

ASM-02823 - Quality Assurance - Implementation

Procedure Year: 2023

Overall Project Risk Categorization: ● Satisfactory

Procedure Status: Approved

Procedure Name: ASM-02823

Procedure Department: CO - El Salvador - San Salvador

Procedure Type: Implementation

Record Owner: Ryna Avila

Created by: Ryna Avila, 12/20/2023, 1:30 PM

Last Modified by: Therese Sebastian, 2/29/2024, 11:29 AM

Decision:

QA Summary/Project Board Comments:

RELATED PROJECTS(1)					
NAME	DEPARTMENT	STATUS	ATLAS PROJECT NUMBER	START DATE	END DATE
00111194	CO - El Salvador - San Salvador	On Going	00112865	2/10/2021	6/16/2026

Approval History

Approval Date: **Approved By:**

APPROVAL HISTORY			
STEP NAME	DATE	STATUS	ASSIGNED TO
Submitted for Approval	2023-12-21 16:30:15	Approved	Rafael Pleitez
Approval Request Submitted	2023-12-21 16:04:44	Started	Ryna Avila

Identified Risks & Treatments

Category: 4. Organizational

Risk Significance: ■ Moderate

Risk Significance: ■ Moderate

Sub-Category: 4.5. Monitoring and oversight

Event:

Las 5 municipalidades no asuman la responsabilidad de conducir la planificación de su territorio enfocada a la adaptación al cambio climático, y no promuevan las inversiones locales ambientales para esta adaptación

Causes:

Identify from QA question: 15. Is the project is on track to deliver its expected outputs?

Description:

Impact:

Hay un riesgo que la implementación de la gobernanza local sea frágil

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
<p>El proyecto propone contribuir a mejorar las capacidades locales para mejor comprensión del beneficio de la planificación local.</p> <p>Plan de fortalecimiento de desarrollo de gestión de cooperación enfocada a la adaptación al cambio climático (diplomados, capacitaciones, entrenamiento, asesoría).</p> <p>Facilitación del diálogo, acompañamiento con Articulación Territorial/ MARN</p>		12/31/2025	Not Started	

QA Questionnaire:

Strategic

Status: Complete

Quality Rating: **Highly Satisfactory**

1. Is the project pro-actively identifying changes to the external environment and incorporating them into the project strategy?

- 3: The project team has identified relevant changes in the external environment that may present new opportunities or threats to the project's ability to achieve its objectives and the assumptions have been tested to determine if the project's strategy is still valid. There is evidence that the project board has considered the implications, and documented any changes needed to the project in response. (all must be true)
- 2: The project team has identified relevant changes in the external environment that may present new opportunities or threats to the project's ability to achieve its objectives. There is some evidence that the project board discussed this, but relevant changes may not have been fully integrated in the project. (both must be true)
- 1: The project team may have considered relevant changes in the external environment since implementation began, but there is no evidence that the project team has considered changes to the project as a result.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

En las juntas de proyecto se presentan los principales avances y a su vez, las medidas de adaptación que se han requerido para que el proyecto avance.

La gestión adaptativa se ha dado, por ejemplo, en el adecuado pronóstico del clima en la temporada, anticipando el fenómeno del Niño, lo que ha afectado los paisajes a restaurar debido a la sequía.

Ver evidencia en la carpeta de Junta de Proyecto e Informes

2. Is the project aligned with the UNDP Strategic Plan?

- 3: The project responds at least one of the development settings as specified in the Strategic Plan (SP) and adopts at least one Signature Solution and the project's RRF includes at all the relevant SP output indicators. (all must be true)
- 2: The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)
- 1: While the project may respond to a partner's identified need, this need falls outside the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Efecto del CPD al que contribuye el proyecto es: Para 2026, las instituciones y la población de El Salvador están más preparadas y son más resilientes a los desastres, gestionan los riesgos eficazmente, se adaptan mejor y mitigan los efectos del cambio climático.

Output indicativo con marcador de género: 3.4: Incorporación de prácticas de adaptación al cambio climático por parte de las comunidades rurales seleccionadas. GEN: 2

Relevant

Status: Complete

Quality Rating: **Satisfactory**

3. Are the project's target groups, and particularly those discriminated, marginalized, vulnerable and left further behind (LNOB), being systematically engaged to ensure the project leaves no one behind (LNOB) and remains relevant for them?

- 3: Systematic and structured feedback has been collected over the past two years from a representative sample of beneficiaries, with a priority focus on the discriminated and marginalized, as part of the project's monitoring system. Representatives from the target groups are active members of the project's governance mechanism (i.e., the project board or equivalent) and there is credible evidence that their feedback informs project decision making. (all must be true)
- 2: Target groups have been engaged in implementation and monitoring. Beneficiary feedback, which may be anecdotal, has been collected over the past year to ensure the project is addressing local priorities. This information has been used to inform project decision making. (all must be true)

- 1: Some beneficiary feedback may have been collected over the past year, but this information has not been used to inform project decision making. This option is also selected if no beneficiary feedback has been collected.
- Not Applicable

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El trabajo delegado a FIAES, como Parte Responsable del Componente 1, se ha encargado de aplicar las medidas necesarias para incluir a todos los beneficiarios, el equipo de proyecto del MARN ha identificado a pueblos indígenas y se les ha incluido, teniendo incluso participación en las Juntas de Proyecto.

Esto queda en evidencia en las ayudas memoria de las Juntas de Proyecto y los informes presentados por el proyecto.

4. Is the project generating knowledge and lessons learned (i.e., what has worked and what has not) and has this knowledge informed management decisions to ensure the continued relevance of the project towards its stated objectives, the quality of its outputs and the management of risk?

- 3: Knowledge and lessons learned from internal or external sources (gained, for example, from Peer Assists, After Action Reviews or Lessons Learned Workshops) backed by credible evidence from evaluation, corporate policies/strategies, analysis and monitoring have been discussed in project board meetings and reflected in the minutes. There is clear evidence that changes were made to the project to ensure its continued relevance. (both must be true)
- 2: Knowledge and lessons learned backed by relatively limited evidence, drawn mainly from within the project, have been considered by the project team. There is some evidence that changes were made to the project as a result to ensure its continued relevance. (both must be true)
- 1: There is limited or no evidence that knowledge and lessons learned have been collected by the project team. There is little or no evidence that this has informed project decision making.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto genera lecciones aprendidas a lo interno, estas son presentadas en Juntas de Proyecto y se reflejan en el informe anual.

5. Is the project sufficiently at scale, or is there potential to scale up in the future, to meaningfully contribute to development change?

- 3: There is credible evidence that the project is reaching a sufficient number of beneficiaries (either directly through significant coverage of target groups, or indirectly, through policy change) to meaningfully contribute to development change.
- 2: While the project is currently not at scale, there are explicit plans in place to scale up the project in the future (e.g. by extending its coverage or using project results to advocate for policy change).
- 1: The project is not at scale, and there are no plans currently to scale up the project in the future.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto puede escalar a una intervención mas amplia, pues el MARN sacara lecciones aprendidas de la restauración del paisaje en esta zona delimitada por Ahuachapán Sur y a su vez, aprenderá del uso de la información climática que los beneficiarios utilizan.

Principled

Status: Complete

Quality Rating: Satisfactory

6. Are the project's measures (through outputs, activities, indicators) to address gender inequalities and empower women relevant and producing the intended effect? If not, evidence-based adjustments and changes have been made.

- 3: The project team has systematically gathered data and evidence through project monitoring on the relevance of the measures to address gender inequalities and empower women. Analysis of data and evidence were used to inform adjustments and changes, as appropriate. (both must be true)
- 2: The project team has some data and evidence on the relevance of the measures to address gender inequalities and empower women. There is evidence that at least some adjustments were made, as appropriate. (both must be true)
- 1: The project team has limited or no evidence on the relevance of measures to address gender inequalities and empowering women. No evidence of adjustments and/or changes made. This option should also be selected if the project has no measures to address gender inequalities and empower women relevant to the project results and activities.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

FIAES, como parte responsable del Componente 1, genera información detallada que identifica a hombres y mujeres, lo que permite tomar decisiones para fomentar la igualdad de género.

Evidencia en los informes y Juntas de proyecto

7. Are social and environmental impacts and risks being successfully managed and monitored?

- 3: Social and environmental risks are tracked in the risk log. Appropriate assessments conducted where required (i.e., Environmental and Social Impact Assessment (ESIA) for High risk projects and some level of social and environmental assessment for Moderate risk projects as identified through SESP). Relevant management plan(s) developed for identified risks through consultative process and implemented, resourced, and monitored. Risks effectively managed or mitigated. If there has been a substantive change to the project or change in context that affects risk levels, the SESP is updated to reflect these changes. (all must be true)
- 2: Social and environmental risks are tracked in the risk log. Appropriate assessments conducted where required (i.e., Environmental and Social Impact Assessment (ESIA) for High risk projects and some level of social and environmental assessment for Moderate risk projects as identified through SESP). Relevant management plan(s) developed, implemented and monitored for identified risks. OR project is categorized as Low risk through the SESP.
- 1: Social and environmental risks have not been tracked in the risk log. For projects categorized as High or Moderate Risk there is no evidence that social and environmental assessments have been completed and/or management plans or measures development, implemented or monitored. There have been substantive changes to the project or changes in the context but SESP has not been updated. (any may be true)

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Los riesgos sociales y ambientales son registrados en el registro de riesgos, así mismo FIAES aplica las medidas de mitigación que se han sugerido.

8. Are grievance mechanisms available to project-affected people and are grievances (if any) addressed to ensure any perceived harm is effectively mitigated?

- 3: Project-affected people have been actively informed of UNDP's Corporate Accountability Mechanism (SRM/SECU) and how to access it. If the project is categorized as High or Moderate Risk through the SESP, a project -level grievance mechanism is in place and project affected people informed. If grievances have been received, they are effectively addressed in accordance with SRM Guidance. (all must be true)
- 2: Project-affected people have been informed of UNDP's Corporate Accountability Mechanism and how to access it. If the project is categorized as High Risk through the SESP, a project -level grievance mechanism is in place and project affected people informed. If grievances have been received they are responded to but face challenges in arriving at a resolution.
- 1: Project-affected people not informed of UNDP's Corporate Accountability Mechanism. If grievances have been received they are not responded to. (any may be true)

11. Are risks to the project adequately monitored and managed?

- 3: The project has actively monitored risks every quarter including consulting with key stakeholders, including security advisors, to identify continuing and emerging risks and to assess if the main assumptions remain valid. There is clear evidence that relevant management plans and mitigating measures are being fully implemented to address each key project risk, and have been updated to reflect the latest risk assessment. (all must be true)
- 2: The project has monitored risks every year, as evidenced by an updated risk log. Some updates have been made to management plans and mitigation measures.
- 1: The risk log has not been updated as required. There may be some evidence that the project has monitored risks (including security risks or incidents) that may affect the project's achievement of results, but there is no explicit evidence that management actions have been taken to mitigate risks. In the case of a deteriorating security environment, no consultation has occurred with the UNDP Security Office on appropriate measures.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto monitorea los riesgos al menos una vez al año y se presentan en las Juntas de Proyecto

Efficient

Status: Complete

Quality Rating: Satisfactory

12. Adequate resources have been mobilized to achieve intended results. If not, management decisions were taken to adjust expected results in the project's results framework.

- Yes
- No

***Note: Risk management must be done when the response is "No".**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Si bien los resultados previstos para restaurar el paisaje son positivos y con casos de éxito, la movilización de recursos para la entrega de donaciones puede ser un proceso que lleve tiempo por la debida diligencia de control fiduciario que se debe de cumplir. Sin embargo el proyecto ha tomado medidas adaptativas y se han adecuado los arreglos de gestión para que este proceso de entrega de donaciones sea ágil y seguro.

Ver evidencia en la revisión general del ProDoc en donde se establecen los nuevos arreglos de gestión para la entrega de donaciones.

13. Are project inputs procured and delivered on time to efficiently contribute to results?

- 3: The project has an updated procurement plan. Implementation of the plan is on or ahead of schedule. The project quarterly reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true)
- 2: The project has an updated procurement plan. The project annually reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true)
- 1: The project does not have an updated procurement plan. The project may or may not have reviewed operational bottlenecks to procuring inputs in a timely manner, however management actions have not been taken to address them.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto cuenta con un plan de adquisiciones actualizado, sin embargo el marco de control interno del MARN; como socio implementador, lleva sus propios tiempos y depende de varias aprobaciones internas hasta llegar a la

Los planes de trabajo se revisan al menos una vez al año. Sin embargo se depende de los tiempos internos del marco de control interno del Ministerio de Medio Ambiente y Recursos Naturales

17. Are target groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), being systematically identified and engaged to ensure results are achieved as expected?

- 3: The project is targeting specific groups and/or geographic areas, identified by using credible data sources on their capacity needs, deprivation, and/or exclusion from development opportunities relevant to the project's area of work. There is clear evidence that the target groups are being reached as intended. The project has engaged regularly with target groups over the past year to assess whether they are benefiting as expected and adjustments were made if necessary to refine targeting. (all must be true)
- 2: The project is targeting specific groups and/or geographic areas, based on some evidence of their capacity needs, deprivation, and/or exclusion from development opportunities relevant to the project's area of work. Some evidence is provided to confirm that project beneficiaries are members of the target groups. There has been some engagement with beneficiaries in the past year to assess whether they are benefiting as expected. (all must be true)
- 1: The project does not report on specific target groups. There is no evidence to confirm that project beneficiaries are deprived and/or excluded from development opportunities relevant to the project area of work. There may have been some engagement with beneficiaries to assess whether they are benefiting as expected, but it has been limited or has not occurred in the past year.
- Not Applicable

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto desde su diseño se ha enfocado en identificar con precisión los grupos meta, en la implementación se ha seguido dando la oportunidad de buscar ser bastante inclusivos y la elaboración de los planes de restauración han servido para delimitar con mas certeza esta meta.

18. If there is a digital or data technology solution in the project: is the implementation in line with good practices to manage technology and data risks, like UNDP's digital standards and data principles

- 3: Yes, a) the implementation follows good practices to manage technology and data risks, such as: closing the digital divide and balancing information asymmetries; driven by user demand; b) sustainability and scalability are considered from the start; c) re-using proven technologies where possible and data is managed across the lifecycle in line with the UNDP data guiderails. (All must be true)
- 2: Technology and data risks are managed appropriately. UNDP's digital standards and data principles are followed as much as possible, and deviations can be justified.
- 1: Standard UNDP project risk management is applied but no specific practices to address technology risks are followed.
- The project does not utilize a data or digital technology solution.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

No aplica. El diseño de proyecto no contemplo incluir soluciones digitales

Sustainability & National Ownership

Status: Complete

Quality Rating: Satisfactory

19. Are stakeholders and national partners fully engaged in the decision-making, implementation and monitoring of the project?

- 3: Only national systems (i.e., procurement, monitoring, evaluation, etc.) are used to fully implement and monitor the project. All relevant stakeholders and partners are fully and actively engaged in the process, playing a lead role in project decision-making, implementation and monitoring. (both must be true)

- 2: National systems (i.e., procurement, monitoring, evaluation, etc.) are used to implement and monitor the project, but other support (such as country office support or project systems) may also be used if necessary. All relevant stakeholders and partners are fully and actively engaged in the process, playing an active role in project decision-making, implementation and monitoring. (both must be true)
- 1: There is relatively limited or no engagement with national stakeholders and partners in the decision-making, implementation and/or monitoring of the project.
- Not Applicable

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Este es un proyecto de implementación nacional. Se utiliza el sistema nacional de adquisiciones y el sistema de monitoreo de hectáreas restauradas del MARN

20. There is regular monitoring of changes in capacities and performance of institutions and systems relevant to the project, as needed. The implementation arrangements have been adjusted according to changes in partner capacities.

- 3: In the past two years, changes in capacities and performance of institutions and systems have been comprehensively assessed/monitored using clear indicators, rigorous methods of data collection and credible data sources including relevant HACT assurance activities. Implementation arrangements have been formally reviewed and adjusted, if needed, in agreement with partners according to changes in partner capacities. (both must be true)
- 2: In the past two years, aspects of changes in capacities and performance of relevant national institutions and systems have been monitored by the project using indicators and reasonably credible data sources including relevant HACT assurance activities. Some adjustment has been made to implementation arrangements if needed to reflect changes in partner capacities. (both must be true)
- 1: Some aspects of changes in capacities and performance of relevant national institutions and systems may have been monitored by the project, however changes to implementation arrangements have not been considered. Also select this option if changes in capacities and performance of relevant national institutions and systems have not been monitored by the project.
- Not Applicable

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

El proyecto es auditado anualmente y se han evaluado sus capacidades en el marco del HACT. MARN sale con un nivel de bajo riesgo

21. The transition and phase-out arrangements are reviewed regularly and adjusted according to progress (including financial commitments and capacity).

- 3: The project's governance mechanism has reviewed the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan. The plan has been adjusted according to progress as needed. (both must be true)
- 2: There has been a review of the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan.
- 1: The project may have a sustainability plan, but there has not been a review of this strategy since it was developed. Also select this option if the project does not have a sustainability strategy.

***Note: Risk management must be done for criteria with score of 1.**

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

En las juntas de proyecto se establecen las medidas adaptativas que generaran sostenibilidad al avance de indicadores establecido.