



USAID | GUATEMALA

June 26, 2014

Subject: Request for Applications (RFA) Number: RFA-520-14-000006
Amendment No. 1

Project Name: Community Strengthening Project

Dear Applicants:

This Amendment No. 1 to subject RFA is hereby issued to make the following changes:

1. Cover letter, Closing Date and Time for Application Submission is changed to Tuesday, July 22, 2014 at 4:00 pm, local time, Guatemala City.
2. Page 24, Section II.4 Project Management and Page 38, Section IV.5) 1. III. Project management change to "Project Management and Staffing Plan".
3. Page 38, Section IV.5)1. V. Annexes, add the following:
"vii. Illustrative Strategic Communications for Development Plan (limited to 5 pages)
viii. Environmental Compliance (limited to 3 pages)"
4. Annex A to this RFA Amendment 1, includes a list of answers to several questions received by potential applicants to help in the preparation of applications.

All other terms and conditions of the RFA remain without change and in full force.

Sincerely,

Natalie J. Thunberg
Regional Agreement Officer
USAID/EI Salvador

Annex A List of Questions and Answers
Annex B LAC-IEE-12-60

QUESTIONS AND ANSWERS
RFA-520-14-000006 Community Strengthening Project

1.	Given the time it takes to form meaningful alliances and partnerships with non-traditional partners to address issues and achieve results in the four objectives of this project, we respectfully request a two week extension for the application submission date. USAID Response: Yes, the new closing date is Tuesday, July 22nd, at 4:00 pm local time, Guatemala City.
2.	Can you confirm that USAID intends to give a Letter Of Credit (LOC) to the Awardee? USAID Response: Yes, usually under a Cooperative Agreement, if the applicant qualifies, a LOC is the preferred method of payment.
SECTION I	
3.	Section I (Funding Opportunity Description, p. 4): Will USAID please confirm that all applicants must submit cost applications with a total estimated cost within the \$35 - \$40 million range provided in the RFA? USAID Response: The applicants are requested submit a cost application for a total estimated amount that is below the maximum range. Applicants can always submit budgets below the range.
4.	On page 10 of the RFA, USAID states that the project will focus on 4 core municipalities but may include additional municipalities that would be identified through a criteria-based selection process. Is there a maximum number of municipalities CSP can target over LOP? Does USAID have any guidance on geographic targeting for additional municipalities (e.g., should they also in proximity of Guatemala City) given the already large population size already covered in the 4 core municipalities (approx. 4.25M people)? USAID Response: There is no maximum number of municipalities. Applicants should propose a criteria-based process to identify additional municipalities beyond the 4 core municipalities, and in the technical application clearly indicate and justify the proposed municipalities.
5.	For result 1.6, the RFP provides an illustrative indicator measuring improvement in early grade reading, which implies that the project will have a direct impact on Grade 2 reading skills. However, the narrative for Objective 1 (and the program overall) does not seem to call for direct project intervention for early grade reading. Instead, it states the project will “support basic education initiatives that promote crime and gang prevention in targeted communities.” Please clarify expectations and parameters for project support of EGR activities. USAID Response: Please refer to page 19, section I.3.4.a Basic Education Earmarks.

6.	Page 14 of the RFA says that CSP is expected to establish/support functioning municipal crime and violence data systems in one of the target municipalities. Do any of the target municipalities already have violence data collection and reporting systems in place that CSP can build upon? USAID Response: Yes, Villa Nueva has piloted a data collection and reporting system that should serve as a starting point. Are there technical specifications/requirements for the system? Is there a preferred technology or platform in existence that the proposal should attempt to sync with for the purposes of this data collection and reporting? USAID Response: There are no specific system requirements. However, it would be preferable for sustainability reasons if the system is compatible with the Myrna Mack Foundation system.
7.	Community based policing: p. 15, Can you provide information on the content of training in community based policing that has been provided through other USG programs? USAID Response: We do not have a consolidated list to share at this time.
8.	On page 15, the RFA states in a footnote to Result 2.2 that “at least three of the four targeted municipalities must be from the core group (Guatemala City, Villa Nueva, Mixco, Amatitlan).” Earlier, on page 10, it states that the project will focus on all four of these municipalities. Please clarify whether the footnote on page 15 refers to a certain target for the number of municipalities supported for Result 2.2. Please also clarify whether the project should consider the four municipalities named in the RFA as the only ones to be supported through CSP or if applicants should consider expansion to others, too. USAID Response: The footnote only refers to Result 2.2, and applicants can propose to cover all treatment municipalities. As far as the number of municipalities, see page 10 of the RFA, there are four core municipalities, and applicants can propose “additional municipalities that would be identified through a criteria-based selection process” proposed by the applicant.
9.	On Page 15: Result 2.3 Promote Inclusive Urban Planning Process; can you please further explain the concept and what it entails under this program? USAID Response: Some of the factors facing these communities are their geographic, social, political, and economic forms of isolation. Therefore, USAID is looking for innovative ideas to address these issues.
10.	Page 16 states that CSP is expected to implement secondary prevention approaches in a small number of target communities. Does USAID have a minimum number of communities in mind, or are the applicants free to propose the number? USAID Response: The applicant is free to propose the number.

11.	Page 16 notes that a component of Objective 3 will be the development of an outreach, tracking and referral/transition system established to identify at risk youth and track their progress while in the project as well as after. Can you confirm whether the “after” aspect imply after youth’s participation in project activities within the CSP life of the project and not beyond? USAID Response: Yes, it is within the CSP life of project.
12.	In Section I.3.3-Obj. 3 (Page 16), would USAID confirm the age range for secondary prevention is 8-17? USAID Response: yes, confirmed.
13.	Result 3.2 on page 17 of the RFA mentions scholarships for education as a potential intervention. Does USAID expect funding for these scholarships to come from the funding for the Sub-Grants? USAID Response: Yes
14.	In Section I.3.3-Obj. 4 (Pages 17-18), is the focus of Objective 4 exclusively on the strategy that is implemented under CSP, or does it call for the evaluation of other interventions that are not funded by USAID under this project? USAID Response: Objective 4 has a broad scope that includes CSP activities as well as other innovative prevention activities and methodologies.
15.	On Page 19: I.3.4 Earmarks. This project will directly support various important earmarks under Development Objective 1: “Greater Security and Justice for Citizens” and Development Objective 2: “Improved Levels of Economic Growth and Social Development in the Western Highlands”, Intermediate Result 3: “Education quality and access improved”. Can you please provide the respective earmark amounts? USAID Response: Please refer to page 19 – “Applicants should note that while CSP’s objectives and expected results focus on citizen security, reflecting that the principle funding source for this agreement will come from the Central American Regional Security Initiative (CARSI) earmark, CSP will also benefit from \$1.6 million from a Basic Education earmark.” At this point, CARSI and the Basic Education Earmark are the only funding streams.
16.	On Page 19: I.3.4 Earmarks; Given the uncertainties of funding of earmarks from year to year, the selected Recipient should have a degree of flexibility in order to absorb different amounts under each funding source without changing the total estimated amount of the resulting Award. Does this refer to the earmarks mentioned on I.3.4 or to the amount of this specific award? USAID Response: It is referring to the earmarks mentioned in the RFA.

17.	Page 20 of the RFA requests that applicants explain the methodology to develop an illustrative Strategic Communication for Development Plan. Does USAID require a Communication Plan with the proposal? Or just the development methodology. USAID Response: The Technical application should include a brief description of the communication strategy and timeline, and the Cost application should account for a communication budget. Applicants can elaborate on the Illustrative Strategic Communication for Development Plan, timeline and budget in the corresponding Annex, not to exceed 5 pages. The applicant will be asked to submit a full communications plan once the award is made.
18.	On page 20, Section I.4 calls for a communications strategy as part of applicants' proposals and an "illustrative Strategic Communication for Development Plan." Please confirm these are one and the same and that applicants may include the requested strategy or plan as an annex. USAID Response: See response to question #20.
19.	The RFA states under Section 1.4 (Development Communications) (page 21): "A creative brief process is expected to be conducted including the creative team as well as selected key stakeholders, including USAID." Is this process expected to take place after the award? USAID Response: Yes
20.	Regarding Section I.4 (Development Communications) (page 21), USAID states in the top paragraph, "Applicants will provide an illustrative budget²⁵ and timeline for the communications component." This budget is one component of the illustrative Strategic Communication for Development Plan that USAID requests Applicants prepare for the RFA, but it is not clear if this plan should be submitted as an annex to the technical proposal or within the technical approach itself. Likewise, it is not clear if the illustrative budget should be submitted separate from or within the cost application. Could USAID please confirm the location for submission of the Strategic Communication and Development Plan? USAID Response: The Technical application should include a brief description of the communication strategy and timeline, and the Cost application should account for a communication budget. Applicants can elaborate on the Illustrative Strategic Communication for Development Plan, timeline and budget in the corresponding Annex, not to exceed 5 pages. The applicant will be asked to submit a full communications plan once the award is made.
21.	Regarding Section I.4.a (Website for the CSP), can USAID confirm whether the project website is expected to be a stand-alone website or a homepage on USAID's website? USAID Response: Stand-alone website

22.	The required leveraging for community prevention plans is 1:1, which seems quite high for the target municipalities that are ridden with extreme poverty and violence levels. Would USAID consider lowering the community match ratio to encourage greater participation? USAID Response: Based on previous project experience, the recipient is requested to ensure that CSP funding for any one activity from a community prevention plan should be contingent on 1:1 leverage from in-kind or cash investment from the municipalities, private sector, community members or organization, or any other source, except those noted in the footnote on page 29. The recipient is expected to establish the necessary procedures to ensure that this requirement is met.
23.	Does USAID's Security and Justice Sector Reform Program (SJSRP) operate in the four target municipalities? USAID Response: SJSRP does not have a limited geographic focus; rather it works where there are 24-hour courts, Femicide courts, Free Legal Assistance Units, and special prosecutor's offices. Is there a list of participating police officers we can obtain? USAID Response: Not at this time.
24.	Should additional recommended geographic locations be included in the body text, or is it possible for us to include the justification for additional targets in an annex to avoid page limit issues? USAID Response: The geographic strategy must be part of the technical application and can be further elaborated on in the corresponding annex.
25.	CSP is expected to provide technical support to community violence prevention commissions in 11 municipalities supported by the Violence Prevention Project (VPP). Can USAID disclose the names of the 11 municipalities? USAID Response: The current VPP treatment municipalities are: Department of Chiquimula: Esquipulas, San Jacinto, San Jose La Arada, San Juan Ermita; Alta Verapaz: Coban, Tactic, Tamahu; Guatemala: Guatemala City, Villa Nueva, Mixco, Palencia. However, CSP will only continue supporting existing VPP community violence prevention commissions located in the resulting target municipalities. In other words, only the VPP communities in the four core municipalities and any other municipalities that the resulting applicant proposes and are approved by USAID, will receive continuing technical support so that the prevention commissions continue meeting.
26.	Please clarify if CSP target communities continued work will include all 42 VPP communities or just the ones the four target municipalities? USAID Response: Please see above answer #25.
27.	Is it sufficient to address the Basic Education indicators in the area of the Rapid Response Fund (small grants) or is this the type of direct intervention that USG would like to see in partnership with GOG? USAID Response: The Rapid Response Fund will be used as the RFA states for other specific purposes.

28.	We understand USAID/Guatemala has developed a community resilience index. Given the importance of resiliency to the project and its guiding principles, would USAID consider sharing with potential applicants? USAID Response: It is not ready yet. It is a work in progress, so the final version cannot be shared at this time. However, we expect the index to be made up of the following components: Social Cohesion, Public Participation, Community Leadership, Resident Inclusiveness, Political legitimacy of local government, Political legitimacy of national government.
29.	Information from the Violence Prevention Project is critical to applicants' abilities to prepare proposals. Please consider sharing any publications from the last two years from the Project not currently available on the Development Experience Clearinghouse. USAID Response: We can't share publications that are not finalized yet.
30.	Will USAID please indicate if there are specific zones or geographic areas the recipient will be required to work in within the municipality of Guatemala City? Will there be areas that are off-limits? USAID Response: No. See response to question #48 for more information.
31.	Will USAID please provide the annual reports (or other relevant reports) from the USAID/Guatemala's ongoing Violence Prevention Program? USAID Response: We can't share publications that are not finalized yet.
32.	When does USAID anticipate the dissemination of the CARSI-funded Violence Prevention Project impact evaluation? USAID Response: November 2014
33.	Please confirm that local partner organizations may be part of more than one Application? USAID Response: Yes, they may be part of more than one Application. We do not require, no encourage, exclusive partnering arrangements with local organizations, including non-governmental organizations and private sector firms
34.	Is it possible for you to suggest proposed partners for the Community Strengthening Project (RFA-520-14-000006)? We believe the Conflict and Development Center could play an important role as a partner in this program. USAID Response: We cannot suggest proposed partners.
35.	Does USAID have a specific start date in mind? USAID Response: We estimate a start date between December 2014 and January 2015.
36.	Would USAID please clarify how this project will complement and coordinate with early grade reading and skills building for youth under the Guatemala Lifelong Learning Program? USAID Response: Applicants can propose innovative linkages if appropriate to achieve the objectives and results presented in the RFA.

SECTION II – AWARD INFORMATION	
37.	Regarding Section II.3 (Transition Awards) (page 24), while it is understood that local capacity development is an important element of the RFA design, could USAID please clarify the following: the share of the grant pool meant to be allocated for transition-designated grantees; which objectives/activity areas the transition award recipients would be expected to implement; the criteria for the prime recipient to identify and qualify a sub-recipient for a direct transition award; the procedures for making the direct transition award; and the timeframe for when the direct transition awards should be considered, including the limits of funding within the RFA for the intended sub-recipients? USAID Response: There is no specific share of the funds intended for transition awards. Applicants can include this element in their technical approach and explain how they intend to incorporate local capacity development among their sub-grantees.
38.	The RFA states (Section III.2): “No cost share will be required from the recipient for the CSP. However, 1:1 leverage will be required for funding of community prevention plans.” As ADS 303.3.10.2 states that “The recipient is not responsible for any leveraging in excess of the agreed-upon cost share,” would USAID kindly revised the RFA to clarify that 1:1 leverage is a goal, but not a requirement? USAID Response: Correct, the recipient is not responsible for meeting any required leveraging; however, the selected recipient must establish partnerships that would realize a 1:1 leveraging for the implementation of any one individual initiative from the community prevention plans. In other words, the recipient is requested ensure that CSP funding for any one activity from a community prevention plan should be contingent on 1:1 leverage from in-kind or cash investment from the municipalities, private sector, community members or organization, or any other source, except those noted in the footnote on page 29. The recipient is expected to establish the necessary procedures and ensure that this requirement is met. Buy-in from the community/municipality/etc is crucial for success of the project. However, USAID is also fully aware that leverage is not legally required the way cost share is.
39.	Would USAID please provide a copy of IEE LAC-IEE-12-60 (referenced on page 27 of the RFA)? USAID Response: Yes, please refer to Annex A of this Amendment 1
40.	Can USAID confirm whether the approach to achieving environmental compliance and management plan requested on page 28 of the RFA can be placed in an annex, as it is not included in the list of annexes on page 38? USAID Response: Information on achieving environmental compliance should be part the technical proposal. Applicants can elaborate in the corresponding annex, not to exceed 3 pages.
41.	In page 29; “Please note that contributions from the GOG institution will not be counted as leverage”; does this restriction extends to Local Government also? USAID Response: No, this restriction only applies to the national level.

42.	Section II.7 of the RFA states that “No cost share will be required from the recipient for the CSP.” However much of the language in this section of the RFA seems to reference cost share requirements. For example, the RFA states that: i. “In-kind contributions are allowable as leveraging, if they meet the guidelines found in OMB Circular A-122, Cost Principles for Non-Profit Organizations, OMB Circular A-21, Cost Principles for Educational Institutions, and Automated Directives System (ADS) 303.3.10.2 and USAID Acquisition Regulation 731.2 for for-profit entities.” As OMB Circular A-122, Cost Principles for Non-Profit Organizations, OMB Circular A-21, Cost Principles for Educational Institutions, and USAID Acquisition Regulation 731.2 for for-profit entities do not address leverage, but rather address cost-share and as cost-share is not required under this RFA, would USAID confirm that the only applicable requirement to which leverage shall need to comply is ADS 303.3.10.2? USAID Response: Yes, USAID confirms. For more details on what is meant by Leveraging under CSP, please refer to p.29 of the RFA. The requirement is for the selected Recipient to establish partnerships that would realize a 1:1 leveraging for the implementation of any one individual initiative from the community prevention plans. Please also see the response to question #38 above.
SECTION IV – APPLICATION AND SUBMISSION INFORMATION	
43.	On page 35 of the solicitation, it notes that both electronic and hard copy submissions are required. Would USAID consider receiving the hard copies later as long as they are post marked by the due date and closing time and as long as the electronic submission is received by the due date and closing time? USAID Response: Yes, that is acceptable
44.	Please consider waiving the hard copy submission requirement in order to enable a wider group of prospective applicants to apply for this RFA. USAID Response: Hard copies are still a requirement, but after the electronic submission, as stated above in question #43.
45.	Will USAID please confirm that cost information provided in the American Embassy’s Local Compensation Plan for Guatemala dated December 18, 2012 is current and should be used as a guideline as applicants develop their cost applications? If the information in this version of the Local Compensation Plan is not current, will USAID please provide applicants with the most up to date cost information? USAID Response: Yes the information is current and should be used as guideline.
46.	Will USAID please provide the exchange rate that it would like applicants to use when developing their cost applications? USAID Response: Applicants may use the exchange rate published by “Banco de Guatemala” http://www.banguat.gob.gt/cambio/

47.	On page 38, Section IV refers to a three-page annex for “geographic strategy.” In Section V on page 47, the evaluation criteria include a section called “geographic coverage.” Please confirm these are one and the same and that applicants’ “geographic coverage” will be scored via the “geographic strategy” annex. USAID Response: See response to question #48 for more information.
48.	Please explain what is required and under Annex vi. Geographic Strategy. USAID Response: Applicants should present a geographic strategy in the technical application that clearly identifies and justifies the proposed treatment municipalities, and the number of proposed treatment communities in each proposed target municipality. Annex vi is an opportunity for the applicant to elaborate on their criteria-based selection process for additional treatment municipalities beyond the four core municipalities referred to in the RFA, and present (or account for) a criteria-based selection process that will select treatment communities in the target municipalities proposed by the applicant. Applicants should clearly identify the proposed target municipalities, and the number of communities that they are proposing to work with in each municipality. The actual treatment communities will be identified through a criteria-based process led by USAID, or a third-party evaluation contractor, but with active participation from the resulting recipient. Please note that applicants can include some information in this annex that describes how the “Organizational Capacity and Geographic Coverage” plans to ensure that activities in the proposed treatment areas are effectively covered, but such project management information and field-based coverage, if any, should be included in the “Project Management and Staffing Plan” section of the technical application.
49.	Please confirm the section or sections within the technical application that provide staffing and management information. Page 38 of the RFA lists section III Project Management, while pages 40 and 47 refer to a management and Staffing Plan. USAID Response: Such information should be included in the Project Management and Staffing Plan section of the technical application. The RFA is being amended to avoid confusion.
50.	Please clarify the differences in the required content for Section IV Past Performance and Annex V.v Past Performance Information and Summary Chart, as listed on page 38 of the RFA. USAID Response: Section IV is a brief description that should be sufficient enough to “demonstrate recent and relevant technical and field experience and quality of performance in programs of similar technical content and scope in developing countries.” Detailed information should be included in the corresponding Annex.
51.	In Section IV.5 (Page 38), will the executive summary (with three page limit) be excluded from the 35-page Technical Application page limitation? USAID Response: Yes

52.	In Section IV.5 (Page 38), please confirm that the cover page, transmittal letter, table of content, acronym list, and tab separators (between major proposal sections) are excluded from the 35-page Technical Application page limitation. USAID Response: Yes
53.	In IV.5.3.2.b NOTE (Page 41), may the letters of commitment for key personnel be included in Annex iii and excluded from the 35-page Technical Application page limitation? USAID Response: Yes
54.	Section IV.5 (Management and Staffing, p. 41): This section requests that applicants provide biographical information and position descriptions for proposed staff as 1) sketches in the management chapter, 2) write-ups in the staffing plan, and 3) résumés in an annex to the application. Will USAID allow applicants to combine this information across sections and annexes as they deem appropriate so as to limit redundancies in their applications? USAID Response: Yes.
55.	Page 41 calls for applicants to provide a biographical sketch and position description for proposed staff. Please clarify whether these should be included as part of the management and staffing plan or in the annex along with resumes/curriculum vitas of key personnel. USAID Response: This should be part of the Project management and staffing plan.
56.	Section IV.5 (Management and Staffing, p. 41): This section requests that applicants provide biographical information and position descriptions for proposed staff as 1) sketches in the management chapter, 2) write-ups in the staffing plan, and 3) résumés in an annex to the application. Will USAID allow applicants to combine this information across sections and annexes as they deem appropriate so as to limit redundancies in their applications? USAID Response: Please refer to the instructions on RFA, page 42.
57.	Section IV.5 (Management and Staffing, p. 41): This section states that applicants are required to present résumés for proposed personnel and ensure that these personnel will be available to staff the project should the applicant be selected for award. It also specifies that failure to provide such assurances and letters of commitment may disqualify applicants from being considered for award. Will USAID please confirm that letters of commitment are required for key personnel only? USAID Response: Yes, confirmed.
58.	Will USAID please provide applicants with the detailed disposition list from the current Violence Prevention Project so that applicants can take into account the equipment that USAID will transfer to the Community Strengthening Project (if any) when developing their cost applications? USAID Response: It is <u>not</u> anticipated that the applicants will receive any equipment from the Violence Prevention Project.

59.	Page 41 of the RFA requires Applicant to provide a biographical sketch and position description for each proposed professional staff, each not exceeding one page, within the 35 page Technical Application. We request approval to increase Annex iv. Project Organizational Chart page limit up to 5 pages to allow Applicant to include additional clarification of project roles and responsibilities. USAID Response: The page limit is not increased at this time.
60.	Under <u>Section IV.5.1.3.2.b (Organizational capacity and geographic coverage)</u> (pages 41-42), USAID goes into detail regarding what it is looking for in terms of the organizational capacity of the proposed staffing structure. There is no description of what it is looking for in terms of geographic coverage. Could USAID please clarify? Should this be addressed in Annex vi. rather than the management plan? USAID Response: It is up to applicants to propose or not propose field presence. What USAID is seeking is a “Project Management and Staffing Plan” that would ensure that all field activities will be properly supported by the eventual recipient. This information should be included in the appropriate section of the technical application.
61.	Under <u>Section IV.5.1.3 (Institutional Capacity and Past Performance)</u> (page 42), USAID states that “The Applicant must provide information on past performance in accordance with the table below” and provides a sample. Is this meant to be included in the 35 pages of the Technical Application? If so, please explain what is supposed to be presented in Annex v. (Past Performance Information and Summary Chart)? If the table referenced on page 42 is meant to go in Annex v., should a narrative explanation of the Applicant’s relevant past performance be provided in the Technical Application? USAID Response: In the technical application, applicants must “demonstrate recent and relevant technical and field experience and quality of performance in programs of similar technical content and scope in developing countries.” Applicants can then elaborate and present more information (including the summary chart) in the corresponding Annex.
62.	Can USAID please clarify whether standard forms, certifications, and assurances are expected from only the prime applicant or from other consortium members or partners included in the proposal? USAID Response: Yes, they are expected from the prime applicant
63.	Are other cost documents requested (NICRA, Evidence of Responsibility, Representations and Certifications, etc.) required from the prime only or from proposed subrecipients as well? USAID Response: These documents are required from the prime Recipient only
64.	Under <u>IV.6 (Cost Application Format)</u> (page 44), the cost element breakdown and related information indicates that sub-grants should not exceed \$20 million and Rapid Response Funds should be \$5 million. Given that these maximum levels would exceed 50% of the total budget, would USAID consider allowing Rapid Response Funds to be part of the sub-grant pool in order to enable sufficient funds to be available for the program’s direct activity, operational and security costs? USAID Response: No, the funds remain separate.

65.	What will be the geographic code for this project? USAID Response: The authorized geographic code for procurement of goods and services under this award is 937.
66.	The RFA instructions note that the Past Performance Information and Summary Chart should be included in an annex, but the instructions also call for a past performance section in the technical application. Please clarify whether applicants should include a past performance narrative within the 35 page limit for the technical application. USAID Response: There needs to be a narrative in the 35 page limit.
67.	For financial reporting purposes, will the awardee be required to report according to the cost items on page 44 of the RFA or according to the Standard OMB Cost Categories (the same as those in the SF424A form) listed below, noting that all of the cost elements shown on page 44 will be incorporated and clearly visible in the detailed budget, even if not singled out expressly in the summary version. USAID Response: Please provide the cost elements as described below: a. Personnel b. Fringe Benefits c. Travel d. Equipment e. Supplies f. Subcontracts g. Sub-grants \$20,000,000 h. Rapid Response Fund \$ 5,000,000 i. Construction j. Other Direct Costs k. Total Direct l. Indirect Charges m. TOTAL
68.	Section IV.6 (Cost Application Format p. 45-46): Will USAID please clarify which, if any, of the cost application inputs listed on pages 45 and 46 are required for proposed subcontractors and/or sub-recipients? USAID Response: Individual sub-awards proposed as part of application should include the same cost element break-downs described in the response above, as applicable.
69.	Can USAID please confirm that the \$20 million funding for Sub-Awards is a plug figure and applicants should not budget for a lower sub-grant fund amount? USAID Response: It is expected that the fund numbers are plug figures.

SECTION VI – AWARD ADMINISTRATION INFORMATION	
70.	On page 49 of the RFA USAID indicates that the Recipient should consult with USAID before conducting any sub-contracted evaluations to ensure that planned evaluation efforts will not be duplicated. Does USAID have any planned evaluations at this time that are expected to touch on issues or activities related to the Community Strengthening Project? USAID Response: We do not have any evaluations planned for the CSP at this time; as stated in the Evaluation Section in page 49, USAID may require it.
71.	Under Section VI.5.1.g (Financial Reporting) (page 58) it states “In quarterly financial and accrual reporting, the Recipient will be required to register and report separately on different funding sources contributing to this Project (i.e., Central America Regional Security Initiative –CARSI-, Education Earmark, and/or any other source of funding as applicable).” And under VI.5.1.h (Required Reports for Earmarked Funds) (page 58) it states “Due to earmarked funding, the Recipient shall provide input for required Congressional reports, Operational Plans, and the Annual Performance Plan and Report, as requested by the AOR. Thus, in addition to the requirements above, Education Earmarked funds shall be exclusively used for the purposes indicated the Project Description and as detailed in the Quarterly Reports Section. Financial summaries, including expenditures and pipeline analysis of these funds shall be included in Quarterly Performance Reports.” In order to be able to track and report costs by various funding streams, the budget must be set up by funding stream. Could USAID provide the specific funding streams that the recipient will be required to report on (either amounts or percentages by funding stream)? USAID Response: Please refer to page 19 – “Applicants should note that while CSP’s objectives and expected results focus on citizen security, reflecting that the principle funding source for this agreement will come from the Central American Regional Security Initiative (CARSI) earmark, CSP will also benefit from \$1.6 million from a Basic Education earmark.” At this point, CARSI and the Basic Education Earmark are the only funding streams.
72.	The RFA states (Section VI.5.1.g): “Financial reports will also show the total amount of funds (cash a/o in-kind) leveraged and executed, each quarter and each fiscal year.” It is our understanding that leverage should be reported as part of the quarterly performance reports. This is supported by AAPD 04-16, Public-Private Alliance Guidelines and Collaboration Agreement, which is incorporated into ADS 303.3.27 which states: “To the extent that the contributions are being proposed as “resource leveraging,” ... The benchmarks and timelines must be ... provided for in programmatic reporting at some level.” Therefore, we request that USAID remove the requirement to include leverage in financial reports. USAID Response: The RFA is not referring to the GDA Initiative, which AAPD 04-16 and 303.3.27 refer to. Additionally, if the AAPD is interpreted to apply for this activity, it says on page 9: To the extent that the contributions are being proposed as “resource leveraging,” the solicitation must require that the applicant provide at a minimum: 1) annual benchmarks that include proposed results to be accomplished with the USAID funds and the additional leveraging, and 2) annual timelines that include percentages or amounts depending on the structure of the alliance. Therefore, USAID is not removing the requirement.

73.	Section VI.6 (Value Added Tax, p. 59): Will USAID kindly confirm that the prime recipient will receive USAID support for the clearance of Household Effects and other procurement/equipment that may need to be imported? USAID Response: We cannot confirm the support for clearance of HHE at this time. Regarding the procurement of equipment for the Project, we can confirm support in the Use of IVA exemption forms which are authorized for project related procurement.
74.	Does USAID plan to conduct the baseline, mid-term and final assessments for the Community Strengthening Project through a third-party implementer? USAID Response: Yes, as part of the external impact evaluation (IE), a third-party implementer will conduct data collection for a baseline, mid-term, and final IE report. This IE will focus on impact indicators, not procedural and performance indicators. As part of the M/E plan, the recipient must incorporate its own data collection efforts for the indicators that it intends to use to measure the progress and success of the project.
75.	Section VI.5.1.d (Monitoring and Evaluation Plan and Reports, p. 56): The RFA states that the USAID Guatemala Citizen Security M&E Plan will be provided to the Recipient after award. Will USAID please clarify if this refers to the M&E Plan from USAID/Guatemala's Violence Prevention Program? If so, will USAID please consider providing the USAID Guatemala Citizen Security M&E Plan at this time to allow applicants the opportunity to provide a comprehensive and well aligned draft M&E Plan for the Community Strengthening Project? USAID Response: The USAID Guatemala Citizen Security M&E Plan is the high-level M&E plan that USAID uses to measure the success of its activities. It is based on the results framework for DO1 included in the Mission's CDCS (GuatemalaCDCSEnglish.pdf). http://www.usaid.gov/sites/default/files/documents/1862/GuatemalaCDCS.pdf It is not the VPP M&E plan.
ATTACHMENTS	
76.	Attachment 1. Part II (Key Individual Certification Narcotics Offenses and Drug Trafficking): ADS 206 suggests that key individuals in entities based in "covered countries" (including Guatemala) must complete the "Key Individual" form, but that key individuals from entities based in "other countries" (such as the United States) are not subject to this requirement. As such, it seems that applicants based in the U.S. with key individuals from the U.S. need not submit this certification as part of their application in response to the RFA. Will USAID please confirm this interpretation of ADS 206? USAID Response: Since Guatemala is a covered country, please provide the Key Individual form filled out and signed by Key Individuals even if they are based in the United States.

77.	Attachment 1. Part III (Participant Certification Narcotics Offenses and Drug Trafficking): ADS 206 requires project beneficiaries in "covered countries" (including Guatemala) to complete the Participant Certification Narcotics Offenses and Drug Trafficking form. Will USAID please confirm that applicants should not include completed versions of this form as part of their applications in response to this RFA given that project beneficiaries will not be identified during the application process? USAID Response: We confirm that applicants should not fill out the <i>Participant Certification Narcotics Offenses and Drug Trafficking</i> form with the application. These forms will be filled out once Participants are identified during project implementation under the resulting award.
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LAC-IEE-12-60

ENVIRONMENTAL THRESHOLD DECISION

Activity Location: Guatemala

Activity Title: **Development Objective One:** Greater Security and Justice for Citizens

Activity Number: TBD

Life-of-Activity-Funding: \$94 million

Life-of-Activity: FY 2012 – FY 2016

IEE Prepared by: Lucía Salazar, USAID/Guatemala

Reference Environmental Threshold Decisions (ETD): LAC-IEE-12-47

Recommended Threshold Decision: Categorical Exclusion
Negative Determination with Conditions
Positive Determination (for Cobán judicial compound)

Bureau Threshold Decision: Categorical Exclusion
Negative Determination with Conditions
Positive Determination (for Cobán judicial compound)

Comments:

A **Categorical Exclusion** is issued to DO1 Greater Security and Justice for Citizens activities listed under Section 1.2 in the attached IEE related to technical assistance, training, analyses, studies, and office equipment pursuant to 22CFR216.2(c)(2) as follows:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);

- (iii) Analyses, studies, academic or research workshops and meetings;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.); and

A **Negative Determination with Conditions** is issued to DO1 Greater Security and Justice for Citizens activities 1-3 described under section 2 of the attached IEE..

Upon identification of site-specific actions, the recipient shall develop an Environmental Mitigation Plan (EMP) to be submitted to the Agreement Officer Representative (AOR) for approval by the Mission Environmental Officer (MEO) and Regional Environmental Advisor (REA) prior to implementation (See the following links for guidance on EMP development and implementation)

- o http://transition.usaid.gov/gt/docs/emp_format.pdf (English version)
- o http://transition.usaid.gov/gt/espanol/docs/emp_format_spanish.pdf (Spanish version).

Chapter 2 of USAID LAC Environmental Guidelines for small scale construction (http://transition.usaid.gov/locations/latin_america_caribbean/environment/docs/epiq/epiq.html) will be applied by implementing partners implementing the activities described in section 2 above.

In addition, the implementing partner(s) will comply with host country environmental regulations and obtain all required permits from the appropriate host country officials. In case of conflict between host country and USAID regulations, the more stringent regulations will apply. Performance reporting by the implementing partner shall include a section on environmental compliance.

A **Positive Determination** is issued to the DO1 construction of a judicial compound in Cobán activity. All terms and conditions applied in LAC-IEE-12-47 and previous threshold decisions, and any Environmental Assessment conducted as a result of these decisions will apply, including a Scoping Statement that will be prepared according to 22 CFR 216.3(a)(4) and the Environmental Assessment will be prepared according to 216.6. Both documents will be approved by the BEO before implementation of this sub-activity.

Conditions also include:

Responsibilities

- Each activity manager or **Contracting (or Agreement) Officer Representative (COR/AOR)** is responsible for making sure environmental conditions are met (ADS 204.3.4). In addition, COR/AORs are responsible for ensuring that appropriate environmental guidelines are followed, mitigation measures in the IEE are funded and

implemented, and that adequate monitoring and evaluation protocols are in place to ensure implementation of mitigation measures.

- It is the responsibility of the **Development Objective (SO) Team** to ensure that environmental compliance language from the ETD is added to procurement and obligating documents, such as activity-related Development Objective Grant Agreements (DOAGs), program descriptions, and statements of work.
- The **Mission Environmental Officer** will conduct spot checks to ensure that conditions in the IEE and this ETD are met. These evaluations will review whether guidelines are properly used to implement activities under this ETD in an environmentally sound and sustainable manner according to USAID and applicable U.S. Government policies and regulations.
- The implementing **contractor or partner** will ensure that all activities conducted under this instrument comply with this ETD. Also, through its regular reporting requirements, a section on environmental compliance (e.g. mitigation monitoring results) will be included.

Amendments

- Amendments to Initial Environmental Examinations (IEE) shall be submitted for LAC Bureau Environmental Officer (BEO) approval for any activities not specifically covered in the IEE, which include:
 - Funding level increase beyond ETD amount,
 - Time period extension beyond ETD dates (even for no cost extension),
or
 - A change in the scope of work, such as the use of pesticides or activities subject to Foreign Assistance Act sections 118 and 119 (e.g. procurement of logging equipment), among others.

Victor H. Bullen Date 09-17-2012

Victor H. Bullen
Bureau Environmental Officer
Bureau for Latin America and the Caribbean

Copy to:

Kevin Kelly, Mission Director,
USAID/Guatemala
Nancy Hoffman, DD
Kerry Monaghan-Hogler, DGO,
Jeffrey Lehrer, PPS

Lucia Salazar, PPS
Teresa Robles, MEO

Copy to: Paul Schmidtke, Regional Environmental
Advisor, USAID/El Salvador

Copy to: Nancy Eslick, Julie Ciccarone
LAC/CAM
Eric Kite, LAC/RSD

Copy to: IEE File

Attachment: Initial Environmental Examination

File: LAC.RSD.PUB\RSDPUB\ENV\Reg216\IEE\IEE12\ LAC-IEE-12-60 ETD (GU -
DO1 Greater Security and Justice for Citizens).doc



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INITIAL ENVIRONMENTAL EXAMINATION

Project Location: Guatemala

Project Title: **Development Objective One:** Greater Security and Justice for Citizens

Life-of-Activity Funding: \$94 million

Life-of-Activity: FY 2012-2016 (obligation years)

Reference Threshold Decisions: None

Funding Source: DA and ESF

IEE Prepared by: Lucía Salazar, USAID/Guatemala

Date Prepared: August 2012

Recommended Threshold Decision: -Categorical Exclusion
-Negative Determination with Conditions
-Positive Determination

1. Background and Project Description

1.1 Purpose and Scope

This IEE covers all activities to be implemented under Development Objective 1: Greater Security and Justice for Citizens of USAID/Guatemala Country Development Cooperation Strategy (CDCS).

1.2 Background

USAID/Guatemala Country Development Cooperation Strategy (CDCS) (2012-2016) approved by the Assistant Administrator for the Bureau of Latin America and the Caribbean on March 16, 2012 includes three Development Objectives (DO): DO1: **Greater Security and Justice for Citizens**, DO2: Improved Levels of Economic Growth and Social Development in the Western Highlands, and DO3 Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change. The two Intermediate Results (IR) under DO1 are **IR 1.1: Improved effectiveness and efficiency of security and justice sector institutions (SJSIs)**, and **IR 1.2: Reduced levels of violence in targeted communities at risk**

In accordance with the new Project Design Guidance, a project will generally focus on the IR level or the Development Objective level if it is associated with relatively small levels of resources and/or incorporates highly integrated IRs. Therefore, USAID/Guatemala has defined its projects as follows:

Citizen Security Project: DO1: Greater Security and Justice for Citizens

Agriculture Project: DO2, IR1: Broad Based Economic Growth and Food Security Improved

Health Project: DO2, IR2: Access to and Use of Sustainable Quality Health Care and Nutrition Services Expanded

Education Project: DO2, IR3: Education Quality and Access Improved

Environment Project: DO3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change.

This IEE is for the Citizen Security Project.

Many of the activities to be implemented under this Project will be follow-on to the projects and activities implemented under the Central America and

México (CAM) Strategy under SO1: More Responsive, Transparent Governance.

1.3 Project Description

Activities under this Project will help to establish a capable police force that respects human rights, develop a judicial sector that effectively prosecutes and adjudicates crime, implement crime prevention efforts, and encourage citizens to participate in defining the security agenda.

IR 1.1: Improved Effectiveness and Efficiency of Security and Justice Sector Institutions (SJSIs)

The Project will support the implementation of the National Agreement for the Advancement of Security and Justice, signed by the President, the President of the Supreme Court, the Attorney General, and the President of Congress in April 2009, and the Framework Law of the National Security System. The Agreement provides a framework to guide Government of Guatemala (GOG) efforts to combat crime, illicit trafficking and impunity and to reform the justice and security sector. While not adequately funded, the Agreement represents key GOG security and justice core themes that the Project will help support, including police reform, implementation of security and criminal justice policies, and more efficient administration of justice to combat impunity.

USAID will also provide support for the implementation of the five-year strategic plans of security and justice institutions, including the Public Ministry, the Police Reform Commission, the National Security Council and the Supreme Court, among others. Support to security and justice sector institutions in the implementation of approved legislation and policies will guide institutional strengthening efforts and improvements to inter-institutional coordination – both critical to administrative reforms.

Sub-IR 1.1.1: Strengthened Prosecution and Adjudication of Crime

USAID will address insecurity and impunity through strengthening the prosecution and adjudication of crime. Illustrative crimes on which USAID will focus under this sub-IR include homicide, violence against women (including domestic violence), trafficking in persons, human rights violations committed during the armed conflict, environmental crimes and corruption.

Potential illustrative activities include:

- Strengthening the Public Ministry Analysis Unit; providing prosecutorial and judicial services in target geographic areas;
- Supporting the Model Criminal Trial Court; providing assistance to 24-hour and high impact courts, the Prosecutor's Office of Crimes against Life and Judicial School services; treatment and attention to victims and witnesses; improving the case management system;
- Training courts of peace personnel; and
- Introducing models of alternative dispute resolution.
- The Project will also continue supporting the application of the Law against Femicide and Other Forms of Violence against Women into the process of judicial reform and access to justice, incorporating a gender focus into the analysis and construction of reformed institutions. Increasingly, violence against women is treated as criminal rather than as a private "cultural" matter, thus fostering a more receptive environment for judicial reform with respect to gender-based crimes.
- In order to improve the investigation, prosecution, and adjudication of homicides and other serious crimes, the Project will foster leadership and coordination, and enhance the integrity of the justice and security sector.
- Assistance to the prosecution of paradigmatic transitional justice cases of human rights violations committed during the 36-year internal conflict. However, assistance for exhumations of the remains of victims will be phased out over the course of the Project.

Sub-IR 1.1.2: Improved Management, Administration and Coordination among SJSIs

In order to strengthen the provision of security and justice, the Project will support the improvement of civilian management, leadership, oversight, planning, inter-institutional coordination and budgeting capacities in targeted institutions. This sub-IR will promote the adoption or the improvement of management systems.

Civil service reform that strengthens the human resource base is essential to the improved efficiency and effectiveness of GOG institutions. Advocacy for a reform of the Civil Service Law will be the first step. If the reforms to the existing law were to be passed, the Project would target executive institutions for implementation, such as the Ministry of Governance, to maintain the focus on security. Assistance is not envisioned as a means of reforming the civil service overall, but rather as a way of supporting discrete activities that lay the groundwork for future efforts to promote transparency and accountability in select

GOG institutions. The Project will support the design of merit-based systems, recruitment and retention of civil service employees. USAID will complement civil service reform efforts supported by the IDB and build on lessons learned in USAID programming to implement a judicial career in the Public Ministry and in the Supreme Court.

Potential illustrative activities include, but not are limited to:

- Establishment of an adequate career path for the police through strengthening human resources and employee benefits systems to include career development, continuing education, and incentives and benefits packages for employees of SJSIs and their families.
- Provide maintenance of services and infrastructure in key SJSIs (i.e., communications software and hardware, vehicles, and databases), information technology, inventories, internal audits, and internal inspectorates.
- Support the implementation of the strategic plans for SJSIs, including those of the Public Ministry, the Police Reform Commission, the National Security Council, and the Supreme Court. Examples of strategic foci include, but will not be limited to institutional development, public confidence and outreach, strategic criminal prosecution for greater impact and efficiency, and inter-institutional coordination among the PNC, courts, forensic services, and public defenders.
- Promotion of coordination mechanisms, including, but not limited to, interagency working groups and interagency trainings for the enhancement of cooperation among key institutions that is vital to improving the effectiveness of SJSIs.
- Provide assistance to support elections and political party processes, through focusing its limited assistance in this area on the reform and implementation of the Electoral and Political Parties Law to ensure adherence to campaign finance regulations and reduce the influence of illegal actors in political campaigns.
- The Project will also support the construction of a judicial compound in Cobán, Alta Verapaz which will house judges, prosecutors, police, and potential witnesses involved in high-profile cases.

Sub-IR 1.1.3: Strengthened Accountability and Transparency of Key SJSIs

This sub-IR will include activities to strengthen government institutions, systems, and policy and legal frameworks in order to improve security and transparency. The Project will support discrete activities to strengthen targeted Congressional Commissions to improve their oversight capacity as well as activities to strengthen the overall functioning of Congress, such as the rules of procedure.

The Project will promote transparency in select government institutions including the nominating processes of key officials of SJSIs. USAID will also support implementation of quality management systems.

Potential illustrative activities will include, but not be limited to:

- Assisting in the decentralization of financial management and strategic planning in SJSIs, using the standards set by Ministry of Finance and International Organization for Standardization (ISO).
- Support transparency and accountability efforts, especially as related to the implementation of the Freedom of Information Law in SJSIs.
- Strengthen local government's capacity and systems to deliver basic services, strengthen national associations of municipalities, and civil society participation in decision-making via the Municipal Development Councils¹.

B. IR 1.2: Reduced Levels of Violence in Targeted Communities At Risk

Through partnerships with the GOG, local governments, civil society organizations, and the private sector, as well as support from other USG agencies and donors, the Project will target both urban areas facing crime problems and vulnerable rural and border communities with a high incidence of drug trafficking. Targeted geographic areas will include GOG and USG priorities in which there are high crime rates, government interest, and capacity to leverage stakeholder resources.

Sub-IR 1.2.1: Vulnerability of At-Risk Youth to Gangs and Drug Trafficking Organizations (DTOs) Decreased

The Project will work to support youth living in high crime urban areas to acquire academic and vocational skills in coordination with vocational training activities to be implemented under DO2. This sub-IR will facilitate sustainable

¹The Development Council System in Guatemala is a public investment and planning system established in Guatemala in 1987 and reformed in 2002 by the Urban and Rural Development Council Law. The reformed system offers one of the most progressive uses of citizen participation in public administration, planning and investment in all of Latin America.

interventions for at-risk youth by working with the private sector, local officials and civil society to develop partnerships and promote alternatives to gangs. Outreach facilities and activities in selected marginal urban areas will be expanded and improved to provide “safe spaces” for at-risk youth that will provide educational, cultural and recreational opportunities to motivate youth to stay out of gangs. Activities at these facilities will be developed and implemented by youth to promote ownership and involvement.

Potential illustrative activities will be:

- Strengthen local governments and civil society organizations to reduce the vulnerability of at-risk-youth to gangs and organized crime.
- Support community level stakeholders, including local government officials and police to develop and implement local crime prevention plans, since working at the local level is crucial to reducing levels of violence and crime, as stronger connection and trust between communities and the local government institutions responsible for preventing crime leads to greater cooperation in addressing root causes of violence and crime at the community level.
- Promote coordination with national actors such as the Ministries of Interior and Education, the National Association of Mayors (ANAM), the Planning Secretariat (SEGEPLAN) and others will also be critical to the sustainability of local level efforts.

Activities under this sub-IR will be mainly financed with CARSI funds.

Sub-IR 1.2.2: Trust between Police and Community in Target Areas Improved

This sub-IR, the Project will support the expansion of community-oriented policing activities in high-crime metropolitan areas. In addition, this sub-IR will assist: 1) citizens, Municipal Development Councils and businesses in assessing, prioritizing and devising wise solutions to security concerns and advocating for their security needs; 2) the police in actively supporting the communities in which they serve; and 3) government officials in pushing for security reforms. These efforts are intended to galvanize civil society and private sector partners to push for police reform and enforcement.

All Project interventions in this sector are strictly advisory and not operational. All implementation will be carried out by the Ministry of Government, the National Civil Police and Guatemalan civil society organizations, and will be funded primarily with CARSI resources.

Sub-IR 1.2.3: Civic Responsibility Increased

This sub-IR will include activities to enhance societal involvement and engagement in supporting rule of law, peaceful coexistence, public service and responsibility. The focus will be at the local level, with youth as the main target audience.

Civic responsibility activities will be piloted in target communities and will solicit innovative proposals. The sub-IR will complement crime prevention efforts and build upon citizenship efforts undertaken by the Ministry of Education. An important component of these efforts is taking a whole-of-government approach. To do this, the Project will work with the Embassy Public Affairs Office and other USG agencies to develop a Mission-wide communications and diplomatic strategy that includes civic responsibility at the local level in an array of USG activities.

Furthermore, USAID Guatemala's local governance activities will continue to increase public awareness of gender equality so that more women are empowered to increase their political and civic participation. USAID will promote the participation of women in the design of local economic development plans for their municipalities, as well as in municipal commissions related to health, nutrition, water and food security.

The Project contemplates assistance under this sub-IR through a variety of innovative interventions with youth, as well as with key community opinion leaders, such as teachers, church leaders, local authorities, and the private sector. DO 1 may also support community-level peace-building activities, psycho-social group therapy, art for social change and the formation of community-developed plans of actions to promote responsible citizenship. In conjunction with the private sector and faith-based organizations, USAID Guatemala may also support local initiatives that promote volunteerism (i.e. Roof for My Country—an effort similar to Habitat for Humanity) and exceptional community citizen service awards.

This approach will support the population's engagement in the public process, create respect for the rule of law and contribute to social cohesion. An essential part of promoting public participation and creating sustainable, long-term change will be fostering the support and commitment of local leaders, government officials, political parties, youth groups, business and civil society, including faith-based organizations and leaders of formal and informal educational institutions.

Activities promoting civic responsibility will be focused at the community level in high-crime areas and will reinforce CARSI programming and objectives.

Potential illustrative activities will be:

- Complement crime prevention efforts and build upon citizenship efforts undertaken by the Ministry of Education.
- Work with the Embassy Public Affairs Office and other USG agencies to develop a Mission-wide communications and diplomatic strategy that includes civic responsibility at the local level in an array of USG activities.
- Increase public awareness of gender equity, so that more women are empowered to increase their political and civic participation.
- Support community-level peace-building activities, psycho-social group therapy, art for social change and the formation of community-developed plans of actions to promote responsible citizenship.
- Promote women's participation in the design of local economic development plans for their municipalities, as well as in municipal commissions related to health, nutrition, and water and food security.
- Support local initiatives that promote volunteerism (i.e. Roof for My Country—an effort similar to Habitat for Humanity) and exceptional community citizen service awards, in conjunction with the private sector and faith-based organizations.

1.4 Locations Affected

The activities to be implemented under this Project will, in general, not have any major impacts or affect the ecosystems. Therefore, no baseline information is hereby provided.

1.5 Applicable Environmental Policies, Procedures or Regulations

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) 201.3.11b and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities.

The implementing partners under this Project will adopt appropriate environmental safeguards for all activities and comply with host country environmental regulations unless otherwise directed in writing by USAID, including Guatemalan Congress Decrees Nos. 68-86 (Environment Protection and Improvement Law). In case of conflict between host country and USAID regulations, the latter shall govern.

2. Evaluation of environmental impact potential

The following activities have been identified as having potential minor environmental impacts as described below:

1. Exhumation of clandestine mass graves in order for relatives of the disappeared to recuperate the remains of their missing family members and to proceed with burials in accordance with their beliefs, and enable criminal prosecutions to be brought against the perpetrators. These activities would have a limited environmental impact of removing top soil generating minor erosion and produce health hazards and contamination that should be mitigated on site.
3. Small scale construction, renovation and furnishing of office space occupied by government offices including criminal courts, the Public Ministry, National Civilian Police stations and other public service and civil society offices that work on justice and security related issues. Small-scale infrastructure construction and renovation and refurbishing, have the possibility of generating solid waste, creating minor soil erosion and exposing workers to health hazards,
3. Infrastructure activities related to improving the safety of select communities in high crime areas also have the potential environmental impacts of generating solid waste, creating minor soil erosion and exposing workers and communities' members to health hazards.
4. Construction of a judicial compound in Cobán, Alta Verapaz. This construction is covered under LAC-IEE-12-47 and previously authorized reference IEEs and ETDs. The Environmental Assessment will be completed using funds authorized under these previous threshold decisions; and terms and conditions of the EA will apply to funds authorized under this IEE, should funds from FY2012 or beyond be applied to this activity.

3. Recommended Threshold Decisions and Mitigation Actions

A **Categorical Exclusion** is recommended for activities listed under Section 1.2 above related to technical assistance, training, analyses, studies, and office equipment pursuant to 22CFR216.2(c)(2) as follows:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (iii) Analyses, studies, academic or research workshops and meetings;
- (xiv) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.); and

A **Negative Determination with Conditions** is recommended for the activities 1-3 described under section 2 above.

Upon identification of site-specific actions, the recipient shall develop an Environmental Mitigation Plan (EMP) to be submitted to the Agreement Officer Representative (AOR) for approval by the Mission Environmental Officer (MEO) and Regional Environmental Advisor (REA) prior to implementation (See the following links for guidance on EMP development and implementation)

- o http://transition.usaid.gov/gt/docs/emp_format.pdf (English version)
- o http://transition.usaid.gov/gt/espanol/docs/emp_format_spanish.pdf (Spanish version).

Chapter 2 of USAID LAC Environmental Guidelines for small scale construction (http://transition.usaid.gov/locations/latin_america_caribbean/environment/docs/epiq/epiq.html) will be applied by implementing partners implementing the activities described in section 2 above.

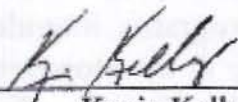
In addition, the implementing partner(s) will comply with host country environmental regulations and obtain all required permits from the appropriate host country officials. In case of conflict between host country and USAID regulations, the more stringent regulations will apply. Performance reporting by the implementing partner shall include a section on environmental compliance.

A **Positive Determination** for the construction of a judicial compound in Cobán. All terms and conditions applied in LAC-IEE-12-47 and previous threshold decisions, and any Environmental Assessment conducted as a result of these decisions will apply, including a Scoping Statement that will be prepared

according to 22 CFR 216.3(a)(4) and the Environmental Assessment will be prepared according to 216.6. Both documents will be approved by the BEO before implementation of this sub-activity.

USAID/Guatemala hereby recommends that the LAC Bureau Environmental Officer concurs with the recommendations included in this IEE.

Concurrence:



Kevin Kelly
Mission Director

Date:

09/10/2012

Concurrence:

Kevin Kelly
Mission Director

Date: