenibles	4,613,979	3,397,268	3,290,046
	Adaptación	633,872	385,448	357,936
	CAFTA-DR	2,916,526	1,950,000	684,896
UICN	Paisajes sostenibles	2,306,629	1,739,837	1,598,381
	Adaptación	1,072,363	781,666	630,970
CARE	Paisajes Sostenibles	643,297	480,047	365,259
Terra Global Capital	Paisajes Sostenibles	946,987	860,987	781,778
DAI	Adaptación	1,831,606	1,451,259	1,158,172
Totales		21,383,134	15,956,722	12,476,072

Source: CATIE

Summary of Expenditure by Partner, Component, and Fiscal Year

Socio	Componente	FY2013-2014	FY2014-2015	FY2015-2016	FY2016-2017 *	Totales
CATIE	Administración	1,160,136	1,014,876	1,122,519	311,102	3,608,633
	Paisajes Sostenibles	744,949	1,837,117	574,779	133,201	3,290,046
	Adaptación	29,058	88,932	145,779	94,167	357,936
	CAFTA-DR	-	1,590	423,561	259,745	684,896
UICN	Paisajes sostenibles	276,044	386,091	646,555	289,690	1,598,381
	Adaptación	107,350	160,614	251,438	111,567	630,970
CARE	Paisajes Sostenibles	57,576	84,522	93,264	129,898	365,259
Terra Global Capital	Paisajes Sostenibles	143,616	429,517	198,905	9,741	781,778
DAI	Adaptación	238,005	298,011	437,178	184,978	1,158,172
Totales		2,756,734	4,301,272	3,893,978	1,524,089	12,476,072

* a diciembre 2016

Source: CATIE

Expenditure by Priority Site and Public-Private Partnership

EJECUCION SITIOS PRIORITARIOS y ALIANZA-PRCC						
SITIO	SOCIO	2013	2014	2015	2016	TOTAL
FUNDAECO	CARE				\$71,610	\$71,610
SICOPAULAYA	CATIE	\$37,145	\$241,900	\$170,804	\$128,959	\$578,807
VERAPACES	UICN		\$22,169	\$49,742	\$0	\$71,911
TOTAL		\$37,145	\$264,069	\$220,545	\$200,569	\$722,328

Source: CATIE