

## A. COVER PAGE

**1. Fund Name:** Joint SDG Fund

**2. MPTFO Project Reference Number**

**3. Joint Programme title:** Strengthening Guatemala's Financial Architecture to Finance the Great National Crusade for Nutrition

**4. Short title:** PC- GCNN

**5. Country and region:** Guatemala, Latin America and the Caribbean

**6. Resident Coordinator:** Rebeca Arias, [rebeca.arias@one.un.org](mailto:rebeca.arias@one.un.org)

**7. UN Joint Programme focal point:** Carlos Carrera, Representative, [ccarrera@unicef.org](mailto:ccarrera@unicef.org)

**8. Government Joint Programme focal point:** Maritza Méndez de Oliva, Secretariat of Food and Nutrition Security of the Presidency of the Republic (SESAN), [maritza.mendez@sesan.gob.gt](mailto:maritza.mendez@sesan.gob.gt)

**9. Short description:**

The overall objective of the Joint Programme is to support the improvement of public finances in Guatemala based on the Integrated National Financing Framework's Assessment and Diagnostics building block. Specifically, the aim is to promote the medium-term sustainability of the national strategy to combat chronic malnutrition, called the Great National Crusade for Nutrition [Gran Cruzada Nacional por la Nutrición] (GCNN), which was announced by the Government of Guatemala at the beginning of 2020. This strategy proposes five evidence-based lines of action, and its target population includes: (i) children under 5 years of age, (ii) women and girls, and (iii) rural and indigenous peoples living in poverty and extreme poverty.

This Joint Programme proposes to:

- (i) determine the cost of GCNN, including all programmes, subprogrammes, activities and interventions, by working collaboratively with line ministries and GCNN-prioritized local governments at the municipal level;
- (ii) identify GCNN's financing gap in relation to the time frame of the Food and Security Strategic Plan [Plan Estratégico de Seguridad Alimentaria y Nutricional] (PESAN) 2021 - 2025; and
- (iii) develop recommendations based on the costing exercise that will facilitate the identification of scenarios for mobilising public and private financial resources and establishing partnerships.

As such, the Joint Programme will support:

- (i) the development of three municipal pilot plans for GCNN's implementation;
- (ii) the assessment of reporting mechanisms that are available to specifically monitor expenditures related to GCNN's interventions (physical and geographic goals), as well as to its scope (programmes, subprogrammes and activities); and
- (iii) the identification and design of additional reporting mechanisms to monitor GCNN, if necessary.

The anticipated outcome of this Joint Programme is that, by 2021, a costing tool grounded in result-based management is made available to strengthen multi-year budget formulation and execution processes, in order to promote the medium-term sustainability of the Great National Crusade for Nutrition, this accelerating the achievement of Sustainable Development Goals (SDGs) 2, 5, 10, 16 and 17.

**10. Keywords:** Institutional strengthening, SDG costing, financing gap, multi-year budget, financing, partnerships, chronic malnutrition, food security, gender empowerment, leaving no one behind, local governance, sustainable development.

### 11. Overview of budget

<b>Joint SDG Fund contribution</b>	<b>USD 991,209</b>
Co-funding 1 UNICEF From regular resources and other resources	USD 80,000
Co-funding 2 UNICEF From regular and non-regular resources	USD 25,000
<b>TOTAL</b>	<b>USD 1,096,209</b>

### 12. Timeframe:

Start date	End date	Duration (in months)
July 2020	June 2022	24 months

### 13. Gender Marker:

Total scoring: 2.25

This Joint Programme's implementation strategy has been designed to ensure that, at the public finance level, gender-equality elements are incorporated, including the costing, budgeting, reporting, financial monitoring and partnerships that are envisaged by the Joint Programme in the framework of GCNN.

### 14. Participating UN Organizations (PUNO) and Partners:

#### 14.1 PUNO

- Convening agency:
- **UNICEF:** Carlos Carrera, Country Representative, [ccarrera@unicef.org](mailto:ccarrera@unicef.org), (502) 2327-6373
- Other PUNO:
- **UNDP:** Ana María Díaz, Resident Representative, [ana.maria.diaz@undp.org](mailto:ana.maria.diaz@undp.org), (502) 2384-3100
- **WFP:** Laura Melo, Country Representative, [laura.melo@wfp.org](mailto:laura.melo@wfp.org), (502) 2300-6000

#### 14.2 Partners

- National authorities:
- **Secretariat of Food and Nutrition Security of the Presidency of the Republic (SESAN):** Maritza Méndez de Oliva, [maritza.mendez@sesan.gob.gt](mailto:maritza.mendez@sesan.gob.gt), (502) 4211-1900.
- **Ministry of Public Health and Social Welfare (MSPAS):** Hugo Monroy, (502) 2444-7474.
- **Ministry of Public Finances (MINFIN):** Álvaro González Ricci (502) 2374-3000.

- **Secretary of Planning and Programming of the Presidency (SEGEPLAN):** Keila Gramajo Vilchez, Secretaria, (502) 2504-4444.
- **National Food and Nutrition Security Council (CONASAN):** Maritza Méndez de Oliva, Council Secretary, [maritza.mendez@sesan.gob.gt](mailto:maritza.mendez@sesan.gob.gt), (502) 2411-1900.

CONASAN is composed of:

- o Vice President of the Republic, who presides over it.
- o Secretariat of Food and Nutritional Security of the Presidency of the Republic (SESAN), who acts as the Council Secretariat
- o Ministry of Agriculture, Livestock and Food (MAGA).
- o Ministry of Economy (MINECO).
- o Ministry of Public Health and Social Welfare (MSPAS).
- o Ministry of Social Development (MIDES)
- o Ministry of Education (MINEDUC).
- o Ministry of Communications, Infrastructure and Housing (MICIVI).
- o Ministry of Environment and Natural Resources (MARN).
- o Ministry of Labor (MINTRAB).
- o Ministry of Public Finance (MINFIN).
- o Secretariat of Executive Coordination of the Presidency (SCEP).
- o Secretariat of Social Works of the President's Wife (SOSEP).
- o Two representatives of the private sector.
- o Five representatives of civil society.











- **International Financial Institutions**

- **World Bank (WB):** Fernando Paredes, Senior Operations Officer, [fparedes@worldbank.org](mailto:fparedes@worldbank.org)
- **Inter-American Development Bank (IDB):** Oscar Lora, Fiscal Management Specialist, [OLORARROCHA@iadb.org](mailto:OLORARROCHA@iadb.org)

- **Civil society organizations and private sector**

- **The Alliance for Nutrition** composed of private and civil society organizations.

# SIGNATURE PAGE

<p><b>Resident Coordinator:</b> <i>Rebeca Arias</i></p> <p>June 12, 2020</p> <p>Signature: </p> 	<p><b>National Coordinating Authority:</b> <b>SESAN</b> <i>Secretaria Maritza Méndez de Oliva</i></p> <p>June 12, 2020</p> <p>Signature and seal: </p> 
<p><b>Participating UN Organization (lead/convening):</b> <b>UNICEF</b> <i>Carlos Carrera</i></p> <p>June 12, 2020</p> <p>Signature and seal: </p> 	
<p><b>Participating UN Organization:</b> <b>UNDP</b> <i>Ana María Díaz</i></p> <p>June 12, 2020</p> <p>Signature and seal: </p> 	
<p><b>Advisory UN Organization:</b> <b>WFP</b> <i>Laura Melo</i></p> <p>June 12, 2020</p> <p>Signature and seal: </p> 	

## B. STRATEGIC FRAMEWORK

### 1. Call for Concept Notes: SDG Financing (2/2019) – Component 1

### 2. Programme Outcome [pre-selected]

- Additional financing leveraged to accelerate SDG achievement (Joint SDG Fund Outcome 2)

### 3. UNDAF Outcomes and Outputs

The United Nations Sustainable Development Cooperation Framework (UNSDCF) 2020 – 2024 in Guatemala is currently in the process of being validated by the new government authorities who took office on 14 January 2020. It identifies the following five challenges, based on the Common Country Analysis, that will guide the United Nations' work in Guatemala over the next five years: (i) institutional strengthening; (ii) quality basic services (food and nutrition security, health and education) and social protection; (iii) economic development; (iv) territorial planning and resilience; and (v) political and civic participation. This Joint Programme is linked to the first and second of these challenges, and it contributes to 2 of the 11 outcomes that are defined in the UNSDCF: (i) building solid institutions; and (ii) improving the provision of services related to food and nutrition security. It is important to highlight that the 5 challenges identified in the UNSDCF, and their 11 effects, are the result of a broad multisectoral consultation process with different population groups (indigenous peoples, women, youth, people with disabilities, LGTBIQ+ people, people involved in human mobility), as well as the public sector, private sector, civil society and academia. This Joint Programme will contribute to the following UNSDCF outcomes and outputs:

#### 3.1 Outcomes

- **Strong institutions:** State institutions improve democratic governance, the efficient and transparent management of resources, and evidence-based decision-making.
- **Food and nutrition security:** the prioritised population has improved food and nutrition security.

#### 3.2 Outputs

Outputs have not been determined for each of the above outcomes; rather, in accordance with the guidelines for new UNSDCFs, working strategies have been defined that correspond to the operational responsibilities of the United Nations System Agencies. The strategies consider the following United Nations programme objectives: leaving no one behind, human rights, gender equality, women's empowerment, sustainability, resilience and accountability.

The UNSDCF strategies that are linked to this Joint Programme are:

- **Strong institutions:**
  - o Provide technical advisory services and facilitate **intersectoral dialogue and multisectoral strategic partnerships** that promote progressive fiscal policies, increasing tax revenue and improving the **quality and efficiency of public spending at the national and local level.**
  - o Provide technical assistance and advisory services to harmonise and **coordinate public policies** and regulations for the design, management

- and implementation of the different State programmes, based on the programme principles of leaving no one behind and gender equality.
- Provide technical assistance to strengthen the **planning, management and financial administration of municipal governments and local entities.**
  - Facilitate the modernisation of **cross-information systems and interoperability** for informed decision-making at the national and local level, mainly in areas related to finance, planning, and monitoring and evaluation.
  - Advocate for **decentralize institutions** so that services reach the population and local institutional capacities are strengthened.
  - Provide technical assistance and South-South and triangular cooperation to the national statistics system for the generation, analysis and **timely use of quality data that is disaggregated by sex and ethnicity**, for the purposes of decision-making and promoting a culture of accountability at the national and local level.
- **Food and nutrition security:**
- Advocate and **build strategic partnerships and mobilise resources for the implementation of the national strategy for nutrition** and food security (Great National Crusade for Nutrition).
  - Provide technical assistance to strengthen **management capacities** within food and nutrition security systems that are sensitive to gender inequalities.
  - Provide technical assistance to strengthen the food and nutrition governance competencies of stakeholders at different levels, promoting the **participation of women in different applicable capacity development initiatives.**

#### 4. SDG targets directly addressed by the Joint Programme

##### 4.1 List of goals and targets

- **SDG 2 – Zero hunger. End hunger, achieve food security and improved nutrition and promote sustainable agriculture.**
  - 2.1. By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round.
  - 2.2. By 2030, end all forms of malnutrition, including achieving, by 2025, the internationally agreed targets on stunting and wasting in children under 5 years of age, and address the nutritional needs of adolescent girls, pregnant and lactating women, and older persons.
- **SDG 16 – Peace, justice and solid institutions. Promote fair, peaceful and inclusive societies.**
  - 16.6. Develop effective, accountable and transparent institutions at all levels.
  - 16.7. Ensure responsive, inclusive, participatory and representative decision-making at all levels.
- **SDG 17 – Strengthen the means of implementation and revitalize the global partnership for sustainable development.**
  - 17.3. Mobilise additional financial resources for developing countries from multiple sources.
  - 17.14. Enhance policy coherence for sustainable development.

- 17.18. By 2020, enhance capacity-building support to increase significantly the availability of high-quality, timely and reliable data disaggregated by gender, age, geographic location and ethnicity.

In addition, the Joint Programme is more generally related to the following SDGs:

- **SDG 5 – Achieve gender equality and empower all women and girls.**
  - 5.1 End all forms of discrimination against women and girls everywhere.
- **SDG 10 – Reduce inequality within and among countries.**
  - 10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality.
  - 10.6 Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions.

#### 4.2 Expected SDG impact:

As Guatemala ranks sixth from the bottom in the world in terms of the infant stunting (The State of the World’s Children, 2019), this Programme is especially relevant to the achievement of SDGs 2, 5, 10, 16 and 17, as it aims to strengthen public finance management to improve the financial architecture, sustainability and monitoring of public resources dedicated to the implementation of GCNN, as well as the formation of public-private partnerships required for a coordinated and sustained implementation of the planned interventions. It also seeks to strengthen public management through improved inter-institutional coordination and results-based management of the ministries, public entities and local governments involved in addressing chronic malnutrition in the country.

### 5. Relevant objective(s) from the national SDG framework

In 2016 the Secretary of Planning and Programming of the Presidency (SEGEPLAN) initiated a coordination and prioritisation process to harmonise the National Development Plan K’atun, Our Guatemala 2032 [Plan Nacional K’atun, Nuestra Guatemala 2032] with the Agenda 2030, the result of which was a list of 99 integrated goals. These goals were then prioritised using the nodes and links methodology, resulting in 16 strategic development goals grouped into 10 national development priorities based on their thematic relationship and the direction that they provide to focus the State’s efforts and resources towards achieving development. Specifically, this Joint Programme contributes to the following strategic development goals:

- **Create effective, responsible and transparent institutions at all levels.** According to this strategic development goal’s causal analytical model, institutional strengthening is associated with legal reforms, training processes for staff, modernised administrative processes, new or restructured institutions, and increased financial, human or other resources, as well as the implementation of high-quality, ethical mechanisms within the civil service.
- By 2032, **reduce chronic malnutrition in children under 5 years of age by at least 25 percentage points, with an emphasis on Mayan, Xinca and Garífuna children and those in rural areas.** This strategic development goal is based on providing a general framework for chronic child malnutrition that is structured and clearly defined, and that facilitates the implementation of integral actions and interventions aimed at the most vulnerable population, with special attention given to children under 5 years of age at the local level. This strategic development goal’s analytical model emphasises the importance of the integral implementation of a set of short-, medium- and long-term interventions. These interventions that are conducive

to sustained improvements, will ensure that the nutritional benefits at the individual level catalyse medium-term improvements in the communities as a whole.

## 6. Brief overview of the Joint Programme's theory of change

**If** the financial planning competencies of the institutions involved in the Great National Crusade for Nutrition are strengthened; and **if** the Government leads an *ad hoc* multisectoral costing exercise, based on demand estimates, for GCNN interventions at the central and local level; and **if** gaps in human, material and financial resources for the provision of integral services in a given territory are identified; and **if**, based on the identified gaps, recommendations for financing and partnerships are developed that include the use of public and private resources in GCNN's implementation; **then** a costing tool grounded in results-based management will be available to strengthen multi-year budget formulation and execution processes, in order to promote the medium-term sustainability of GCNN, thus accelerating the achievement of SDGs 2, 5, 10, 16 and 17.

## 7. Trans-boundary and/or regional issues

Considering the universality of the 2030 Agenda and the intersectoral nature of the commitments that have been made, trans-boundary and regional collaboration is extremely important for the fulfilment of the SDGs. Addressing food and nutrition security in the Central American region will strengthen human security and sustainable development, which, in turn, will help create a peaceful, democratic and free region with improved quality of life, and dignity for its inhabitants.

Food and nutrition security in the Central American region is characterised by clear asymmetries between countries (especially in rural vs. urban areas) and marked concentrations of food and nutrition deficits and excess, which have an impact on regional health systems.<sup>1</sup> Guatemala is a middle-income country with the largest economy in Central America; yet, it has the highest levels of food insecurity and ranks sixth highest counts in child stunting in the world. The national chronic malnutrition average is 46.5 per cent,<sup>2</sup> with a rate of 66 per cent in children within the first quintile and 58 per cent among the indigenous population, which is the highest average in Latin America and the Caribbean.

Although the region lacks a Regional Food Security Policy, food and nutrition security is addressed in several regional policy instruments, such as the Central American Agricultural Policy [Política Agrícola Centroamericana] (PACA); the Regional Agro-environmental and Health Strategy [Estrategia Regional Agroambiental y de Salud] (ERAS); the Central American Territorial Rural Development Strategy [Estrategia Centroamericana de Desarrollo Rural Territorial] (ECADERT); the Regional Gender Equality Policy [Política Regional de Igualdad de Género] (PRIEG); and the Health Plan for Central America and the Dominican Republic [Plan de Salud de Centroamérica y República Dominicana] (PSCA-RD). For example, the PRIEG aims to strengthen national policy instruments and intergovernmental and intersectoral cooperation among bodies that intervene in agricultural and health sectors, so that these instruments ensure and operationalise food and nutritional security, with an emphasis on rural areas, ensuring gender equality, a rights-based approach and the interculturality of interventions.

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<sup>1</sup> Pan American Health Organization (2010): "*Estudio sobre iniciativas en Centroamérica y República Dominicana sobre seguridad alimentaria y nutricional*".

<sup>2</sup> IV National Survey of Maternal and Infant Health 2014-2015, Ministry of Public Health and Social Assistance, National Institute of Statistics (2017).



According to the World Food Programme (WFP), 37 per cent of Guatemalans are affected by food insecurity, and this problem is simultaneously related to the irregular migration that is affecting the country. In terms of the Northern Triangle (Guatemala, Honduras and El Salvador) there is a clear relationship between food security and migration, where evidence suggests that food insecurity can force families to resort to negative survival mechanisms and risky behaviours, such as illegal immigration, which also puts them at risk for abuse and exploitation.<sup>3</sup>

In Guatemala, the departments with the most significant levels of emigration present higher rates of food insecurity, with rates of malnutrition that surpass 60 per cent in several municipalities. In response to this regional problem, Northern Triangle countries and southeastern Mexico are designing an Integral Development Plan with the support of the United Nations System, which includes initiatives that address food insecurity and malnutrition, among other themes of interest and priority for the region.

Given the above, the implementation of the Joint Programme will also complement regional efforts currently being made to address food and nutrition insecurity.

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<sup>3</sup> World Food Programme, International Organization for Migration and the London School of Economics (2015): *"Hambre sin Fronteras. Los Vínculos Ocultos entre Inseguridad Alimentaria, Violencia y Migración en el Triángulo Norte de Centroamérica"*.

## C. JOINT PROGRAMME DESCRIPTION

### 1. Baseline and situation analysis

#### 1.1 Problem statement: Food and nutrition security, public finance and their connection with the Joint Programme

In Guatemala, public finance management has helped safeguard macroeconomic stability, maintaining a moderate fiscal deficit and stable public debt. However, fiscal policy has experienced challenges in terms of strengthening its redistributive role and generating opportunities. Proof of this is that 60 per cent of households live in poverty, more than half of the inhabitants of poor households are women, and child poverty affects 68 per cent of children and adolescents (National Survey of Living Conditions [ENCOVI] 2014). The country is characterised by high, persistent income inequality, with a Gini index of approximately 0.57 during the past two decades (Economic Commission for Latin America and the Caribbean-STAT). In terms of food security, Guatemala has the sixth worst child stunting indicators in the world: chronic malnutrition is a problem that affects one of every two children under 5 years of age (National Survey of Maternal and Infant Health [ENSMI] 2014/2015) – the highest average in Latin America and the Caribbean – with a rate of 66 per cent in children in the first income quintile and 58 per cent among indigenous peoples, a population that lives primarily in the country's western and northern departments.

In Guatemala there are also significant human development gaps that impact women: the number of women living in poverty is greater, and indigenous and rural women are especially affected. Studies indicate that Guatemalan women are the shortest of stature in the world, and it has not yet been possible to reverse this historical trend: the average height in 1896 was 140.3 centimetres, which increased to 149.4 centimetres in 1996 but showed no further increases by 2015.<sup>4</sup> These data highlight the importance of addressing women's nutrition to break the intergenerational cycle of malnutrition, given the risk of maternal mortality, perinatal disease and mortality in newborns.

Guatemala is a middle-income country with an estimated potential tax revenue capacity of 23.7 per cent of GDP.<sup>5</sup> In 2018 the International Monetary Fund estimated that its tax revenue should be in the area of 15 per cent of GDP in order to cover priority social and infrastructure expenditures.<sup>6</sup> However, tax revenue in 2019 was less than 10 per cent of GDP, which has translated into a level of public spending that is approximately 13.3 per cent of GDP, far below the average in Latin America and the Caribbean (29.7 per cent of GDP in 2016). Furthermore, between 2010 and 2017, social public spending decreased from 8 per cent to 6.9 per cent of GDP. Half of this decrease was associated with programmes for people living in extreme poverty and those who are vulnerable to poverty. Recent studies have underscored that the redistributive effect of fiscal policy on inequality has been insufficient.<sup>7</sup> Guatemala, along with Honduras and Haiti, is included in the recent OECD's States of Fragility Report which indicates that the country is experiencing high fragility in the environmental dimension and severe fragility in the societal dimension.

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<sup>4</sup> eLife (2016): "A century of trends in adult human height". NCD Risk Factor Collaboration (NCD-RisC)

<sup>5</sup> Fenochietto and Pessino (2013): "Understanding Countries' Tax Effort", International Monetary Fund.

<sup>6</sup> International Monetary Fund (2018): "Attaining selected sustainable development goals in Guatemala: spending, provision and financing needs".

<sup>7</sup> Lustig, Nora (2016): "El Impacto Del Sistema Tributario Y El Gasto Social En La Distribución Del Ingreso Y La Pobreza En América Latina: Argentina, Bolivia, Brasil, Chile, Colombia, Costa Rica, Ecuador, El Salvador, Guatemala, Honduras, México, Perú y Uruguay", Tulane University.

From a fiscal perspective, a recent estimate of the technical inefficiencies of public spending in purchasing, payroll and targeted transfers indicates that the overall average of wasteful spending in Guatemala is approximately 2.7 per cent of GDP, which is equivalent to 20 per cent of total public spending.<sup>8</sup> This suggests that it is possible to improve results with currently available resources, a challenge that can be addressed by improving overall institutional quality while simultaneously addressing concrete areas of public spending where there is potential to significantly improve efficiency. At the institutional level, aligning budget allocations with medium-term strategic priorities is challenging because institutions tend to plan and allocate resources according to inputs, rather than based on outputs to achieve outcomes. The most recent evaluation of the performance of Guatemala's public finance management system (Public Expenditure and Financial Accountability [PEFA], 2017) indicates the need to improve the strategic allocation of resources, especially in terms of the connection between medium-term planning and the budget process. Similarly, the PEFA report highlights the need to clearly show the intended use of resources generated by the investment projects that are being implemented, as well as the availability of resources in the budget implementation phase.

Guatemala has implemented policies and action plans to improve the population's nutrition for more than 30 years. Despite these efforts, the rate of chronic malnutrition has only decreased by 8.7 percentage points in 20 years. The evaluation of the Zero Hunger Pact Plan 2012-2015<sup>9</sup> found that isolated interventions had no impact, while programmes that were implemented in a joint and integral manner appeared to have a positive impact on the nutrition of children under 5 years of age. Taking these lessons into account, the National Strategy for the Prevention of Chronic Malnutrition (ENPDC, for its Spanish acronym) 2016-2020 was designed with the goal of reducing chronic malnutrition in children under 2 years of age by 10 percentage points (from 41.7 per cent to 31.7 per cent). However, a recent evaluation indicated that the ENPDC<sup>10</sup> has had weaknesses from the design stage in terms of planning and budgeting, because the strategy neither included its own budget, nor identified or quantified the cost of generating the goods and services (interventions) that would be delivered to the population by the different ministries. For this reason, it did not determine whether the budget was sufficient to cover the integral interventions required by the target population.

Pillar 2 (Social Development) of the new General Government Policy 2020-2024 affirms that food and nutrition security is a priority; therefore, in 2020 the Great National Crusade for Nutrition was announced. GCNN is based on scientific evidence from, among other sources, the Lancet series of 2008<sup>11</sup> and 2016,<sup>12</sup> which contains interventions to address childhood and maternal malnutrition, and to improve early childhood development and nurturing and sensitive childcare. To this end, it proposes the implementation of five lines of action: health and nutrition; availability and access to a healthy diet; social protection; safe water, sanitation and hygiene; and communication for social and behavioural change. GCNN seeks to identify and involve leaders from the different sectors that are co-responsible for the implementation of actions and strategies; however, to date, it has not carried out a costing exercise to

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<sup>8</sup> Izquiero et. al. (2018): *Mejor gasto para mejores vidas*, Inter-American Development Bank.

<sup>9</sup> International Food Policy Research Institute (2016): "Informe Final de Evaluación de Impacto del Plan del Pacto Hambre Cero".

<sup>10</sup> National Public Health Institute of Mexico (2019). "Evaluación de Diseño: Estrategia Nacional para la Prevención de la Desnutrición Crónica en Guatemala 2016 – 2020".

<sup>11</sup> Bhutta, ZA, et al (2008): "What works? Interventions for maternal and child undernutrition and survival", volume 371.

<sup>12</sup> The Lancet, (2016). *Advancing Early Childhood Development: from Science to Scale*.

determine its financial scope and the resources that are required to ensure its effective implementation and sustainability.

## 1.2 SDGs and targets

This Joint Programme contributes to the interconnection of three main Sustainable Development Goals: SDG 2 (end hunger, achieve food security and improve nutrition and sustainable agriculture); SDG 16 (fair, peaceful and inclusive societies) and SDG 17 (revitalize global partnership for sustainable development). This interconnection is evident in the efforts to strength institutions linked to public policies that address malnutrition and food insecurity, as well as institutions responsible for public finance management. The outcome of the Joint Programme (i.e., costing of GCNN) will be useful to the Government of Guatemala when they formulate the multi-year budget 2022-2025, in terms of proposing a programme structure grounded in results-based management that is elaborated among multiple sectors and that will facilitate the implementation of GCNN.

This Joint Programme will contribute to the following SDGs and their respective national-level indicators:

### Objective 2: Zero hunger. End hunger, achieve food security and improved nutrition and promote sustainable agriculture.

**2.1** By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round.

**This SDG’s national goal is the following:** “By 2032, reduce chronic malnutrition in children under 5 years of age by at least 25 percentage points, with an emphasis on Mayan, Xinca and Garífuna children and those in rural areas.”

No.	Indicator	Baseline	Measurement unit	Year
2.1.1	Rate of undernourishment	15.8	%	2017
2.2.1	Rate of stunted growth (height for age, standard deviation < - 2 from the mean of childhood growth patterns of the Outcomes Measurement System [OMS] among children under 5 years of age)	46.5	%	2014/2015

Source: Voluntary National Review [Revisión Nacional Voluntaria] 2019, SEGEPLAN.

### Objective 16: Promote fair, peaceful and inclusive societies.

**16.6** Develop effective, accountable and transparent institutions at all levels.

**16.7** Ensure responsive, inclusive, participatory and representative decision-making at all levels.

**This SDG’s national goal is the following:** “Create effective, responsible and transparent institutions at all levels”.

No.	Indicator	Baseline	Measurement unit	Year
16.6.2.	Proportion of the population that feels satisfied with their most recent experience with public services.	TBD	%	TBD

Source: Voluntary National Review [Revisión Nacional Voluntaria] 2019, SEGEPLAN.

## **Objective 17: Revitalize the global partnership for sustainable development.**

**17.3** Mobilise additional financial resources from multiple sources for developing countries.

**17.14** Enhance policy coherence for sustainable development.

**Note:** There are no national goals connected to this SDG. However, it is mentioned in this document due to its relevance to the outcome that is being pursued in terms of the public-private funding required to ensure the implementation and sustainability of GCNN interventions.

### **1.3 Stakeholder mapping and target groups**

**To achieve the ad hoc multisectoral costing exercise for GCNN,** stakeholder mapping will be based on the identification of participating institutions according to the following roles:

- **Catalysing stakeholders:** entities with a legal mandate that includes the strategic and legal orientation of GCNN in terms of: (a) governance structure for food and nutrition security, and (b) governance of the budget process (planning, formulation, presentation, approval, implementation, evaluation and liquidation).
- **Implementing stakeholders:** entities responsible for the implementation of the substantive actions contained in GCNN's central pillars of action at the local and national level.
- **Supporting stakeholders:** entities producing information that facilitates the monitoring and evaluation of the target population's nutrition situation, as well as progress in terms of input and output indicators. Also included are the entities responsible for strengthening administrative information systems and the national statistics system.

**Catalysing stakeholders:** According to Decree 32-2005 (National Food Security System Law), the Secretariat of Food and Nutrition Security of the Presidency of the Republic (SESAN) is responsible for the coordination and technical planning of the National Food and Nutrition Security System (SINASAN). SESAN governs the Food and Nutrition Security Policy and the platform for coordinating sectoral actions and monitoring GCNN. GCNN's financing chapter includes a financial estimate exercise, with assistance from the Ministry of Public Finance (MINFIN) and SEGEPLAN, to facilitate a multisectoral and inter-institutional budget formulation process. Similarly, in accordance with Decree 114-97 (Executive Branch Law), MINFIN is responsible for fulfilling and ensuring the fulfilment of all aspects of the State Treasury's legal framework, including the implementation of the budget and recording and controlling the State's assets. SEGEPLAN, according to Decree 114-97, must develop, in collaboration with MINFIN, the most appropriate procedures to coordinate and harmonise the public sector's annual and multi-year plans and projects, with their corresponding annual and multi-year budgets, through the National Planning System.

#### **Implementing stakeholders**

The implementing stakeholders represent the target group that is relevant to this proposal, as they include the Planning Directorates and Financial Directorates of the prioritised ministries and local governments that are responsible for the implementation of GCNN in accordance with the following five planned pillars of action:

- 1) Health and nutrition: Ministry of Public Health and Social Welfare (MSPAS)
- 2) Availability and access to a healthy diet: Ministry of Agriculture, Livestock and Food (MAGA), Ministry of Economy
- 3) Social protection: Ministry of Social Development, Ministry of Education, MSPAS
- 4) Safe water, sanitation and hygiene: MSPAS, Ministry of Environment and Natural Resources, Institute for the Promotion of Municipalities and Local Governments of the Prioritised Territories

5) Communication for social and behavioural change: SESAN

**Supporting stakeholders**

The entities involved in monitoring and evaluation support processes related to GCNN are:

1. Birth records for the provision of Single Identification Code: National Registry of Persons (RENAP).
2. National Social Information System [Sistema Nacional de Información Social] (SNIS): Ministry of Social Development
3. Basic statistics for monitoring and evaluation: National Institute of Statistics

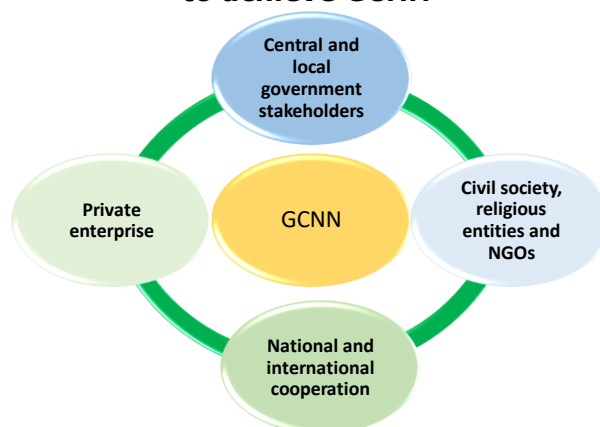
Therefore, the Joint Programme anticipates that, based on the coordinated actions of SESAN, MINFIN and SEGEPLAN, support can be provided to implementing and support entities to carry out a costing exercise that is aligned with the regulations established in the results-based management methodology.

**Figure 1. Map of stakeholders in the ad hoc costing exercise for the Great National Crusade for Nutrition**



**In addition, in regard to the development of financing recommendations and partnerships to achieve GCNN,** the following stakeholders should be considered as stakeholders in decision-making processes and promoting dialogue: government stakeholders and sectors, civil society, national and international cooperation, private enterprise, religious organisations and NGOs, among others, as jointly responsible for the implementation of the actions and strategies to promote nutrition. The platform for interacting with these stakeholders can focus on governance bodies at the national, departmental, municipal and community level that have SINASANs.

**Figure 2. Map of stakeholders for the development of financing recommendations to achieve GCNN**



## 2. Programme strategy

### 2.1. Overall strategy

#### a) Why it is transformative (results to scale)

The Joint Programme will focus on strengthening the financial planning competencies of the institutions involved in GCNN and it will be multisectoral in nature, involving the central government and local governments in the 10 departments and 114 municipalities that are prioritised by the interventions. Furthermore, in line with GCNN, the strategy seeks to unite and coordinate the actions and efforts of all sectors in the country (public, private, civil society, international cooperation) towards one goal: improving the nutrition of Guatemalan families. The transformative nature of this Joint Programme stems from the fact that the exercise will be multisectoral, at the national and local level, and its impacts will be grounded in results-based management, proposing revised reporting mechanisms that include information that is disaggregated by sex. Therefore, it will become an exercise that is scalable in terms of its theme (costing SDGs), working structure, methodology and multisectoral coordination.

#### b) How it is different from traditional and alternative focuses

The evaluations of public policies and action plans related to chronic malnutrition in Guatemala indicate that they did not have the anticipated impact for two main reasons. The first relates to weaknesses in connecting the planning process with the budget in a medium-term framework, and the failure to quantify the cost of generating the integral goods and services that would be delivered to the target population by the different line ministries. The second pertains to difficulty in coordinating and implementing interventions to scale in the same territory and time period. The Joint Programme takes these recommendations into account and seeks to contribute to GCNN from a financial and budgetary perspective. Linking improvements to public finance management with GCNN provides a present and future opportunity to improve the nutrition of children under 5 years of age and vulnerable families suffering from food insecurity, with the highest level of political support in creating partnerships that ensure the operationalisation, implementation and sustainability of GCNN.

#### c) How it contributes to accelerating progress towards the achievement of the SDGs

This Joint Programme seeks to contribute to improving public finance management to end hunger and malnutrition by 2030 (SDG 2), and to ensure the implementation of integral actions that allow all people, especially children, to have access to essential nutrition and services. It proposes to carry out a costing exercise for GCNN in order to identify its financing needs and gaps, and to identify multisectoral partnerships and desirable funding instruments and sources so that the Government has the necessary inputs and recommendations for sustainable financing, thus contributing **to improving** the quality and efficiency of public spending and advancing towards the achievement of SDG 2, as well as SDGs 5, 10, 16 and 17.

#### d) What is the United Nations' value added?

This Joint Programme will be jointly implemented by UNICEF and the United Nations Development Programme (UNDP), with the support of the WFP, which specialise in the interventions included within the framework of GCNN. The value added is the support to the Government of Guatemala in seeking solutions to the country's prioritised development problems by making human resources and proven knowledge available that will contribute to accelerating the achievement of the SDGs. To this end, the United Nations has proven capacities in the Joint Programme's thematic areas, such as: public finance management, costing methodologies, SDG financing strategies and results-based budgets, as well as

thematic experience and local-level collaborative work pertaining to food and nutrition security policies in Guatemala and the creation of public-private partnerships.

**e) How it is related to national priorities and initiatives, and those of the United Nations**

After the SDGs were established in 2015, Guatemala proceeded to integrate its National Development Plan with the Agenda 2030. This resulted in 99 harmonised goals, which led to 10 national development priorities and 16 strategic development goals. Food and nutrition security is an integral part of the national priorities that were identified, and reducing chronic malnutrition is one of the strategic development goals.<sup>13</sup> In terms of medium-term planning for 2020-2024, the General Government Policy of January 2020 includes food and nutrition security as an integral part of one of its five pillars, and aims to reduce the rate of malnutrition by seven percentage points by 2023. The new Government of Guatemala launched the GCNN in 2020, which is at the core of this Joint Programme's theory of change, as one of its first public policies, thus underscoring the commitment to reducing chronic malnutrition. In addition, due to COVID-19 emergency and its possible impact on increasing unemployment, poverty and malnutrition rates, the Government of Guatemala is already working on a National Action Plan, which will include economic recovery and food security as part of its main priorities. In terms of the priorities of the United Nations System, the UNSDCF 2020-2024 establishes improved food and nutrition security as one of the main effects included in the results and indicators matrix. As a result, this Joint Programme contributes to the achievement of several of the country's and the United Nations System's strategic objectives.

**f) How the Government will lead the Joint Programme and further expand its outcomes**

According to GCNN, the Government must develop a financial strategy that will make resources available to guarantee the sustainability of the actions that are undertaken, in the form of a multi-year budget. Therefore, the Government has a genuine interest in leading the implementation of the Joint Programme through a sectoral governance body (SESAN), since a costing exercise for GCNN will allow it to identify funding gaps and, as a result, manage resources better and more efficiently. The implementation of the Joint Programme will also lead to complementary work that is of interest to the Government, such as joint multisectoral costing exercises (GCNN stipulates that the budget formulation must be carried out jointly and in accordance with the results-based management methodology) and revised reporting mechanisms (GCNN mandates the creation of programme structures that ensure the allocation of funds in accordance with the planned interventions, and the generation of reports to regularly monitor fiscal and financial implementation).

**g) What is the anticipated situation after the implementation of the Joint Programme?**

After the implementation of the Joint Programme, it is anticipated that there will be an estimate of the financial resources that are required to implement GCNN and, consequently, a determination of the financing gaps that exist. This will allow the Government to establish a comprehensive financing strategy and to establish partnerships with different stakeholders. Furthermore, the implementation of the Joint Programme implies carrying out a set of tasks that lead to positive externalities in public finance management such as strengthening inter-institutional synergies, taking into account the multisectoral and coordinated work, as well as assessing the processes related to budgeting, recording and monitoring. Finally, this exercise will serve as an example that can be replicated in the framework of other multisectoral

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<sup>13</sup> By 2032, reduce chronic malnutrition in children under 5 years of age by at least 25 percentage points, with an emphasis on Mayan, Xinka and Garifuna children, and those from rural areas.



priorities, taking advantage of the Integrated National Financial Frameworks methodology (INFF), in line with the support that the United Nations provides for costing and accelerating the SDGs.

## 2.2 Theory of change

### Summary

**If** the financial planning competencies of the institutions involved in the Great National Crusade for Nutrition are strengthened; and **if** the Government leads an ad hoc multisectoral costing exercise, based on demand estimates, for GCNN interventions at the central and local level; and **if** the gaps in human, material and financial resources for the provision of integral services in a given territory are identified; and **if**, based on the identified gaps, recommendations for financing and partnerships are developed that include the use of public and private resources in GCNN's implementation; **then** a costing tool grounded in results-based management will be available to strengthen multi-year budget formulation and execution processes, in order to promote the medium-term sustainability of GCNN, thus accelerating the achievement of SDGs 2, 5, 10, 16 and 17.

According to the problem analysis carried out for GCNN, malnutrition in Guatemala is a structural problem that is conditioned by health determinants expressed in social and development factors associated with poverty and inequality gaps. These include **basic causes** such as unequal opportunities, exclusion, and discrimination based on sex, ethnic identity or political creed; **underlying causes** such as low education levels within the family circle, pregnancy at a young age, inadequate care during pregnancy, childrearing practices that do not include early stimulation, limited access to basic services at the community level (including health services, water, sanitation and hygiene, energy among others), lack of access to timely information to improve eating habits and lifestyles (including risk factors caused by increasingly urbanisation processes); and **direct causes** such as maternal malnutrition, inadequate food consumption and recurrent and severe infections. These causes have led to a chronic malnutrition rate of 46.5 per cent in the country, a situation that is more serious for indigenous children (61 per cent) and children who are among the poorest 20 per cent (66 per cent).<sup>14</sup>

Guatemala has had official strategies to combat chronic malnutrition since 2008; however, the results are far from having been achieved. In a period of 20 years (1995-2015), chronic malnutrition decreased by only 8.7 percentage points. There have been few impact evaluations, although they do provide important lessons. Regarding the strategy implemented between 2012 and 2015,<sup>15</sup> it was concluded that the results of specific proven interventions must be augmented among the beneficiary population because their scale was limited. Isolated interventions did not show any impact. The Thousand Day Window of Opportunity actions appeared to have a positive impact on the nutritional status of children under 5 years of age when they were carried out jointly, and the estimated effect was statistically significant after five or more interventions. On the other hand, estimates by national research institutes<sup>16</sup> indicate that public spending for this purpose in 2010 was 1.78 per cent of GDP, which was its highest value between 2009 and 2019. This achievement proved to be unsustainable, since a downward trend began in 2011, and public spending in this area fell to 0.96 per cent of GDP in 2015, with a slight recovery in 2019 (1.49 per cent of GDP). A recent evaluation of the

<sup>14</sup> Analysis based on the official document for the Government of Guatemala's Great National Crusade for Nutrition.

<sup>15</sup> International Food Policy Research Institute (2016): "*Informe Final de Evaluación de Impacto del Plan del Pacto Hambre Cero*", Guatemala.

<sup>16</sup> Central American Institute of Fiscal Studies (2019): "*Desnutrición crónica infantil en Guatemala: una tragedia que el debate político no debe evadir*", Guatemala.

design of the 2016-2019 strategy<sup>17</sup> reports that the budgets available to combat chronic malnutrition were incomplete in terms of direct and indirect operation costs, monitoring costs, maintenance and other costs necessary to estimate the unit costs of the provision of goods. Also lacking was a monitoring system establishing indicators for all interventions. It is worth pointing out that Guatemala still needs to strengthen the integral registry that identifies children through a Single Identification Code, in order to facilitate the monitoring of all interventions.

Based on UNICEF's conceptual model and scientific evidence provided by The Lancet series, GCNN includes specific, nutrition-sensitive interventions for 114 prioritised municipalities. These are grouped into five pillars of action (health and nutrition; availability and access to a healthy diet; social protection; safe water, sanitation and hygiene; and communication for social and behavioural change) and they require the participation of more than 13 institutions under the coordination and governance of SESAN. Given this context, and in consensus with Government authorities, the theory of change for this proposal focuses on contributing to the achievements of the objectives proposed in GCNN, seeking to generate catalysing actions that favour the effective use of available resources based on the recommendations made in the abovementioned evaluations.

Hence, given the sustained dialogue with the institutions involved in GCNN, it is anticipated that the outcome of the theory of change could accelerate the achievement of SDG 2 by strengthening public management for coordinated actions and seeking to promote medium-term sustainability. A costing exercise was considered to be a strategic point of entry for this Joint Programme that would help to strengthen the financial directorates' planning competencies so that, based on the results-based methodology, the amount of resources required could be determined, as well as the output and sub-output indicators, which implies that each institution implements the planned actions in the 114 prioritised municipalities. This estimate will help determine gaps in financial, human and material resources, which will constitute important evidence for the Government to conduct an informed dialogue with different sectors (private, civil society, religious, etc.) and facilitate the mobilisation of public and private sources of financing to address chronic malnutrition. It is also anticipated that the costing exercise will facilitate the formulation of the annual and multi-year budget from 2022 to 2025. Especially useful for the replication of the experience in other national priorities will be the systematisation of the process, including the documentation of the exercise and the methodology used.

The principal assumptions of the theory of change focus on government leadership, which is consolidated at the national and local level through the governance structure and the coordinated plans within the SINASAN framework. Another important assumption is that the institutions involved in GCNN will recognise the findings of the impact evaluations, which will promote multisectoral work based on a coordinated strategy and the costing of activities for budget formulation, and which implies the committed participation of the planning and budget directorates of each ministry and institution involved. Finally, it is assumed that SESAN, MINFIN and SEGEPLAN will act in a coordinated manner to strengthen the results-based methodology that facilitates GCNN.

A risk to be considered in this theory of change is that, even though the objective of having a costing exercise is achieved and it is integrated within the budget formulation, the Proposed Budget 2022 may not be approved by the Congress of the Republic, which would mean that

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<sup>17</sup> Public Health Institute of Mexico and Government of Guatemala (2019): Design Evaluation. National Strategy for the Prevention of Chronic Malnutrition.

the work accomplished could only be partially maximised. A further risk is that, although the costing exercise is anticipated for a given time period, government authorities could ask to accelerate its implementation due to the need to demonstrate tangible management results to the population. Lastly, there is a risk that the removal of bottlenecks identified during the costing exercise could require changes to regulations or laws that are beyond the scope of the stakeholders involved in GCNN.

**Figure 3. Diagram of the theory of change**



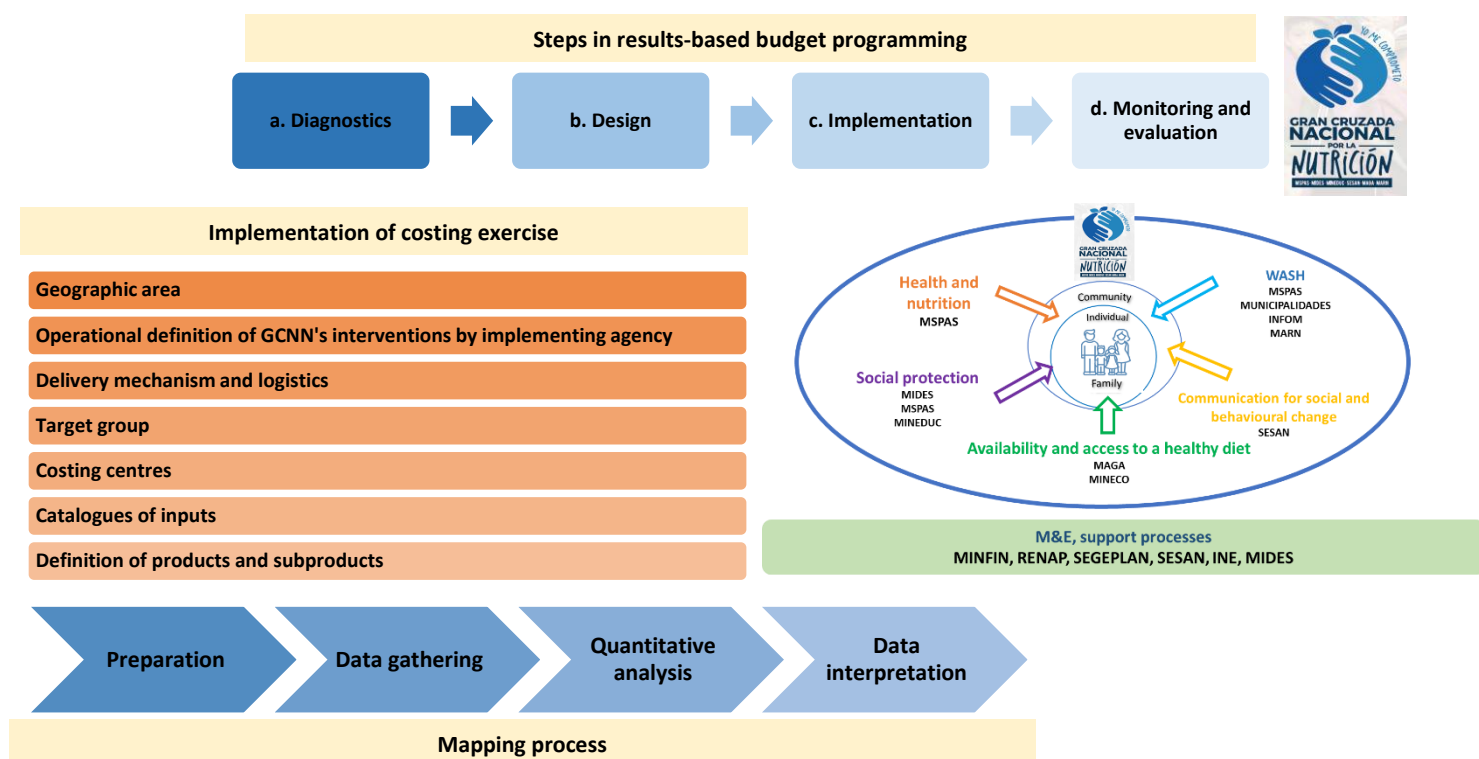
## 2.3 Expected results by outcome and outputs

The **expected outcome** of this Joint Programme is that, by 2021, a costing tool grounded in results-based management is available to strengthen multi-year budget formulation and execution processes, in order to promote the medium-term sustainability of the Great National Crusade for Nutrition, thus accelerating the achievement of SDGs 2, 5, 10, 16 and 17.

**Output 1:** Ad hoc multisectoral costing exercise elaborated for GCNN interventions at the central and local level.

The normative basis for this output is the regulatory framework contained in the “Conceptual Guide for Results-based Planning and Budget for Guatemala’s Public Sector” issued by MINFIN and SEGEPLAN in 2013, which establishes four steps in results-based budget programming: diagnostics, design, implementation, and monitoring and evaluation. Through the establishment of multidisciplinary sectoral government teams, and with the Joint Programme’s technical assistance, the operational definition of the programmes that comprise GCNN will be defined, as well as the alignment of GCNN with the national planning framework, the formulation of results, and the assessment of the logical and operational framework that will facilitate the costing exercise. Also anticipated is the assessment of costing centres, catalogues of inputs and demand estimates. The leadership of MINFIN, SEGEPLAN and SESAN will be critical in achieving territorial implementation consensuses that can translate into the operational definition of costs. This output includes the assessment of the reporting mechanisms that are necessary to monitor and evaluate actions, and to document the entire process.

**Figure 4. Steps in results-based budget programming and GCNN costing exercise**



**Output 2: Gaps identified in human, material and financial resources for the provision of GCNN’s integral services.**

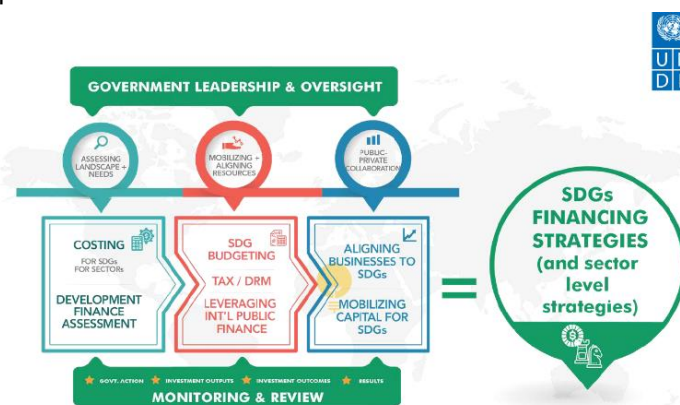
This output includes the assessment of financing sources, both public and private, that are available for GCNN’s implementation, as well as the documentation of the institutional bottlenecks that were found in the costing process. In this product, the leadership of MINFIN, with the support of SESAN and SEGEPLAN, will be key to determine the financing sources that will make GCNN’s implementation sustainable from 2022–2025, for which purpose the Joint Programme will provide specialised technical assistance to carry out and document the process.

**Output 3: Recommendations elaborated on financing and partnerships for the use of public and private sources to implement GCNN.**

This output implies the documentation of the recommendations on financing and partnerships for GCNN’s sustainability, in collaboration with MINFIN, SEGEPLAN, SESAN and the MSPAS. The Joint Programme will be responsible for the systematisation of the process, as well as for providing advice pertaining to the establishment of partnerships that are aligned with the experience of the participating agencies.

In accordance with the Joint SDG Fund’s terms of reference, the proposed outcome and outputs contribute to strengthening the financial architecture for the achievement of SDGs 2, 5, 10, 16 and 17 in Guatemala, because they focus on strengthening national competencies to catalyse strategic investments in the search for consensuses to promote the sustainable financing of development. This implies following the recommendations for the consolidation of the Integrated National Financial Frameworks, beginning with the costing exercise to evaluate the scenario that will facilitate progress in the alignment and mobilisation of resources under government leadership.

Given the country’s low tax burden and the high rate of chronic malnutrition, the opportunity to support the implementation of GCNN is strategic. The proposal is built on the country’s pre-existing strengths and capacities in terms of the prioritisation of GCNN within the Government of Guatemala’s policy objectives, and it is aligned with the National Development Plan K’atún 2032, the General Government Plan and the Strategic Development Goals. It also maximises the consolidation of the results-based management methodology, which is mandatory for institutions and which will be strengthened through this proposal; in particular, it is expected that the MSPAS’s experience will be optimised, as it is relevant to the technical exchange with other ministries and entities. Lastly, SESAN’s commitment, in accordance with its mandate, and the joint support of MINFIN, SEGEPLAN and MSPAS, comprise the leadership that will facilitate the technical teams’ progress towards the consolidation of the outputs.



Given the legal time frame established by Guatemalan legislation for the budget cycle, it is expected that this proposal will contribute to the formulation of the multi-year budget 2022-2025. The outputs will be relevant for the participation of the ministries and entities involved in the Open Budget 2022 exercise and they will be timely inputs for the parliamentary

discussion that will take place in the last quarter of 2021. If the Proposed Budget for 2022 is approved, this Joint Programme will need to plan a second phase to carry out monitoring and evaluation activities that measure the physical and financial progress towards the goals established in the costing exercise, and to advance towards institutional improvements that will allow management bottlenecks to be addressed. These activities will be key to the anticipated progress towards SDG 2, since the primary objective of GCNN is the reduction of chronic malnutrition by at least 4 percentage points by 2024, using as a baseline the rate indicated in the last available maternal health survey (46.5 per cent).

This proposal’s expected impact in terms of change centres on allowing Guatemalan children to have an equitable start in life and to reach their full potential, in accordance with the provisions contained in the Convention on the Rights of the Child and international treaties that have been ratified by the Guatemalan State. The irreversible consequences of chronic malnutrition on child development represent a violation of children’s rights, a cause of inequity, and a limitation to human development and future prosperity. The institutional strengthening of the ministries and entities involved is also relevant. For this, the generation of evidence and the documentation of processes will lead to an informed debate and the implementation of actions that strengthen public management and the quality of public spending. Guatemala faces significant challenges in strengthening fiscal policy; therefore, this proposal can make an important contribution to the improvement of public management and the medium-term sustainability of public policies.

#### 2.4 Budget and value for money

<b>Joint SDG Fund contribution</b>	<b>USD 991,209</b>
Cofinancing 1 UNICEF From regular and non-regular resources	USD 80,000
Cofinancing 2 UNDP From regular and non-regular resources	USD 25,000
<b>TOTAL</b>	<b>USD 1,096,209</b>

The planned budget for the implementation of the Joint Programme totals US\$1,096,209; this includes US\$991,209 being requested from the United Nations Joint SDG Fund, a contribution of US\$80,000 from UNICEF and a contribution of US\$25,000 from the UNDP.

To ensure the effective and efficient use of resources, strategic procurement processes are being proposed through a consensual strategy with Government partners in this Joint Programme. To this end, it is anticipated that the implementing agencies will make cash transfers for the activities outlined in the work plan through the following modalities:

- a. Direct payments to suppliers or third parties for contracts entered into by the counterparts responsible for implementation, based on requests that have been signed by their designated officials.
- b. Direct payments to suppliers or third parties for contracts entered into by United Nations agencies in support of the activities agreed upon with the counterparts responsible for implementation.

Due to the bottlenecks that stem from Guatemala’s regulatory framework for executing public funds, these two modalities are preferred in order to avoid delays and difficulties that could slow down the implementation of planned activities. Both UNICEF and the UNDP have extensive experience with these modalities, which ensures flexibility, quality and efficiency in

the use of funds. The costing exercise's tendering process includes academic entities and think tanks that facilitate the provision of services of superior quality and technical guidance.

It is anticipated that the outcome achieved by the Joint Programme will be sustainable over the medium- and long-term, as the costing tool will be grounded in the results-based management methodology. This methodology is mandatory for public institutions; therefore, it is expected that participating institutions' annual work plans will incorporate the recommendations and findings of the costing tool in their budget formulation process so that costing centres and catalogues of inputs can be assessed, which represents a substantial improvement in public finance management. This will facilitate the disaggregation of financial numbers by sex, to increase the visibility of the investment that is being made to combat chronic malnutrition in children, adolescents and women, in accordance with GCNN's different pillars. Recommendations related to the development of a financing strategy, with public and private sources, will be key to ensuring GCNN's cofinancing. Especially important are the funds that are being implemented by the World Bank through the Grow Up Healthy [Crece Sano] loan, which contribute to GCNN, as well as the resources planned by the European Union that will be implemented by the World Health Organization/Pan American Health Organization, WFP and UNICEF. It is anticipated that the strategy developed will lead to the generation of partnerships with the private sector, to achieve a jointly responsible approach to the actions proposed by GCNN that require sustainable leveraging of resources.

## **2.5 Partnerships and stakeholder engagement**

The Joint Programme is framed within GCNN, which was launched by the Government of Guatemala in January 2020. Given the nature of GCNN described in previous sections, partnerships play a central role in the Joint Programme's implementation strategy.

Th GCNN proposes a set of integral interventions in the areas of health and nutrition, social protection, water and sanitation, social and behavioural change, and availability and access to food, in which the roles of the different ministries and entities have been clearly identified. However, GCNN's outstanding task is to carry out the costing of its interventions and its multi-year budget, and to identify gaps in financing and the multisectoral partnerships that will ensure its implementation and sustainability. Considering this premise, the Government has a genuine interest in leading the implementation of the Joint Programme through the sectoral governing body, since a costing exercise for GCNN will facilitate the identification of financing gaps and, as a result, it will lead to a better and more efficient management of resources.

The United Nations participating agencies that will provide capacities and knowledge for this Joint Programme to the Government of Guatemala, from its offices at the national, regional and global level, are: UNICEF and the UNDP, with advising services from the WFP and in partnership with other agencies, funds and programmes (AFPs) that comprise the interagency group on food and nutrition security and that have work experience in GCNN's different areas. There is also support from the Resident Coordinator Office throughout all phases of the Joint Programme's management. It is important to highlight that, as part of the UNSDCF, specifically in terms of food and nutrition security, there is financing available from the European Union in the amount of approximately US\$60 million to support the implementation of actions to reduce chronic malnutrition. These resources will be implemented by the OPS/OMS, WFP and UNICEF. UNICEF is preparing to start the execution of these funds in the last quarter of 2020, which in terms of the Joint Programme include actions to improve municipal public finances in various municipalities that coincide with the GCNN and the Grow Up Healthy [Crece Sano] loan from the World Bank. The alignment of activities and the coordination between UNICEF and UNDP are then expected to strengthen municipal competences that facilitate the execution of actions related to water and sanitation that are the responsibility of municipal governments and that imply a better formulation of projects



within the framework of the National System of Public Investment in order to ensure its inclusion in the costing exercise.

Furthermore, other development partners such as Spain, Canada and Sweden have affirmed that they will continue to support Guatemala in the area of food and nutrition security, and there is an opportunity to mobilise additional resources that will contribute to the objective of promoting the sustainable health and nutrition of the Guatemalan population.

In addition, the actions that are planned within the framework of the Joint Programme underwent consultations with the World Bank, the Inter-American Development Bank and the International Monetary Fund, which are currently implementing complementary initiatives that also contribute to the objective of promoting the population's sustainable health and nutrition. In this regard, the World Bank reported to be currently in the process of restructuring the Grow Up Healthy [Creceer Sano] loan (US \$ 100 million), the objective of which is to improve the practices, intersectoral services and behaviours that are determinants of chronic malnutrition (with an emphasis on the Thousand Day Window of Opportunity), including a specific results-based financing component for health services and conditional cash transfers. The restructuring includes the use of funds to attend the emergency due to the Covid-19 pandemic, for which it was agreed that the Joint Programme will closely coordinate the planning of its actions, so that the costing exercise has aligned activities with the restructuring that is underway to ensure that the results of both processes allow a better budgeting in the medium term, both in the Ministry of Health and in the Ministry of Social Development. Furthermore, the Inter-American Development Bank is currently implementing a loan to build two hospitals in the departments of Huehuetenango and San Marcos and, through their Fiscal and Municipal Management Division, they are developing a study on the quality of spending on specific programmes for food and nutrition security, which complements and generates evidence that is useful for this Joint Programme. Lastly, the International Monetary Fund has prioritised, as part of its work agenda with Guatemala, the themes of quality and efficiency in public spending.

As part of the Joint Programme's actions, there will be recommendations for GCNN's sustainable financing, identifying multisectoral partnerships that complement available resources, including public sector and international cooperation efforts and resources such as those mentioned in previous paragraphs. Partnerships will also be sought with the private sector, which is interested in contributing to GCNN and has already announced the creation of a trust in the amount of Q 200 million (US\$26.0 million) to invest in the nutrition of families, and with civil society organisations and NGOs with lines of action that are aligned with the Programme.

### **3. Programme implementation**

#### **3.1 Governance and implementation arrangements**

The Joint Programme will be implemented through the establishment of an inter-institutional working group comprised of UNICEF, the UNDP, the WFP and the Resident Coordinator Office, which will ensure that the expected outputs and outcomes are achieved in due time and form. Furthermore, this team will provide regular updates to the United Nations Country Team on the Joint Programme's progress, which will be framed within the effects associated with food and nutrition security and solid UNSDCF institutions.

Considering its characteristics, the Joint Programme will work in close coordination with government counterparts to implement the activities. Although the Joint Programme has natural government counterparts, the activities will be coordinated with all line ministries

identified by GCNN. Furthermore, the Joint Programme will oversee the dialogue and coordination with other actors implementing actions that contribute to the same objective of promoting the sustainable health and nutrition of the Guatemalan population, and it will seek to create partnerships to achieve multiplier effects in the quality and efficiency of public spending on food and nutrition security (for example, the World Bank, Inter-American Development Bank, International Monetary Fund, bilateral donors, among others).

For this purpose, allowing an effective governance of the Joint Programme, the head of SESAN and the Resident Coordinator -representing the views of government entities and PUNOs, respectively- will approve the work plans, assess the risks, extract lessons and make strategic decisions for the programme's implementation. They will meet regularly (e.g., twice a year).

Furthermore, specialised scientific committees can be called, comprised of academics and experts with national or international recognition, to review the outputs generated or to make recommendations that will guide the technical management of the Joint Programmes and its activities.

Each of the AFPs (participating and advising) will ensure the participation of their government counterparts during the entire programme cycle. The United Nations System will continue to carry out complementary initiatives, aligned with UNSDCF, that will contribute to the implementation of the Joint Programme, both in terms of strengthening public institutions and establishing partnerships, and to implement actions to improve people's nutrition. It is important to highlight that the AFPs have extensive work experience in Guatemala, and they have 15 years of accumulated experience in the implementation of joint programmes.

For the joint management of this programme, the AFPs will implement coordinated actions in planning, implementation, monitoring, evaluation, knowledge management and communication, which will facilitate the optimisation of resources and the reduction of transaction costs. Furthermore, special attention will be given to the documentation of the experience, for the purposes of accountability and decision-making, as well as for knowledge management for future replications of the programme in other government multisectoral strategic priorities. The tools generated with this programme will be the property of the government, and the objective is to promote their constant application and improvement, as well as the replication of good practices.

### **3.2 Monitoring, reporting and evaluation**

Reporting on the Joint SDG Fund will be results-oriented and evidence-based. Each Participating United Nations Organisation (PUNO) will provide the Convening/Lead Agent with the following narrative reports prepared in accordance with instructions and templates developed by the Joint SDG Fund Secretariat:

- *Annual narrative progress reports*, to be provided no later than one (1) month (31 January) after the end of the calendar year, and which must include the results matrix, updated risk log, and anticipated expenditures and results for the next 12-month funding period;
- *Mid-term progress review report*, to be submitted halfway through the implementation of the Joint Programme;<sup>18</sup> and

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<sup>18</sup> This will be the basis for the release of funding for the second year of implementation.

- *Final consolidated narrative report*, after the completion of the Joint Programme, to be provided no later than two (2) months after the operational closure of the Joint Programme's activities.

The Convening/Lead Agent will compile the PUNOs' narrative reports and submit a consolidated report to the Joint SDG Fund Secretariat, through the Resident Coordinator.

The Resident Coordinator will be required to monitor the implementation of the Joint Programme, with the involvement of Joint SDG Fund Secretariat to which it must submit data and information when requested. As a minimum, joint programmes will prepare, and submit to the Joint SDG Fund Secretariat, six-month monitoring updates. Additional insights (such as policy papers, value for money analysis, case studies, infographics, blogs) might be required, per request of the Joint SDG Fund Secretariat. Joint programmes will allocate resources for monitoring and evaluation in the budget.

Data for all indicators of the results framework will be shared with the Fund Secretariat on a regular basis, in order to allow the Fund Secretariat to aggregate results at the global level and integrate findings into reports on the Joint SDG Fund's progress.

PUNOs will be required to include information on complementary funding received from other sources (both UN cost sharing and external sources of funding) for the activities supported by the Fund, including in-kind contributions and/or South-South cooperation initiatives, in the reporting done throughout the year.

PUNOs at Headquarters level shall provide the Administrative Agent with the following statements and reports prepared in accordance with its accounting and reporting procedures, and consolidate the financial reports, as follows:

- Annual financial reports as of 31 December of each year with respect to the funds disbursed to it from the Joint SDG Fund Account, to be provided no later than four months after the end of the applicable reporting period; and
- A final financial report, after the completion of the activities financed by the Joint SDG Fund and including the final year of the activities, to be provided no later than 30 April of the year following the operational closing of the project activities.

In addition, regular updates on financial delivery might be required, per request of the Fund Secretariat.

After competition of a joint programme, a final, *independent and gender-responsive*<sup>19</sup> *evaluation* will be organised by the Resident Coordinator. Its cost must be budgeted and, if there are no remaining funds at the end of the Joint Programme, it will be the responsibility of PUNOs to pay for the final, independent evaluation from their own resources.

The Joint Programme will be subject to a joint final independent evaluation. It will be managed jointly by PUNOs as per the established process for independent evaluations, including the use of a joint evaluation steering group and dedicated evaluation managers not involved in the implementation of the Joint Programme. The evaluations will follow the United Nations

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<sup>19</sup> [How to manage a gender responsive evaluation, Evaluation handbook](#), UN Women, 2015

Evaluation Group's (UNEG) Norms and Standards for Evaluation in the UN System, using the guidance on [Joint Evaluation and relevant UNDG guidance on evaluations](#). The management and implementation of the joint evaluation will have due regard for the evaluation policies of PUNOs to ensure the requirements of those policies are met and the evaluation is conducted with the appropriate guidance from PUNOs on joint evaluation. The evaluation process will be participative and will involve all relevant programme stakeholders and partners. Evaluation results will be disseminated amongst government, development partners, civil society and other stakeholders. A joint management response will be produced upon completion of the evaluation process and made publicly available on the PUNOs' evaluation platforms, or their equivalent.

### **3.3 Accountability, financial management and public disclosure**

The Joint Programme will be using a pass-through fund management modality where the UNDP Multi-Partner Trust Fund Office will act as the Administrative Agent through which the funds will be channelled for the Joint Programme. Each PUNO receiving funds through the pass-through has signed a standard Memorandum of Understanding with the Administrative Agent.

Each PUNO shall assume full programmatic and financial accountability for the funds disbursed to it by the Administrative Agent of the Joint SDG Fund (Multi-Partner Trust Fund Office). Such funds will be administered by each UN Agency, Fund and Programme in accordance with its own regulations, rules, directives and procedures. Each PUNO shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent.

Indirect costs of the Participating Organisations recovered through programme support costs will be 7 per cent. All other costs incurred by each PUNO in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs.

Funding by the Joint SDG Fund will be provided on an annual basis, upon successful performance of the Joint Programme.

Procedures related to financial transfers, extensions, financial and operational closure, and related administrative issues are outlined in the Joint SDG Fund's Operational Guidance.

PUNOs and partners must comply with Joint SDG Fund brand guidelines, which includes information on donor visibility requirements.

Each PUNO will take appropriate measures to publicise the Joint SDG Fund and give due credit to the other PUNOs. All related publicity material, official notices, reports and publications provided to the press or Fund beneficiaries will acknowledge the role of the host government, donors, PUNOs, the Administrative Agent and any other relevant entities. In particular, the Administrative Agent will include and ensure due recognition of the role of each Participating Organisation and partner in all external communications related to the Joint SDG Fund.

### **3.4 Legal context**

Indicate the title and date of the agreement between each PUNO and the government in the following format:

Agency name: UNICEF

Agreement title: Standard Basic Cooperation Agreement between the United Nations  
Children's Fund and the Government of Guatemala  
Agreement date: 22 November 1955

Agency name: UNDP  
Agreement title: Standard Basic Assistance Agreement  
Agreement date: 20 July 1998

## D. ANNEXES OF THE JOINT PROGRAMME TEMPLATE

### Annex 1. List of related initiatives

Name of initiative/project	Key expected Results	Links to the Joint Programme	Lead organisation	Other partners	Budget and funding source	Contract person (name and email)
<p><i>iCONTAMOS! Bulletins: Towards a fiscal policy that promotes, ensures and respects the rights of Guatemalan children and adolescents [Boletines iContamos!: Hacia una política fiscal que promocióne, garantice y respete los derechos de las niñas, niños y adolescentes de Guatemala].</i></p> <p>Project being developed since 2010 in collaboration with the Central American Institute of Fiscal Studies.</p>	<p>1. Elaboration of costing studies to close public financing gaps in areas related to nutrition, health, education and social protection.</p> <p><i>iContamos! 4:</i> Costs and challenges associated with addressing chronic malnutrition in Guatemala 2012-2021</p> <p><i>iContamos! 6 and 9:</i> Costing to improve universal health coverage and decrease maternal mortality</p> <p><i>iContamos! 8:</i> Costs, challenges and benefits associated with building a social protection system for children and adolescents in Guatemala 2012-2021</p> <p>2. Analysis of public investment in childhood and adolescence for government decision-making.</p> <p>3. Analysis of multidimensional child poverty.</p> <p>4. Specialised analyses of spatial information for access to health.</p>	<p><a href="https://www.unicef.org/guatemala/informes/contamos-4-protigiendo-la-nueva-cosecha">https://www.unicef.org/guatemala/informes/contamos-4-protigiendo-la-nueva-cosecha</a></p> <p><a href="https://www.unicef.org/guatemala/informes/contamos-6-el-remedio-de-nuestros-males">https://www.unicef.org/guatemala/informes/contamos-6-el-remedio-de-nuestros-males</a></p> <p><a href="http://icefi.org/publicaciones/un-abrigo-para-todos">http://icefi.org/publicaciones/un-abrigo-para-todos</a></p>	UNICEF	Central American Institute of Fiscal Studies	<p>Approximately US\$150,000 per year since 2010.</p> <p>Source of financing: UNICEF's thematic funds and regular resources</p>	<p>Jonathan Menkos, Executive Director <a href="mailto:jonathan.menkos@icefi.org">jonathan.menkos@icefi.org</a></p>
<p>Sectoral health diagnostics in support of the open budget exercise 2018-2022, in collaboration with MINFIN and MSPAS.</p>	<p>Technical assistance provided to the Ministry of Public Finance to carry out sectoral health diagnostics within the open budget methodology</p>	<p>Support provided by request to the Ministry of Public Finance.</p>	UNICEF	Ministry of Public Finance	US\$25,000	<p>Alejandra Contreras, Social Policy Specialist <a href="mailto:acontreras@unicef.org">acontreras@unicef.org</a></p>

	for 2018-2022. Intensive work was carried out with MSPAS, SESAN, MAGA and INFOM to estimate the amount required to provide basic health services, from a medium-term perspective within the national budget.					
Analysis of fiscal microsimulations in health, education, food security and social protection	An analysis of fiscal microsimulations to determine the progressive and/or regressive nature of specific government interventions in particular areas.	This is not a joint programme; it was support requested from the UNDP by the Ministry of Public Finance.	UNDP	Ministry of Public Finance	US\$25,000	UNDP Regional Center – LAC-
Analysis of fiscal microsimulations for the electric energy social tariff.	An analysis of the electricity rate that will contribute to the analysis of the electric energy social tariff.	Support requested by the Ministry of Public Finance from the UNDP.	UNDP	Ministry of Public Finance	US\$10,000	UNDP Regional Center – LAC-
National Human Development Report 2020	Analysis of the country's development model.	Research document and public policy recommendations.	UNDP		US\$200,000	UNDP Guatemala
<i>Growing Up Healthy [Creceer Sano]</i>	To improve selected practices, services and behaviours known to be key determinants of chronic malnutrition (with an emphasis on the first 1000 days of life) in the areas of intervention.	Loan	World Bank	Ministry of Public Health and Social Welfare, and Ministry of Social Development	US\$100,000,000	
Integral strategy to combat chronic malnutrition beginning in July 2020	Strengthen children's right to an adequate standard of living, health and education by reducing chronic malnutrition in the most affected areas of Guatemala.	Non-reimbursable cooperation	PAHO-WHO, UNICEF and WFP with support from the European Union	Ministry of Public Health and Social Welfare, institutions involved in CONASAN	US\$40,000,000 starting from July 2020	

## Annex 2. Results Framework

### 2.1. Targets for Joint SDG Fund Results Framework

**Joint SDG Fund Outcome 2:** Additional financing leveraged to accelerate SDG achievement

Indicators	Targets	
	2020	2021
2.1: Ratio of financing for integrated multisectoral solutions leveraged in terms of scope <sup>20</sup>		
2.2: Ratio of financing for integrated multisectoral solutions leveraged in terms of scale <sup>21</sup>		

It is proposed that estimates for these indicators be postponed until a later stage because, once the implementation of the Joint Programme begins, there will be an opportunity to make more accurate estimates in collaboration with government counterparts; this will help to determine the proportion being requested based on greater evidence.

**Joint SDG Fund Output 4:** Integrated financing strategies for accelerating SDG progress implemented

Indicators	Targets	
	2020	2021
4.1: #of integrated financing strategies that were tested (disaggregated by % successful / unsuccessful)		1
4.2: #of integrated financing strategies that have been implemented with partners in lead <sup>22</sup>		0
4.3: #of functioning partnership frameworks for integrated financing strategies to accelerate progress on SDGs made operational		2

Regarding indicator 4.1, it is proposed that GCNN costing exercise be the strategy that is tested as successful, based on user surveys and verification of use in the budget formulation process.

Regarding indicator 4.2, it is not deemed possible to include indicators due to the Joint Programme's scope and time frame; for this reason, it is anticipated that participating agencies can monitor the results in the medium term to ensure that the Government carries out appropriate monitoring and implementation.

Regarding indicator 4.3, it is expected that there will be an operational partnership with the Government and a partnership with the private sector to achieve consensus on financing the fight against chronic malnutrition in Guatemala.

#### Joint SDG Fund Operational Performance Indicators

- Level of coherence of UN in implementing country programme<sup>23</sup>
- Reduced transaction costs for the participating UN agencies in interaction with national/regional and local authorities and/or public entities compared to other joint programmes in the country in question

<sup>20</sup>Additional resources mobilised for other/ additional sector/s or through new sources/means.

<sup>21</sup>Additional resources mobilised for the same multisectoral solution.

<sup>22</sup>This will be disaggregated by (1) government/public partners (2) civil society partners and (3) private sector partners.

<sup>23</sup>Annual survey will provide qualitative information towards this indicator.



- Annual % of financial delivery
- Joint Programme operationally closed within original end date
- Joint Programme financially closed 18 months after their operational closure
  
- Joint Programme facilitated engagement with diverse stakeholders (e.g. parliamentarians, civil society, IFIs, bilateral/multilateral actor, private sector)
- Joint Programme included addressing inequalities (QCPR) and the principle of “Leaving No One Behind”
- Joint Programme featured gender results at the outcome level
- Joint Programme undertook or drew upon relevant human rights analysis, and has developed or implemented a strategy to address human rights issues
- Joint Programme planned for and can demonstrate positive results/effects for youth
- Joint Programme considered the needs of persons with disabilities
  
- Joint Programme made use of risk analysis in programme planning
- Joint Programme conducted do-no-harm / due diligence and was designed to take into consideration opportunities in the areas of the environment and climate change

## 2.2. Joint Programme Results framework

Result / Indicators	Baseline	2020 Target	2021 Target	Means of verification	Responsible partner
Outcome 1: In 2021 a costing tool grounded in results-based management is available to strengthen multi-year budget formulation and execution processes, in order to promote the medium-term sustainability of the Great National Crusade for Nutrition, thus accelerating the achievement of SDGs 2, 5, 10, 16 and 17.					
Outcome 1 indicator:  Implementation level of costing tool.  Level 0: Tool unavailable. Level 1: Tool is formulated through a multisectoral process with a focus on results-based management. Level 2: Tool is used in the elaboration of public and private financing. Level 3: Tool is used in the budget formulation for 2022-2025.	0		2	Evaluation survey on costing tool with strategic partners (SESAN, MINFIN, SEGEPLAN, entities that comprise CONASAN and municipalities)	SESAN, MINFIN, SEGEPLAN, institutions that comprise CONASAN, municipalities, UNICEF and UNDP
Outcome 1 indicator:  Number of institutions that use the costing tool for the budget formulation in 2022	0		4	Proposed Public Budget 2022 and annual work plans	SESAN, MINFIN, SEGEPLAN, institutions that comprise CONASAN, municipalities, UNICEF and UNDP
Output 1.1: <i>Ad hoc multisectoral costing exercise elaborated for GCNN interventions at the central and local level.</i>					
Output 1.1 indicator:  Existence of an <i>ad hoc</i> multisectoral costing tool for GCNN	No		Yes	Document containing the <i>ad hoc</i> multisectoral costing tool for the GNCC is available and approved by SESAN	SESAN, MINFIN, SEGEPLAN, institutions that comprise CONASAN, municipalities, UNICEF and UNDP

Output 1.1 indicator: Number of municipal plans with cost estimates for the implementation of GCNN	0		3	Documents with municipal plans are endorsed by SESAN	SESAN, MINFIN, SEGEPLAN, institutions that comprise CONASAN, municipalities, UNICEF and UNDP
Output 1.1 indicator: Number of institutions reporting the costing of GCNN interventions disaggregated by sex	0		4	Document containing the <i>ad hoc</i> multisectoral costing tool for the GNCC with disaggregated information	SESAN, MINFIN, SEGEPLAN, institutions that comprise CONASAN, municipalities, UNICEF and UNDP
<i>Output 1.2: Gaps identified in human, material and financial resources for the provision of GCNN's integral services.</i>					
Output 1.2 indicator: Number of pillars of GCNN that have identified gaps	0		5	Document identifying gaps in human, material and financial resources for the implementation of GCNN is approved by SESAN	SESAN, MINFIN, SEGEPLAN, UNICEF and UNDP
<i>Output 1.3: Recommendations elaborated on financing and partnerships with public and private sources to implement GCNN.</i>					
Output 1.2 indicator: # of recommendations presented to the Government for the implementation of GCNN	0		5	Document with recommendations for assessing financing and partnerships for GCNN's sustainability is available for government authorities	SESAN, MINFIN, SEGEPLAN, UNICEF and UNDP
Output 1.2 indicator: # of partnerships with public and private stakeholders identified for GCNN	0		2	Commitment letters for sustainable participation in achieving GCNN	SESAN, MINFIN, SEGEPLAN, UNICEF and UNDP

Output 1.4: <i>Joint Programme efficiently implemented in coordination with strategic government partners.</i>					
Output 1.2 indicator					
% of Joint Programme budget implemented	0		100	Financial reports	UNICEF and UNDP
Output 1.2 indicator					
Level of implementation of the communication strategy in the framework of the Joint Programme.					
Level 0: Strategy unavailable. Level 1: Strategy planned Level 2: Strategy implemented Level 3: Strategy evaluated	0		2	Administrative implementation reports	UNICEF and UNDP

### Annex 3. Gender marker matrix

Indicator		Score	Findings and explanation	Evidence or means of verification
N°	Formulation			
1.1	Context analysis integrates gender analysis	<b>2.5</b>	The context analysis, diagnostics and cause of the problem include data disaggregated by sex that highlight gender differences in the inclusion of women in interventions and rights in the country.	Section 1: Baseline and analysis of the situation. Project objectives.
1.2	Gender equality mainstreamed in proposed outputs	<b>3</b>	The Joint Programme's strength, in terms of the formulation of the outputs, is that the costing tool integrates demand estimates that are disaggregated by sex, for the publication of differentiated figures. A gender expert will be involved who will provide support to ensure that the gender focus is included in financial estimates.  The focus of the Joint Programme is the creation of a public policy tool that promotes gender	Logical framework Work plan Budget

			equality aligned with a results-based management focus, which will strengthen the multi-year budget formulation process and promote the medium-term sustainability of the Great National Crusade for Nutrition which, in turn, will facilitate several simultaneous interventions within one population without gender- or ethnicity-based discrimination.	
1.3	Programme output indicators measure changes in gender equality	<b>2</b>	The project includes closing financial information gaps disaggregated by sex for budget purposes.	Indicators matrix
2.1	PUNOs collaborate and engage with Government on gender equality and the empowerment of women	<b>2</b>	GCNN's component on the availability and access to a healthy diet will provide an opportunity to increase the visibility of the importance of women's economic inclusion in productive empowerment programmes.	Documentation on the costing of GCNN's "Availability and Access to a Healthy Diet" pillar
2.2	PUNOs collaborate and engage with women's/gender equality CSOs	<b>2</b>	The programme design includes the promotion of partnerships to discuss financing strategies that will make GCNN sustainable. These partnerships include women's organisations, including those promoting gender equality and women's participation in development projects, as well as defenders of women's rights. The project also promotes the participation of women in CONASAN.	Registration sheets and meeting Minutes
3.1	Programme proposes a gender-responsive budget	<b>2</b>	The budget includes advising services from a gender expert to support the development of a costing tool and promote not only the disaggregation of data by sex, but also provide recommendations so that the intervention designs consider gender equality	Activities and budget
<b>Total scoring</b>		<b>2.25</b>		

## Annex 4. Budget and Work Plan

### 4.1 Budget per UNSDG categories

The category with the greatest allocation of funds is contractual services, which includes the contracting of technical assistance required for the implementation of the costing exercise, carrying out municipal plans, estimating gaps and designing recommendations for mobilising public and private funds that promote the medium-term sustainability of GCNN. These services will be contracted through two modalities: (a) direct payments to providers or third parties for obligations contracted by the counterparts responsible for implementation, on the basis of requests signed by the designated official therein; and (b) direct payments to providers or third parties for obligations contracted by United Nations agencies in support of the agreed-upon activities with the counterparts responsible for implementation. It is anticipated that activities will be implemented jointly by UNICEF and the UNDP, for which reason the costs of travel and inputs have been distributed in accordance with the planned activities. In the category of general operating costs and other direct costs, the following activities are included: monitoring and evaluation, knowledge management, communications, and provisions for the final evaluation of the Joint Programme.

UNDG BUDGET CATEGORIES	UNICEF		UNDP		TOTAL	
	Joint SDG Fund (US\$)	PUNO contribution (US\$)	Joint SDG Fund (US\$)	PUNO contribution (US\$)	Joint SDG Fund (US\$)	PUNO contribution (US\$)
1. Staff and other personnel	0	80,000	0	25,000	0	105,000
2. Supplies, commodities, materials	5,000		15,000		20,000	
3. Equipment, vehicles, and furniture (including depreciation)	0		0		0	
4. Contractual services	504,026		220,649		724,675	
5. Travel	30,000		20,000		50,000	
6. Transfers and grants to counterparts	0		0		0	
7. General operating and other direct costs (M&E/KM, COMMS, advocacy and final evaluation)	83,688		48,000		131,688	
<b>Total direct costs</b>	<b>622,714</b>				<b>303,649</b>	
8. Indirect support costs (Max. 7%)	43,590		21,255		64,845	
<b>TOTAL costs</b>	<b>666,304</b>	<b>80,000</b>	<b>324,905</b>	<b>25,000</b>	<b>991,209</b>	<b>105,000</b>
<b>1st year</b>	<b>365,643</b>	40,000	<b>129,962</b>	10,000	<b>495,605</b>	50,000
<b>2nd year</b>	<b>300,661</b>	40,000	<b>194,943</b>	15,000	<b>495,604</b>	55,000

## 4.2 Budget per SDG targets

The allocation of costs has been carried out for the total amount of the Joint Programme based on a collective validation exercise that facilitated the allocation of a percentage structure for the acceleration of SDGs that includes GCNN objectives and the terms of reference of the Joint SDG Fund, as follows: SDG 2: 30%, SDG 16: 20%, SDG 17: 30%, and SDG 5: 10%, SDG 10: 10%

SDG TARGETS		%	US\$
2.1	By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round	10%	106,620.90
2.2	By 2030, end all forms of malnutrition, including achieving, by 2025, the internationally agreed targets on stunting and wasting in children under 5 years of age, and address the nutritional needs of adolescent girls, pregnant and lactating women and older persons	20%	219,241.80
16.6	Develop effective, accountable and transparent institutions at all levels	10%	106,620.90
16.7	Ensure responsive, inclusive, participatory and representative decision-making at all levels	10%	106,620.90
17.3	Mobilise additional financial resources for developing countries from multiple sources	15%	164,431.35
17.14	Enhance policy coherence for sustainable development	10%	106,620.90
17.18	By 2020, enhance capacity-building support to developing countries, including for the least developed countries and Small Island Developing States, to increase significantly the availability of high-quality, timely and reliable data disaggregated by income, gender, age, race, ethnicity, migratory status, disability, geographic location and other characteristics relevant in national contexts	5%	54,810.45
<b>Generally related SDGs</b>			
5.1	End all forms of discrimination against women and girls everywhere.	10%	106,620.90
10.4	Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality.	5%	54,810.45
10.6	Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions.	5%	54,810.45
TOTAL		100%	1,096,209

### 4.3 Work plan

Outcome		By 2021, a costing tool grounded in results-based management is available to strengthen multi-year budget formulation and execution process, in order to promote the medium-term sustainability of the Great National Crusade for Nutrition, thus accelerating the achievement of SDGs 2, 5, 10, 16 and 17.																		
Output	Annual target/s		List of activities	Time frame								PLANNED BUDGET				PUNO/s involved	Implementing partner/s involved			
	2020	2021		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Overall budget description	Joint SDG Fund (US\$)	PUNO Contributions (US\$)	Total Cost (US\$)					
Output 1: Ad hoc multisectoral costing exercise elaborated for GCNN interventions at the central and local level.		Output 1.1 indicator: Existence of an ad hoc multisectoral costing tool for GCNN. Output 1.1 indicator: Number of municipal plans with cost estimates for the implementation of GCNN. Output 1.1 indicator: Number of institutions reporting the costing of GCNN interventions disaggregated by sex.	Operating definition of the programmes that comprise GCNN by implementing agency, considering disaggregation by sex.												Resources for the implementation of GCNN costing exercise at national and local level, and three municipal pilot plans based on results-based management methodology	539,026	80,000	619,026	UNICEF, UNDP	SESAN, MINFIN, SEGEPLAN, MSPAS
			Establishment of multidisciplinary sectoral teams for each GCNN pillar.																	
			Alignment of GCNN with SEGEPLAN's Strategic Planning Framework, based on K'atún 2032, General Government Programme, and strategic development goals, and assessment of the diagnostics stage in accordance with results-based management methodology: adoption of conceptual model, determination of explanatory model and establishment of prescriptive process.																	
			Assessment of the design stage in accordance with the results-based management methodology: formulation of outcomes, formulation of outputs and construction of logical framework for the implementation of GCNN, considering																	



			indicators disaggregated by sex.																
			Assessment of the implementation stage in accordance with the results-based management methodology: definition of operating model, assessment of costing centres, catalogues of inputs and links between projects (SNIP, SIGES and SICOIN)																
			Assessment of the implementation stage in accordance with the results-based management methodology: elaboration of proposal for budget formulation and estimated projections of demand for the elaboration of proposal for multi-year budget 2023-2025, considering data disaggregated by sex.																
			Assessment of monitoring and evaluation stage based on results-based management: elaboration of reporting to facilitate the monitoring of budget implementation based on the budget formulation proposal.																
			Elaboration of 3 municipal pilot plans for financing GCNN: governance, financial capacities of municipal corporation, assessment of sectoral budgets at the municipal level.																
			Elaboration of documentation on the costing process by each ministry and entity involved in GCNN.																

			Presentation of documentation on the costing exercise to government authorities.															
<b>Output 2: By April 2022 gaps in human, material and financial resources for the provision of integral GCNN services have been identified.</b>		<b>Output 1.2 indicator: Number of GCNN pillars that have identified gaps.</b>	Assessment of available public and private financing sources for implementation of GCNN at the national and municipal level.							Analysis to determine gaps in financial, human and material resources disaggregated by sex, based on public and private resources available for implementation of GCNN	165,325	15,000	<b>180,325</b>	UNICEF, UNPD	SESAN, MINFIN, SEGEPLAN, MSPAS			
			Documentation of institutional bottlenecks found during the costing stage, to be presented to authorities and for which a plan for improvement will be sought.															
			Establishment of partnerships between government stakeholders, private sector, civil society, academia and local governments, among others, with the support of implementing agencies.															
			Determination of financing scenarios for the implementation of GCNN in 2022-2025.															
<b>Output 3: By June 2022 and based on the identification of gaps, recommendations have been elaborated on financing and partnerships for the use of public and private sources for the implementation of GCNN.</b>		<b>Output 1.2 indicator: # of recommendations presented to the Government for the implementation of GCNN.</b>  <b>Output 1.2 indicator: # of partners with public and private stakeholders identified for GCNN.</b>	Establishment of partnerships between government stakeholders, private sector, civil society, academia and local government, among others, with the support of implementing agencies.							Promotion of partnerships with private sector, academia, civil society and government entities to formulate recommendations for financing GCNN with public and private funds that ensure its medium-term sustainability	90,325	20,000	<b>110,325</b>	UNICEF, UNDP	SESAN, MINFIN, SEGEPLAN, MSPAS			
			Elaboration of recommendations on financing and partnerships for the sustainability of GCNN in collaboration with MINFIN, SEGEPLAN, SESAN and MSPAS, at the national and municipal level.															
			Presentation of documentation to national and local government authorities.															

			Systematisation of results dissemination process, communication and establishment of commitments for monitoring GCNN.												
Output 4: Carry out an efficient implementation of the Joint Programme in coordination with strategic government partners.		Output 1.2 indicator: % of Joint Programme budget implemented.	Monitoring and evaluation												
		Output 1.2 indicator: Level of implementation of communication strategy in the framework of the Joint Programme.	Communications								131,688			UNICEF, UNDP	

### Annex 5. Risk Management Plan

Considering that political dynamics for processes related to the approval of national budgets and interinstitutional coordination often change and present a certain level of uncertainty, the Joint Programme’s management process will apply a risk-based approach, identifying factors that could create obstacles to achieving the outcomes that have been defined.

This approach includes the identification of external factors whose effects could delay or obstruct the achievement of the outcomes. The identification implies carrying out a regular assessment of the risks identified in the design stage and continuing to assess the context to identify possible risks during the Joint Programme’s implementation stage. Identifying risks facilitates the definition of the main mitigating actions that will be carried out to successfully advance towards and achieve the outcomes.

The process of analysing the behaviour of risks will be done in the framework of periodic reviews of the Joint Programme’s progress by the Programme’s interinstitutional team, at which time the effectiveness of the mitigating measures will be analysed and decisions will be made to redirect actions to achieve the outcomes.

Constant dialogue will be maintained with the relevant authorities to achieve institutional and political backing for the tools that will be developed in this Joint Programme, as well as to manage the risks that might arise.

The principle risks that have been identified in the definition stage are:

- Although a costing exercise may be successfully developed that can be used in the formulation of the budget, the Proposed Budget 2022 might not be approved by the Congress of the Republic.
- The costing exercise could have a greater time frame than what is expected by government authorities.
- Interinstitutional coordination with complex monitoring and evaluation processes.
- The removal of bottlenecks could require changes to regulations or laws that are beyond the scope of stakeholders involved in GCNN.

The probability and impact of the risks that have been defined are presented in the table below, along with their mitigating measures.

<b>Risks</b>	<b>Risk Level:</b> (Likelihood x Impact)	<b>Likelihood:</b> Certain - 5 Likely - 4 Possible - 3 Unlikely - 2 Rare - 1	<b>Impact:</b> Essential - 5 Major - 4 Moderate - 3 Minor - 2 Insignificant - 1	<b>Mitigating measures</b>	<b>Responsible org./Person</b>
<b>Contextual/Political risks</b>					
If the health emergency stemming from COVID-19 continues into the last quarter of 2020, the implementation of some activities of the JP could be delayed.	12	4	3	The RC and PUNOs will maintain a constant dialogue with the Government and will periodically review the work plan to ensure that the JP planned activities are within the framework of the health and mobility protocols established by the country.	RC and PUNOs in coordination with the Government
Although a costing exercise may be successfully developed that can be used in the formulation of the budget, the Proposed Budget 2022 might not be approved by the Congress of the Republic.	12	3	4	The United Nations System could support by means of evidence and the costing exercise, to make evident the resources that are necessary to implement GCNN.	PUNOs in coordination with the Government
<b>Programmatic risks</b>					
The costing exercise could have a greater time frame than what is expected by government authorities.	9	3	3	The deliverables and quality of the costing exercise will be strictly controlled.	Lead Agency
<b>Institutional risks</b>					
Interinstitutional coordination with complex monitoring and evaluation processes.	12	3	4	Communication and periodic engagement of public and private stakeholders in the costing exercise, consultation	PUNOs

				workshops and dissemination.	
<b>Strategic risks</b>					
Difficulty establishing the partnerships that are required to achieve the project's outcomes.	9	3	3	Ensure the highest-level participation of the institutions involved in GCNN, under the leadership of SESAN.	PUNOs in coordination with the government
<b>Regulatory risks</b>					
The removal of bottlenecks could require changes to regulations or laws that are beyond the scope of stakeholders involved in GCNN.	9	3	3	Carry out a detailed analysis of the bottlenecks to identify potential obstacles or regulatory limitations.	PUNOs