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FROM THE AMERICAN PEOPLE

March 28, 2014

**Subject: USAID/GUATEMALA Annual Program Statement (APS)
Amendment No. 2**
**Title: Guatemalan Citizen Security Partnership Program (GCSP)
APS-520-14-000001**

Dear Applicants:

This Amendment No. 2 to subject APS is hereby issued to make the following changes and/or to provide information to all interested parties:

1. Section I. FUNDING OPPORTUNITY INFORMATION, page 5 first paragraph and wherever else it appears delete the name "Citizen Security Annual Program Statement" and replace it with "Guatemalan Citizen Security Partnership Program".
2. List of questions and responses received from all interested organizations during the question and answer period stated in the APS (See Annex A);
3. All the documents distributed during the meeting held in Casa Ariana on March 6, 2014 (See Annex B); and
4. Guatemala Country Development Cooperation Strategy 2012-2016. (See Annex C).

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

Sincerely,

Dion L. Glisan
Agreement Officer



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LISTADO DE PREGUNTAS Y RESPUESTAS RECIBIDAS EN RESPUESTA AL APS-520-14-000001

Para conocer el marco general bajo el cual se ubica este APS, conozca la estrategia de país de USAID en Guatemala en el Anexo C adjunto a este documento.

La fecha límite para recibir preguntas fue el 21 de Marzo, 2014. En caso que cualquier organización tenga preguntas adicionales, por favor revisar este documento en detalle para confirmar si sus preguntas fueron respondidas a través de esta Enmienda No. 2. NO se responderán preguntas recibidas después de la publicación de esta Enmienda.

Preguntas y Respuestas Técnicas - Área Geográfica

1. ¿Existe un número específico de municipalidades o áreas en las que existe más interés?
2. Las áreas geográficas que se plantean o interesan son las áreas con mayor incidencia de delitos; eso significa que pueden ser áreas indígenas con problemas de trata, violencia intrafamiliar y violencia contra la mujer ¿o se prefiere áreas urbanas con alto índice de violencia homicida y extorsión?
3. ¿Existe alguna región o área geográfica en particular en la que se dará énfasis? (Siempre en Zonas urbanas) Por ejemplo: En el altiplano occidental o en el centro del país (capital, Mixco, Villa Nueva) –Esto está planteado en el CDO para Guatemala 2012 – 2016 de USAID.
4. Por favor mencionar las áreas geográficas.
5. ¿Pueden volver a mencionar las áreas geográficas?
6. Área Geográfica: ¿Existe prioridad en municipios, Departamentos previamente identificados por USAID?

Respuesta a Preguntas 1-6:

No existe un número específico de municipalidades que USAID requiera sean intervenidas por una organización aplicante.

Respecto a las áreas geográficas de interés, en la página 7 del APS, USAID estableció que *“Recibirán preferencia las solicitudes que se enfoquen en áreas urbanas, con altas tasas de crimen, o conflictos emergentes que pueden incrementar el crimen y/o violencia”*. Esto quiere decir que si una propuesta va a abordar el tema de crimen y la violencia con la que viene acompañada, tiene sentido que la intervención se haga en las áreas donde más se registran estos fenómenos, que son las zonas urbanas.

Sin embargo, las organizaciones aplicantes pueden elegir trabajar en temas priorizados por USAID que no necesariamente se relacionan con la violencia que se genera en los espacios urbanos. Por lo tanto, la aplicación debe justificar la relación entre el tema elegido con el área geográfica seleccionada, por ejemplo, violencia contra la mujer.

La organización aplicante debe usar información respaldada y evidencia verificable que le permita a USAID entender las razones que tiene la organización para proponer una intervención en determinado lugar.

7. ¿Se van a mantener las mismas áreas de prioridad que actualmente ejecutan otros proyectos como RTI, ICMA?

Respuesta: Las áreas de intervención geográficas pueden ser las mismas donde ya existen intervenciones apoyadas con fondos del Gobierno de los Estados Unidos de América o pueden cambiar, dependiendo del comportamiento del fenómeno de la violencia o de la temática que la organización aplicante desee abordar. Las propuestas deben justificar su enfoque geográfico, contemplando la sostenibilidad de los procesos en el tiempo y lugar.

Preguntas y Respuestas Técnicas - Otras Temas

8. ¿USAID ya tiene antecedentes de éxito con jóvenes en prevención de violencia?

Respuesta: Sí. USAID, a través del Proyecto de Prevención de la Violencia (VPP, por sus siglas en inglés) y otras iniciativas de corto plazo, ha apoyado iniciativas de trabajo con jóvenes en situación de riesgo que han dado resultados positivos y/o tienen potencial de éxito. El siguiente link le llevará al sitio del Proyecto VPP que contiene mayor información sobre este proyecto.

<http://www.prevencionguatemala.org/usaidd/index.php/en/>

<http://www.prevencionguatemala.org/usaidd/index.php/es>

9. ¿Hay una prioridad para USAID en relación a los tipos de violencia que debemos enfocar? Violencia intrafamiliar, Pandillas, Trata de Personas u Homicidios
10. ¿Cómo conciben las calles seguras? ¿O lo decide la comunidad?

Respuesta a Preguntas 9 y 10: El APS es un llamado para que las organizaciones locales puedan desarrollar propuestas desde sus fortalezas y conocimiento de los problemas y que encuentren bajo los temas que son de interés para USAID. En la Sección de *Antecedentes*, página 5 del APS se indica que *“USAID desea ayudar a los países a desarrollar una sociedad civil y sector privado vibrantes, porque los implementadores locales tienen el único contexto y habilidades específicas, en términos de conocimientos y entendimiento de cómo trabaja el desarrollo en sus países”*.

11. APS habla de “reducción de niveles de violencia en comunidades prioritarias” Ejemplo de indicadores que se están considerando.

Respuesta: Un Plan de Monitoreo y Evaluación debería buscar un balance entre: a) obtener información confiable y oportuna que permita medir el progreso de las actividades; y, b) asegurar la obtención de los resultados del Proyecto donde haya una relación proporcional entre costo-beneficio. Por lo tanto, USAID/Guatemala invita a que las organizaciones que apliquen, diseñen indicadores de desempeño e impacto que permitan medir las actividades en relación a los resultados propuestos y al marco lógico del proyecto.

12. ¿Todas las aplicaciones (en concepto) deben incluir todos los ejes transversales?

Respuesta: Sí, es correcto. Unos ejes transversales permiten analizar el problema y otros ejes permitirán priorizar, justificar y delimitar las estrategias de intervención.

13. ¿Se puede definir que lo contrario a la inseguridad es la convivencia?

Respuesta: En la página 7 del APS, bajo el eje transversal *Análisis Detallado y Teoría de Cambio* se establece que *“Se deberán especificar y describir los modelos conceptuales o teorías de cambio que sustenten el abordaje propuesto en la solicitud”*. Por lo tanto, la organización aplicante debe definir y justificar los conceptos y metodologías que elijan.

14. ¿Se aprobarán proyectos que articulen la Seguridad y la Justicia?

15. ¿Se puede abarcar más de un tema para elaborar propuesta?

Respuesta a las Preguntas 14 y 15: El APS no limita el número de temas que se quieran abordar en una aplicación. USAID evaluará toda aplicación que responda a los criterios técnicos y requisitos formales indicados en el APS. Se exhorta a los interesados el observar los temas, ejes transversales y principios contenidos en el APS, así como la exploración de alianzas y sociedades mencionadas en el mismo, Sección I, páginas 5-9.

16. ¿Podrían explicar un poco más el término “Mayor Responsabilidad Cívica”?

Respuesta: La página 6 del APS, define “*Mayor Responsabilidad Ciudadana/Civic Responsibility*” como: *promoviendo el compromiso ciudadano activo y servicio comunitario relacionado con la prevención de la violencia y crimen. Promoviendo prácticas de prevención de crimen en los gobiernos locales o en el nacional o monitoreando los esfuerzos existentes...*”. Esta definición puede servir de marco general a las organizaciones aplicantes. Se reitera que son las mismas comunidades y las organizaciones aplicantes las que mejor saben los problemas que quieren atender y la forma de hacerlo.

17. En caso USAID ya tenga apoyo y/ financiamiento en proyecto similar al que se piensa proponer en una región, ¿es factible presentar uno nuevo? Por ejemplo, se tiene entendido que apoyan OBSERVATORIOS DE JUSTICIA, OBSERVATORIOS POR LA INTEGRIDAD, nuestra propuesta va para los OBSERVATORIOS CIUDADANOS PARA LA PAZ, aunque no conocemos a ciencia cierta quienes están apoyados por USAID, nos agradecería coordinar.

Respuesta: Sí, siempre que no dupliquen los esfuerzos y cumplan con los requisitos técnicos y formales establecidos en el APS.

Preguntas y Respuestas sobre Experiencia Previa (Past Performance)

18. ¿Pueden aplicar a esta convocatoria las organizaciones sin experiencia?

19. Ampliar sobre instituciones que no cuenten con historia de experiencia previa / teniendo proyectos innovadores de Prevención de Violencia basada en género y violencia intrafamiliar, entre otros.

Respuesta a las Preguntas 18 y 19 Ver Sección IV, B.3. (c) Desempeño Previo, página No. 15 del APS, que indica lo siguiente: “Las organizaciones que carecen de historial de desempeño previo relevante se les asignará una calificación neutral bajo el criterio de desempeño previo, con el propósito de no premiar o penalizar a dichas

organizaciones”. Por tanto, sí pueden aplicar todas aquellas organizaciones que no tengan experiencia previa.

20. ¿Podrían indicar si existe alguna condición con organizaciones que están iniciando actividades.

Respuesta: Todas aquellas organizaciones que cumplan con los requisitos descritos en el APS en la Sección III, página No. 10 titulada Información de Elegibilidad, pueden aplicar a esta convocatoria.

Preguntas y Respuestas sobre Forma de Aplicación (Organización Individual vs. Consorcios)

21. ¿sólo en alianza o consorcios se puede hacer propuesta, o puede sólo una organización hacer la propuesta?

22. Si hay más de un proyecto que sea similar: ¿Pueden crearse alianzas entre ellos, si ambos están por debajo del límite de presupuesto?

23. ¿Qué importancia tiene ir solo o en consorcio?

24. ¿El proyecto puede presentarse en consorcio con otras organizaciones o es mejor que haya una solamente como responsable?

Respuesta a las Preguntas 21-24: Para efectos de este APS, solo una entidad (y no varias) será la organización responsable de presentar la aplicación en concepto y de establecer la relación contractual con USAID/Guatemala. Queda a discreción de las organizaciones la formación de alianzas, consorcios, sub-convenios, para implementar los proyectos.

Preguntas y Respuestas sobre Administración y Finanzas

25. ¿Se pueden presentar varias propuestas por una misma Organización?

Respuesta: No existe ninguna limitante para que una misma organización presente varias aplicaciones en concepto, media vez cumpla con los requisitos descritos en el APS. Se deja a discreción de los interesados evaluar su capacidad organizativa respecto a las propuestas presentadas.

26. ¿Cuál es el monto máximo que puede solicitar una Fundación?

27. ¿Qué porcentaje de financiamiento ofrecen a la hora de ganar la aplicación del proyecto?

Respuesta a las Preguntas 26-27: Ver Sección II, inciso C, página No. 9 del APS.

Las aplicaciones se pueden presentar por un monto no menor de US\$50,000 ni mayor de US\$500,000.

28. ¿Podemos aplicar si ya tenemos un convenio con el Gobierno Federal de USA para este año 2014 por USD\$100,000?

Respuesta: Sí, siempre que se cumpla con los criterios de elegibilidad.

29. ¿Hay obligación de contra partida?

Respuesta: Este APS no solicita contrapartida a las organizaciones que apliquen a la convocatoria.

30. ¿Hay rubros presupuestarios que USAID no contemplará en las propuestas (seguros, imprevistos, salarios, honorarios, otros)?

Respuesta: El Gobierno de los Estados Unidos prohíbe la compra y el pago de los siguientes bienes y servicios con sus fondos:

- **Equipo militar**
- **Equipo de vigilancia**
- **Bienes y servicios para el apoyo de la policía y otras actividades relacionadas con el ejercicio de la ley**
- **Equipo y servicios para abortos**
- **Bienes considerados de lujo y equipo para apuestas**

El Gobierno de los Estados Unidos requiere la aprobación por escrito del Oficial de Convenios de USAID/Guatemala para la compra de los siguientes bienes e insumos:

- **Insumos para agricultura**
- **Vehículos**
- **Productos farmacéuticos**
- **Pesticidas**
- **Equipo usado**
- **Fertilizantes**

31. ¿Tiene tasas fijas para costos indirectos, gastos de contrapartida, gastos administrativos?

Respuesta: El Gobierno de Estados Unidos no acepta tasas de ningún tipo para los costos indirectos con organizaciones locales. Sin embargo, todo costo que

tradicionalmente se incluye en un porcentaje de costos indirectos, se podría aceptar como costo directo y no como un porcentaje.

32. ¿El presupuesto tiene alguna forma de distribución o techos presupuestarios en el desglose?

Respuesta: El anexo A del APS muestra el formato de presupuesto que debe utilizarse en la presentación de aplicaciones en concepto. No existe un techo por línea presupuestaria; sin embargo, USAID/Guatemala espera que los fondos del proyecto contribuyan a los resultados y no al pago de los costos administrativos del mismo.

33. ¿Se aceptaría una aplicación de \$500K con duración de 12 o 18 meses?

Respuesta: Sí se podría, sujeto a la disponibilidad de fondos.

Preguntas y Respuestas sobre Registro de las Organizaciones

34. ¿Se necesita inscribir a la organización en la página SAM?

35. Tenemos ya el DUNS pero quisiera saber si es necesario registrarse en SAM?

Respuesta a Preguntas 34 y 35: Para efectos de presentar la aplicación en concepto este requisito no aplica. Este es un requisito que aplica a organizaciones a las que USAID/Guatemala solicitará una aplicación formal.

36. ¿Se necesita tener un DUNS?

Respuesta: Para efectos de presentar la aplicación en concepto, no es necesario que la organización tramite un DUNS. Este es un requisito que aplica a organizaciones a las que USAID/Guatemala solicitará una aplicación formal.

37. ¿Tenemos que registrarnos para poder solicitar?

Respuesta: Si la organización decide presentar su aplicación utilizando el sitio web grants.gov, sí es necesario que se registre en el mismo. Las instrucciones para el registro en grants.gov se encuentran como Anexo C del APS. De lo contrario, las organizaciones pueden enviar sus aplicaciones en conceptos a la siguiente dirección de correo electrónico: Guatemalaproposals@usaid.gov y/ cvillegas@usaid.gov.

Preguntas y Respuestas sobre Formatos de Presentación de Aplicaciones en Concepto y Aplicaciones Formales

38. La presentación de proyecto, ¿se presenta digital o hay reunión para presentar propuesta?

Respuesta: Las instrucciones para la presentación de aplicaciones en concepto se encuentran en la Sección IV, página No. 11. No habrá ninguna reunión para la presentación de aplicaciones en concepto y las mismas deben enviarse en forma electrónica.

39. ¿Habría algún formato para hacer las aplicaciones?

Respuesta: El formato para la presentación de aplicaciones en concepto se encuentra en el APS como Anexo A y las instrucciones de cómo llenarlo se encuentran en la Sección IV, págs. 12-15. Esta Enmienda No. 2 del APS incluye una traducción de la información acerca de esta oportunidad de financiamiento y del formato de solicitud de aplicación en concepto.

40. ¿La propuesta debe presentarse completa o solamente un perfil al 30 de abril 2014?

Respuesta: Ver Sección IV, inciso A, página No. 11. El 30 de abril de 2014 a las 10:00 A.M es la fecha y hora límite para recibir las aplicaciones en concepto de la primera ronda únicamente.

41. ¿Cuántas organizaciones podrán ser seleccionadas?

Respuesta: Este APS no establece número de organizaciones sino número de convenios. Se adjudicarán un total máximo de 4 convenios bajo este APS, ver Sección II, inciso C, página No. 9 del APS.

Preguntas y Respuestas sobre Elegibilidad

42. Nuestra organización está registrada como Fundación a nivel local, aunque pertenece a una organización internacional, trabaja de forma independiente en el país y tanto la Junta Directiva, Representante Legal y Senior Staff son guatemaltecos. No estamos registrados ni como branch o subsidiaria. ¿Es elegible la Organización para participar?

Respuesta: Debido a que cada organización es diferente, todas aquellas organizaciones interesadas en participar deben consultar la Sección III del APS y decidir con base a los criterios de elegibilidad establecidos en dicha sección, si pueden aplicar a esta convocatoria. Es responsabilidad de las organizaciones el tomar esa decisión.

43. La organización que ya presentó propuesta “concepto” y por alguna razón no fue elegida, ¿puede volver a someter concepto en octubre con los cambios pertinentes?

Respuesta: La Sección VI. A.3. pág. 29 del APS indica que la segunda ronda para presentar aplicaciones en concepto está sujeta a disponibilidad de fondos. Si se diera la segunda ronda, sí es factible que una organización pueda presentar nuevamente su aplicación en concepto.

44. Una organización subcontratista de Programa de Monitoreo y Evaluación de USAID, ¿puede presentar propuestas?

Respuesta: Si la organización subcontratista cumple con los requisitos de elegibilidad descritos en la Sección III del APS, sí puede presentar su aplicación en concepto.

45. Si el representante legal no es guatemalteco (a), pero todos los demás sí lo son, ¿se puede participar?

Respuesta: Si la organización cumple con los requisitos de elegibilidad descritos en la Sección III del APS, sí puede presentar aplicación en concepto.

46. ¿Pueden las Instituciones autónomas del Estado aplicar a la propuesta de APS?

47. ¿Las propuestas pueden hacerse desde la Municipalidad? Ej. Coordinador de la Oficina de Seguridad Ciudadana de la Municipalidad.

Respuesta a las Preguntas 46 y 47: No; este APS está dirigido a organizaciones de sociedad civil.

48. ¿Puede una Mancomunidad presentar una aplicación?

Respuesta: Debido a que cada organización es diferente, todas aquellas organizaciones interesadas en participar deben consultar la Sección III del APS y decidir con base a los criterios de elegibilidad establecidos en dicha sección, si pueden aplicar a esta convocatoria. Es responsabilidad de las organizaciones el tomar esa decisión.

49. ¿Pueden participar en el proceso organizaciones legalmente inscritas en Guatemala, pero que es filial de una organización en el extranjero?

Respuesta: Con base a los criterios de elegibilidad descritos en la Sección III del APS, todas las sucursales o filiales de organizaciones extranjeras no están consideradas como organizaciones locales, por lo que no pueden aplicar.

50. ¿Puede ser sub-contratista una ONG EEUU (como RTI International) para apoyar en Administración de Normas USAID (compliance) y apoyar en desarrollo de Alianzas público-privados

Respuesta: Sí es posible que una organización extranjera pueda formar alianzas, consorcios, etc. con las organizaciones locales y queda a discreción de estas organizaciones locales los mecanismos y términos para la formación de dichas alianzas. Debido a que esta oportunidad de proyecto está dirigido específicamente a organizaciones locales, la preferencia de USAID es que éstas organizaciones sean quienes implementen la mayor parte de actividades y presupuesto.

Preguntas y Respuestas sobre Otros Temas

51. ¿Existe restricción de gestión de fondos por duplicidad de donantes?

Respuesta: Solicitamos a la organización que realizó esta pregunta que aclare con más detalle la misma a la dirección: guatemalaproposals@usaid.gov a más tardar el 4 de Abril. La respuesta se incluirá en una enmienda al APS.

52. ¿Debe plantearse una propuesta exclusiva para USAID/Guatemala, o puede ser un complemento a un proyecto actual?

Respuesta: Sí se podría, siempre y cuando cumpla con los requisitos de este APS.

53. ¿Cómo define USAID otorgar una donación y un convenio de cooperación?

54. ¿Cómo se determinará el tipo de convenio que USAID aplicará?

Respuesta: Ver Sección V.C. página No. 27 del APS. La Oficial de Convenios de USAID/Guatemala hace la determinación final acerca del tipo de convenio a suscribir en base a la capacidad administrativa y financiera de la organización seleccionada, el nivel de involucramiento que se requiera de parte de USAID/Guatemala en la ejecución del proyecto, la naturaleza de las actividades propuestas y el presupuesto.

Previo a la suscripción de convenios, USAID/Guatemala realizará un ejercicio de revisión de las capacidades de administración financiera, la existencia e implementación de políticas de gastos, de personal, de compras y de inventarios, entre otros, de las organizaciones seleccionadas. En caso de encontrar deficiencias, podrían establecerse “condiciones especiales” o requerimientos adicionales para corregir los hallazgos con el apoyo de USAID/Guatemala. El proceso de esta revisión se realiza en coordinación con las organizaciones seleccionadas.

55. ¿El convenio o donación se ejecutará directamente con USAID o habrá una institución intermediaria?

Respuesta: Los convenios de donación y/o cooperación resultantes de este APS se ejecutarán directamente con USAID/Guatemala. No habrá instituciones intermediarias.

56. ¿En qué fecha deben iniciar los programas su ejecución en el campo?

Respuesta: Los convenios de donación y/o cooperación resultantes entrarán en vigencia a partir de la fecha en que la Oficial de Convenios de USAID/Guatemala los firme. Se estima que la fecha de firma de convenios resultantes de la primera ronda será aproximadamente en el mes de Septiembre 2014.

57. ¿Concluido el término del convenio o donación, existe la posibilidad de ampliación?

Respuesta: Dependerá de la disponibilidad de fondos y otros factores internos en USAID.

58. Hemos trabajado ya con USAID por medio de RTI y en términos generales y quisiéramos saber si la dinámica de informes es la misma. ¿Se presentan informes mensuales? ¿Estos informes se presentan en español o inglés?

59. ¿Trabajan por medio de reembolso o dan los desembolsos anualmente?

60. Si pensamos en equipamiento, ¿podríamos pensar en donarlo a los grupos beneficiarios o habría que esperar al final del proyecto y obtener una autorización de USAID?

Respuesta a las Preguntas 57-59: Los detalles de presentación de informes técnicos y/o financieros, método de pago y disposición de equipo y otros asuntos administrativos se negociarán según la naturaleza del proyecto seleccionado.

El idioma oficial de USAID es el Inglés.

61. ¿La nota conceptual se puede enviar a este correo: guatemalaproposals@usaid.gov?

Respuesta: Correcto.

61. Tenemos dos dudas respecto a dos incisos de la guía de solicitud para el APS-520-14-000001, Programa de Apoyo a la Seguridad ciudadana de Guatemala, específicamente al

Formulario SF 424. En los incisos 16 y 19, no sabemos exactamente sobre cual posible respuesta colocar, son dos incisos obligatorios por rellenas.

Respuesta: Esta pregunta está relacionada a cómo llenar dos Casillas del Formulario SF 424. No es necesario que entreguen este formulario con la propuesta en concepto. El mismo sí es un requisito para aquellas organizaciones cuyas propuestas en concepto hayan sido evaluadas favorablemente y a quienes se les solicitará una propuesta formal. Todas las organizaciones interesadas en presentar una propuesta en concepto, no deben entregar el Formulario SF 424.

62. Estimados señores: ¿podría por este medio solicitarles a ustedes los documentos de la propuesta APS-520-14-000001?

Respuesta: Bajar la información en el siguiente link:

<http://www.grants.gov/web/grants/search-grants.html>



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BIENVENIDOS

REUNION INFORMATIVA

APS-520-14-000001
Programa de Apoyo a la Seguridad Ciudadana
de Guatemala

Guatemalan Citizen Security Partnership Program
(GCSP)

Marzo 6, 2014
Guatemala



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AGENDA

- Bienvenida y presentación del equipo
- Propósito de la reunión
 - ✓ Descripción de la Iniciativa CARSI
 - ✓ Contenido de esta solicitud anual de aplicaciones (APS)
- Preguntas y respuestas



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Propósito de la reunión

Revisar el contenido del APS y responder a las preguntas de los interesados.

Explicar el objetivo del Programa de apoyo a la Seguridad Ciudadana de Guatemala y su vínculo con la Iniciativa Regional de Seguridad para América Central (CARSI).



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ETAPAS DEL APS: Aplicación en Concepto y Aplicación Formal

ETAPA I. APLICACION EN CONCEPTO		ETAPA II. APLICACION FORMAL *	
A. Primera Ronda			
Recepción de Conceptos	30 Abril, 2014	→ → → → →	Firma de Convenios Septiembre 2014 (estimado)
B. Segunda Ronda (dependiendo de la disponibilidad de fondos)			
Recepción de Conceptos	15 Octubre, 2014	→ → → → →	Firma de Convenios Junio 2015 (estimado)

*** Notas sobre Etapa II:**
Solamente las organizaciones cuyas aplicaciones en Concepto hayan sido evaluadas favorablemente podrán entregar una aplicación formal a solicitud directa de USAID.

El proceso para la formulación y recepción de Aplicaciones Formales será discutido con los interesados en el momento correspondiente.



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“Central America Regional Security Initiative - CARSI”
(Iniciativa Regional de Seguridad para América Central)

Es un programa regional de seguridad en pro del estado de derecho, integrado y colaborativo que responde a amenazas y aprovecha estrategias y programas ya existentes en América Central.

Los pilares de CARSI:

1. **Calles seguras para los ciudadanos.**
2. Desbarata el movimiento de los criminales y el contrabando.
3. **Apoyar el desarrollo de gobiernos fuertes, capaces y responsables.**
4. **Restablecer la presencia efectiva del Estado, los servicios y la seguridad en las comunidades en peligro.**
5. Fomentar mayores niveles de coordinación y cooperación.



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Áreas o temas que se apoyarán, en el marco de los pilares de CARSI / vínculo con el APS

- Prevención de la violencia
- Responsabilidad ciudadana
- Colaboración comunidad y policía
- Resolución alternativa de conflictos
- Fortalecimiento de capacidades de operadores de justicia tradicionales y no tradicionales



Requisitos en la preparación de aplicaciones en concepto

Ejes transversales / cross-cutting practices:

- Alianzas, sociedades
- Análisis detallado y teoría de cambio
- Identificación de las dinámicas de género
- Inclusión y enfoque a la juventud
- Sostenibilidad
- Enfoques innovadores y creativos



Requisitos en la preparación de aplicaciones en concepto

Principios básicos:

- Liderazgo del Gobierno de Guatemala
- Programación catalizadora y escalable
- Conciencia de consecuencias no esperadas y potenciales riesgos, importante que se propongan medidas de mitigación



Contenido del APS

Tipos de Instrumentos a Adjudicar

- Convenio de Donación
- Convenio de Cooperación

Número de Convenios, Montos y Periodo de Ejecución

- USAID/Guatemala adjudicará no más de 4 convenios con una duración máxima cada uno de 2 años.
- El monto total disponible dentro del APS es de US\$1.5 Millones.
- Rango para considerar propuestas US\$50,000 hasta US\$500,000.

Ejemplos:

- 4 aplicaciones formales de \$375,000	- 2 aplicaciones formales de \$500,000 y
- 3 aplicaciones formales de \$500,000	2 de \$250,000
- 1 aplicación formal de \$50,000, 2 de \$500,000	
y 1 de \$450,000	

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Elegibilidad

Organizaciones locales que cumplan con los siguientes requisitos:

- Inscritas bajo las leyes guatemaltecas
- Principal área de trabajo se localice en Guatemala
- La mayoría de sus dueños/junta directiva deben ser guatemaltecos y/o residentes permanentes de Guatemala (*)
- Organizaciones que no sean controladas por una entidad o personas extranjeras, o que no sean residentes permanentes de Guatemala
- Subsidiarias o sucursales de organizaciones localizadas fuera de Guatemala no se consideran "organizaciones locales"

(*) Depende de la naturaleza jurídica de la organización

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Idioma para entrega de aplicaciones

Aplicación en Concepto: inglés o español
Aplicación formal: inglés

Canales Oficiales para información

1) <http://www.grants.gov>



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2) USAID/Guatemala Facebook:
<https://www.facebook.com/convocatoria>

USAID Guatemala



Oportunidad de financiamiento para organizaciones locales.

En el siguiente vínculo pueden obtener la información completa de cómo presentar sus solicitudes a esta convocatoria:
http://www.grants.gov/web/grants/applicants/download-application-package.html?p_p_id=grantsdownloadpackage_WAR_grantsdownloadpackageportlet&p_p_lifecycle=0&p_p_state=normal&p_p_mode=view&p_p_col_id=column-1&p_p_col_pos=1&p_p_col_count=2&gran tsdownloadpackage_WAR_grantsdownloadpackageportlet_mvcPath=%2Fdownload.jsp%3Fid%3D193057&search=-2#





Dirección para enviar preguntas

Toda pregunta debe de dirigirse **exclusivamente** a la siguiente dirección:

guatemalaproposals@usaid.gov



Estándares de Evaluación
APS 520-14-000001, Sección V (página #23)

- Se establecen los lineamientos bajo los cuales serán evaluadas todas las aplicaciones en concepto y las aplicaciones formales
- Información Detallada sobre Criterios de Evaluación y sub-criterios, Sección V, paginas # 23-25
- Un panel de selección de USAID evaluará todas las aplicaciones en concepto y las aplicaciones formales recibidas de acuerdo a los Criterios de Evaluación establecidos en el APS-520-14-000001
- USAID promueve una competencia limpia y transparente basada en los lineamientos y regulaciones establecidos en el APS



Criterios de Evaluación para las Aplicaciones en Concepto

1. Mérito técnico
2. Administración institucional y capacidades de personal
3. Estructura organizacional clara y estrategias de manejo financiero efectivas
4. Personal clave propuesto con experiencia comprobada que reúna o exceda los requisitos solicitados
5. Desempeño previo
6. Enfoque de género
7. Cumplimiento con los requerimientos básicos de ubicación geográfica, temas transversales, "principios básicos" y lineamientos y parámetros presupuestarios

USAID notificará a todas las organizaciones que entregaron aplicaciones en concepto 30 días después de la entrega de la misma sobre el resultado de su evaluación.

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Criterios de Evaluación para las Aplicaciones Formales

- Aquellas organizaciones que sean responsables y cuyas aplicaciones cumplan con los requisitos de este APS y se consideren las más ventajosas para el Gobierno de Estados Unidos, serán seleccionadas para la adjudicación de un convenio. (Ver Anexo B del APS)

Requisitos Adicionales para las Aplicaciones Formales

- Plan de Marcaje y Posicionamiento
- Cumplimiento de regulaciones de medioambiente
- Tener sistemas responsables y transparentes avalados por USAID para el manejo de fondos
- Tener auditorías de acuerdo a los lineamientos de USAID
- Si la organización no ha trabajado anteriormente con USAID, antes de obtener un convenio, adicionalmente deberá cumplir con los requisitos de una inspección (pre-award survey) de sus sistemas financieros y administrativos

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Fechas Importantes

- 20 de febrero 2014 Publicación del APS
- 06 de marzo 2104 Reunión informativa
- 21 de marzo 2014 Límite para recepción de **preguntas de las aplicaciones en concepto**
- 28 de marzo 2014 Publicación de **preguntas y respuestas de las aplicaciones en concepto**
- 30 de abril 2014 **10am** Límite para presentar aplicaciones en concepto (primera ronda)
- 15 de octubre 2014 **10am** Límite para presentar aplicaciones en conceptos (segunda ronda si es necesario)

Nota: La segunda ronda de presentación de aplicaciones en concepto se llevará a cabo solamente si es necesario y se publicará en Prensa Libre; de lo contrario será cancelada.

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Preguntas y Respuestas

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**Gracias por su participación e
interés en los proyectos de USAID**

SECCIÓN I - INFORMACIÓN ACERCA DE ESTA OPORTUNIDAD DE FINANCIAMIENTO

A. Antecedentes

La Oficina de Democracia y Gobernabilidad, de la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID/Guatemala) invita A Organizaciones No gubernamentales (ONGs) de Guatemala, y otras organizaciones calificadas (que incluyen organizaciones religiosas y organizaciones comunitarias) a presentar solicitudes de financiamiento para llevar a cabo actividades, que apoyen el Programa de Seguridad Ciudadana de Guatemala.

Como parte de la iniciativa USAID Forward, USAID está realizando un esfuerzo para mejorar la eficacia y sostenibilidad general de los programas de la Agencia, a través de adquirir un mayor compromiso con las organizaciones locales. Es en este marco que la Misión de USAID en Guatemala elaboró este nuevo programa que tiene el nombre Programa de Seguridad Ciudadana de Guatemala (Citizen Security Annual Program Statement). El objetivo es colaborar directamente con organizaciones Guatemaltecas, para implementar iniciativas innovadoras que se enfoquen en el mejoramiento de la seguridad ciudadana y la justicia. USAID desea ayudar a los países a desarrollar una sociedad civil y sector privado vibrantes, porque los implementadores locales tienen el único contexto y habilidades específicas, en términos de conocimiento y entendimiento de cómo trabaja el desarrollo en sus países. Creando infraestructuras, no dependencia, mejor sociedad con el sector privado, sociedad civil y gobiernos del exterior, se impulsará la inversión y crecimiento, mientras que se mejora la transparencia y la rendición de cuentas

El objetivo principal del Programa de Seguridad Ciudadana es lograr “Mayor Seguridad y Justicia para los Ciudadanos” a través de alianzas que trabajen para mejorar la seguridad ciudadana en Guatemala. Las organizaciones elegibles para presentar solicitudes son organizaciones locales que incluyan, pero no se limiten a organizaciones no gubernamentales (ONGs), asociaciones, organizaciones religiosas, cooperativas, organizaciones comunitarias; otros actores de desarrollo tales como: universidades, organizaciones de la sociedad civil (OSCs), fundaciones, entre otras.

1. Información de Antecedentes:

En respuesta a los desafíos de seguridad en Centro América, los Estados Unidos se han enfocado en el mejoramiento de la seguridad ciudadana y en el estado de derecho, a través de la Iniciativa de Seguridad Regional de Centro América (CARSI, por sus siglas en inglés). Este APS será financiado con fondos de CARSI, que son dirigidos para apoyar esfuerzos comunitarios para la prevención del crimen (ejemplo: actividades de maras)

Este APS es una invitación a organizaciones para presentar a USAID, solicitudes para apoyar propuestas con enfoques innovadores que aborden los problemas y responda a los requerimientos que se detallan abajo.

B. Planteamiento del Problema

USAID ha trabajado de cerca con el Gobierno de Guatemala (GOG por sus siglas en inglés) y un amplio conjunto de grupos interesados para analizar los desafíos de seguridad y justicia más importantes en el país y es así como se han establecido las áreas para la intervención de USAID. Las actividades de USAID en Guatemala, relacionadas con seguridad ciudadana, se enfocan a lograr los resultados que se indican a continuación:

Objetivo de Desarrollo: Mayor Seguridad y Justicia para los Ciudadanos.**Resultados:**

1. Mayor efectividad y eficiencia de las Instituciones del Sector Seguridad y Justicia (SJSIs por sus siglas en inglés)
 - a. Procesos Judiciales y Adjudicación del Crimen fortalecidos
 - b. Manejo y coordinación mejorado entre instituciones que trabajan con problemas de seguridad y justicia
 - c. Rendición de Cuentas y Transparencia Fortalecida en instituciones que trabajan con problemas de seguridad y justicia
2. Reducción de Niveles de Violencia en Comunidades determinadas
 - a. Menor vulnerabilidad de comunidades en riesgo de pandillas y crimen organizado
 - b. Confianza entre la Policía y Comunidad en Áreas determinadas mejorada
 - c. Mayor Responsabilidad Cívica

Los interesados en presentar solicitudes, pueden encontrar más información sobre la actual estrategia de USAID Guatemala en http://transition.usaid.gov/our_work/policy_planning_and_learning/documents/GuatemalaCDCS.pdf

De este marco general de resultados y bajo este APS, USAID se interesa en recibir, particularmente, solicitudes relacionadas a los siguientes temas:

1. **Prevención de la Violencia**, especialmente en la generación comunitaria de resiliencia respecto de la violencia crónica, incluyendo violencia intra-familiar, tráfico de personas, extorsión, homicidios, violencia contra la mujer, violencia contra grupos lésbicos, gays, transexuales y bisexuales (LGTB), y otros tipos de violencia en Guatemala;
2. **Responsabilidad Ciudadana**, promoviendo el compromiso ciudadano activo y servicio comunitario relacionado con la prevención de violencia y crimen. Promoviendo prácticas de prevención de crimen en los gobiernos locales o en el nacional o monitoreando los esfuerzos existentes;
3. **Colaboración Comunidad y Policía**, específicamente fortaleciendo el compromiso ciudadano con los esfuerzos de autoridades locales, orientados hacia la prevención de la violencia (de acuerdo con los Procedimientos de Leahy Vetting¹). Un ejemplo ilustrativo serían los sistemas de alerta temprana,
4. **Resolución alternativa de conflictos** y/o establecimiento / fortalecimiento de redes de justicia y diálogos;
5. **Fortalecimiento de capacidades de operadores de justicia tradicionales y no tradicionales**

Recibirán preferencia las solicitudes que se enfoquen en áreas urbanas, con altas tasas de crimen, o conflictos emergentes que pueden incrementar el crimen y/o violencia.

¹ The Leahy Law in 2001 Foreign Operations Appropriations Act (Sección 563 de Publ.L.106-429) establece: Ninguno de los fondos disponibles por esta Acta pueden ser provistos a ninguna unidad de las fuerzas de seguridad de un país extranjero, si la Secretaria de Estado tiene evidencia que tal unidad ha cometido graves violaciones de derechos humanos, a menos que la Secretaria determine y reporte a los Comités adecuados que el Gobierno de dicho país está tomando medidas efectivas para llevarlos ante la justicia.

USAID Guatemala motiva que las solicitudes tengan o generen sinergias con otros Proyectos de la Oficina de Democracia y Gobernabilidad de USAID y que están en línea con la Estrategia de Cooperación de Desarrollo del País / USAID (CDCS por sus siglas en inglés).

C. Enfoque Global

1. Ejes Transversales

Al momento de desarrollar los abordajes y actividades del proyecto, USAID exhorta a los solicitantes a considerar los siguientes ejes transversales:

Explorar Alianzas y Sociedades: Con miras a lograr un mayor impacto y sostenibilidad de los proyectos, USAID Guatemala hace un llamado a los solicitantes a considerar arreglos colaborativos que permitan optimizar la capacidad organizacional, recursos y relaciones existentes. Los abordajes que se propongan pueden incluir el establecimiento formal e informal de coaliciones, sociedades, consorcios, u otros arreglos. USAID motiva a que se establezcan relaciones de colaboración con actores del sector público (gobiernos municipales, agencias gubernamentales nacionales o ambas). USAID también favorece los abordajes que incluyan a organizaciones de base y organizaciones comunitarias (CBOs). Las solicitudes deben demostrar la participación activa y contribución de todos los socios, a través de arreglos y procesos inclusivos.

Análisis Detallado y Teoría de Cambio: Las solicitudes enviadas a USAID deben evidenciar un análisis riguroso del problema específico; y la relación causal clara y lógica de la intervención propuesta respecto del planteamiento del problema. Se deberán especificar y describir los modelos conceptuales o teorías de cambio que sustenten el abordaje propuesto en la solicitud. Se recomienda la cita o referencia de informes o investigaciones relevantes. USAID motiva a que las solicitudes reflejen el reconocimiento de las causas estructurales y sistémicas de la inseguridad en Guatemala.

Identificar Dinámicas de Género:

El compromiso de USAID de promover la equidad de género y ver el género como un elemento clave de desarrollo, debe estar plenamente reflejado en las solicitudes. USAID/Guatemala busca asegurar que las consideraciones de género sean incorporadas en todos los aspectos del programa planeado. Las consideraciones de género deben ser integradas dentro de las actividades que se propongan, asegurando que tanto hombres como mujeres se vean beneficiados del apoyo de USAID y que la sensibilidad de género sea un componente que se incorpore en todas las actividades.

Para asegurar que la asistencia de USAID optimice la equidad de género, desde el desarrollo de planes estratégicos, objetivos de desarrollo y resultados intermedios, las organizaciones solicitantes deben considerar las siguientes dos preguntas:

- 1) ¿Cómo afectarán los diferentes roles, estatus de mujeres y hombres dentro de la comunidad, esfera política, lugar de trabajo y hogar en el trabajo a emprender,? (por ejemplo, roles en la toma de decisiones; niveles de acceso y control sobre recursos y servicios)
- 2) ¿Cuáles serán los efectos diferenciados de los resultados esperados del trabajo a realizar, en las mujeres y hombres?

El propósito de la primera pregunta es asegurar que 1) las diferencias de roles y estatus de mujeres y hombres sean examinadas; y 2) cualquier desigualdad o diferencia que impida alcanzar las metas del programa o proyecto se abordará en la planificación del diseño del proyecto.

La segunda pregunta llama a otro nivel de análisis en el que los resultados programáticos esperados sean: 1) los efectos diferenciados en mujeres y hombres sean totalmente examinados; 2) El diseño se ajusta adecuadamente para asegurar el impacto equitativo y sostenible del programa o proyecto. Para responder a esas dos preguntas a nivel del “Objetivo de Desarrollo” y para profundizar la comprensión y atención a problemas de género, USAID/Guatemala realizó un análisis de género para el Proyecto de Seguridad Ciudadana, basado en un examen sobre importantes brechas de género en sectores clave (Ver Anexo F).

Las intervenciones propuestas deberán abordar algunos hallazgos del Análisis de Género adjunto (Anexo F). Los candidatos deben incorporar en la propuesta enfoques significativos para abordar problemas de género identificados en el sector donde intervengan.

Inclusión y enfoque a la Juventud: Las solicitudes deben integrar a la juventud dentro de sus enfoques o abordajes. USAID está particularmente interesada en propuestas con enfoques innovadores que tomen en cuenta a la juventud con alto riesgo de participación en actividades de violencia o criminales. Las solicitudes deben contener criterios y un mecanismo de identificación de estos jóvenes e incorporarlos en las actividades, como líderes y participantes activos, no solamente como beneficiarios. USAID motiva que se presenten solicitudes que incluyan a organizaciones juveniles locales como socios.

Sostenibilidad: USAID motiva a la presentación de solicitudes que integren la sostenibilidad en su propuesta de abordaje. ¿Cómo se logrará la sostenibilidad de los impactos alcanzados aún después que concluya el financiamiento de USAID? La sostenibilidad deberá ser entendida más allá del financiamiento, sino que debe considerar la sostenibilidad de –las actividades y capacidad organizacional-. Si hubiera razones justificables que expliquen que no se puede lograr la sostenibilidad de los esfuerzos del Programa de Seguridad Ciudadana de Guatemala, las mismas deben ser planteadas y justificadas explícitamente en la solicitud.

Enfoques Innovadores y Creativos: USAID motiva la presentación de solicitudes que incorporen enfoques innovadores y creativos.

2. Principios Básicos

USAID en Guatemala considera los siguientes principios como básicos esenciales para trabajar bajo el Programa de Seguridad Ciudadana en Guatemala:

Liderazgo del Gobierno de Guatemala: El Programa de USAID en Guatemala reconoce el liderazgo del Gobierno de Guatemala (GOG) en la atención a los desafíos de seguridad ciudadana en marcha. El Programa debe tomar esto en cuenta.

Programación Catalizadora y Escalable: La intervención se debe enfocar en donde existan ventajas comparativas o una experiencia particular para ofrecer; y donde el Gobierno de Guatemala y/o los socios de la sociedad civil puedan eventualmente liderar la expansión del programa.

Consciencia de consecuencias no esperadas y potenciales riesgos del Programa: Dado el ambiente de seguridad en el que el programa puede desarrollarse, es crítico reconocer que las actividades pueden poner en riesgo la seguridad de los participantes, por lo tanto las solicitudes deberán proponer medidas de mitigación ante cualquier posible riesgo.

Anexo A – Formato de solicitud: Aplicación en Concepto**Programa de Seguridad Ciudadana de Guatemala**

Por favor, facilite la información en el espacio proporcionado. El documento debe prepararse en Microsoft Word en formato tamaño carta (8x11 pulgadas) con una pulgada de margen, a espacio sencillo, tipo Times New Roman, tamaño 12. **No** serán aceptadas las solicitudes escritas a mano. Las respuestas pueden ser escritas en inglés o español.

A. PÁGINA DE PORTADA**APS No. APS-520-14-000001**

Título del Proyecto: _____

Nombre y dirección de la organización solicitante: _____

Persona de contacto en la organización solicitante: _____

Título del puesto: _____ Número de Teléfono: _____

Dirección de correo electrónico: _____

Nombre del Sub-Socio (Si aplica): _____

Firma del Representante Legal de la organización

Tipo de la organización (Marque todas las que apliquen)

Organización no gubernamental _____

Asociación _____

Organización Religiosa _____

Cooperativa _____

Organización Comunitaria _____

Universidad _____

Otra _____

Total de Fondos Solicitados (en US\$) _____**Duración del Proyecto (total en meses):** _____

B. INFORMACIÓN TÉCNICA**1. Relación con el APS**

¿Cuáles de los siguientes temas aborda el proyecto propuesto? (Marque todos los que apliquen)

Prevención de Violencia	---
Responsabilidad Ciudadana	---
Colaboración de Comunidad y Policía	---
Resolución Alternativa de Conflictos	---
Fortalecimiento de capacidades de operadores de justicia tradicionales y no tradicionales	---

Qué resultados del Objetivo de Desarrollo aportará el Proyecto propuesto. (Explique por qué. Limite sus respuestas a un máximo de 300 caracteres, incluyendo espacios).

2. Estrategia del Proyecto

Explique por qué el proyecto propuesto es necesario – ¿Qué problema va a abordar el proyecto? Explique el (los) enfoque (s) o abordaje (s) a ser utilizados y las razones para su elección, incluyendo el enfoque de género. (Limite sus respuestas a un máximo de 1,500 caracteres, incluyendo espacios).

3. Objetivos del Proyecto, Resultados Esperados y Actividades

Explique pero limite su respuesta a un máximo de 3,800 caracteres.

- Los objetivos, resultados esperados, actividades y productos del proyecto – ¿Qué está intentando lograr el proyecto?
- Lugar donde las actividades se llevarán a cabo y dónde se espera que tendrán impacto. Explicar por qué se seleccionó esta área.
- Número esperado y tipo de beneficiarios /atendidos (por ejemplo: mujeres, jóvenes, población general, etc.)
- Cómo incorporará el solicitante el enfoque de género en la implementación del proyecto y qué recursos serán destinados a ello.

4. Ejes Transversales

Resuma brevemente cómo el proyecto incorporará los ejes transversales sugeridos en el APS. (Limite su respuesta a un máximo de 500 caracteres).

5. Principios Básicos

Resuma brevemente cómo el proyecto incorporará los principios básicos sugeridos en el APS. (Limite su respuesta a un máximo de 500 caracteres).

C. ADMINISTRACIÓN INSTITUCIONAL Y CAPACIDADES DEL PERSONAL**1. Capacidad Organizacional**

Describa la capacidad técnica de su organización para planear e implementar las actividades propuestas. Explique cómo el personal que trabajará en este proyecto tendrá la experiencia y especialización necesarias para alcanzar o exceder las asignaciones especificadas en la solicitud. (Limite su respuesta a un máximo de 1,000 caracteres, incluyendo espacios)

Describa la estructura de su organización, capacidad administrativa, incluyendo claramente las líneas de comunicación y autoridad, así como las estrategias para la administración financiera y control de costos. (Limite su respuesta a un máximo de 500 caracteres, incluyendo espacios).

2. Alianzas y coordinaciones

Describa en detalle, cualquier alianza esperada, incluyendo los nombres de las organizaciones socias y su rol específico en el proyecto. (Limite su respuesta a un máximo de 500 caracteres incluyendo espacios).

3. Experiencia Previa

Proporcione una breve descripción del desempeño técnico de su organización y socios (si fuera el caso), durante los últimos tres años, utilizando la siguiente tabla:

Resumen del trabajo realizado	Principal área geográfica de intervención	Período de la implementación	Monto del financiamiento US\$	Tipo de financiamiento	Punto de Contacto	Dirección de correo electrónico y número telefónico del punto de contacto

Las instituciones que no cuenten con historia de experiencia previa, serán calificadas con un puntaje "neutral", para que esto no sea motivo de penalización o compensación.

4. Presupuesto

Por favor proporcione un resumen estimado de costos, costos directos (incluyendo costos por renglones presupuestarios) así como el costo estimado para ser otorgado a socios. La extensión del presupuesto debe limitarse a una página.

Descripción	Presupuesto (US\$)
Mano de Obra Directa (Ej. Salarios, compensaciones)	
-	
Viajes y viáticos	
-	
Equipo y suplementos	
-	
Actividades del Programa	
-	
Otros Costos Directos (Ej. Suministros, comunicaciones, etc.)	
-	



Iniciativa Regional de Seguridad para América Central: Una alianza compartida



“Ahora que los países de América Central formulan una nueva estrategia regional de seguridad, en Estados Unidos estamos listos para poner de nuestra parte por medio de una nueva alianza que le preste atención a lo que lo requiere: la seguridad de nuestros ciudadanos. Y con socios regionales e internacionales, nos aseguraremos de que nuestro respaldo no solamente esté lleno de buenas intenciones, sino que esté bien coordinado y sea gastado debidamente.”

– Presidente Barack Obama

La seguridad ciudadana bajo asedio

En América Central, la situación de seguridad en rápido deterioro amenaza la seguridad ciudadana. Los narcotraficantes continúan estableciendo rutas de narcotráfico hacia, y a través de, América Central. La continua expansión de las pandillas nacionales y transnacionales ha creado comunidades asediadas por el miedo, donde las pandillas controlan de hecho zonas enteras. La delincuencia organizada —que existe en muchas modalidades, desde la extorsión hasta la corrupción de funcionarios del gobierno— le roba a la ciudadanía la confianza que debería tener en su capacidad para ganarse la vida, mantener a sus familias, y depositar en los funcionarios para que encuentren soluciones.

CARSI: Un programa regional de seguridad y por el estado de derecho integrado y colaborativo

La Iniciativa Regional de Seguridad para América Central (CARSI) responde a estas amenazas y aprovecha estrategias y programas existentes que los países de América Central aplican por su cuenta y cooperando con otros. CARSI coordina países con instituciones financieras internacionales, el sector privado, la sociedad civil y el Sistema de Integración Centroamericana (SICA). Es un enfoque coordinado que aprovecha la experiencia y esfuerzos de donantes con similares puntos de vista que apoyan los objetivos de seguridad ciudadana de los países de América Central.

Los cinco objetivos de CARSI en América Central son:

1. Crear calles seguras para los ciudadanos de la región;
2. Desbaratar el movimiento de los criminales y el contrabando en y entre los países centroamericanos;
3. Apoyar el desarrollo de gobiernos fuertes, capaces y responsables en América Central;
4. Restablecer la presencia efectiva del Estado, los servicios y la seguridad en las comunidades en peligro; y
5. Fomentar mayores niveles de coordinación y cooperación entre los países de la región, otros asociados internacionales y donantes para combatir las amenazas a la seguridad regional.

Asistencia de EE. UU. para enfrentar la amenaza y crear capacidad

Los 496 millones de dólares que Estados Unidos ha destinado a CARSI desde 2008 apoyan las prioridades enumeradas a continuación en los siguientes países de América Central: Belice, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua y Panamá.

- Asistencia a las fuerzas del orden público y fuerzas de seguridad para hacer frente a los narcóticos y el tráfico de armas, las pandillas, la delincuencia organizada, las deficiencias de seguridad en las fronteras, así como para desbaratar la infraestructura criminal, las rutas y redes;
- Mejoras de la capacidad de los actores e instituciones de la seguridad pública y del sector de justicia para servir a los ciudadanos y hacer frente a las amenazas de la región, y
- Los programas de vigilancia comunitaria, la prevención de pandillas, los proyectos económicos y sociales para jóvenes en situación de riesgo en las zonas adversamente afectadas por la delincuencia.

La Iniciativa Regional de Seguridad para América Central: Calles seguras



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foto de USAID

“Todos conocen las estadísticas, las tasas de asesinato que superan los niveles de guerra civil, los ciudadanos que consideran la seguridad su principal preocupación, la violencia que afecta negativamente al desarrollo económico y la inversión extranjera directa, las amenazas a la democracia, los impactos en las poblaciones más vulnerables de la sociedad, especialmente mujeres y niños”.

– Secretaria de Estado Hillary Rodham Clinton

CARSI: Un programa regional de seguridad integrado y colaborativo

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La inseguridad ciudadana menoscaba las oportunidades económicas y sociales

El deterioro de la seguridad en América Central es evidente en las calles y en los vecindarios de la región y ha llevado a una rápida disminución de la seguridad ciudadana. Además del aumento en todo tipo de delitos, la región tiene algunas de las tasas de asesinato per cápita más altas del mundo. La sensación de inseguridad en las calles de América Central reduce las oportunidades económicas para los ciudadanos, ya que evitan tomar el transporte público y realizar tareas diarias básicas, como por ejemplo ir de compras en los mercados públicos, por miedo a ser víctimas de delitos espontáneos o aquellos en que son el blanco. La disminución de la seguridad del Estado impide que las empresas inviertan en la región y limita el crecimiento económico de los países de América Central. Las organizaciones criminales explotan los límites de las capacidades del orden público en la región, así como la debilidad de las instituciones de aplicación de la ley y la corrupción oficial. Estos grupos criminales ejercen el control sobre vecindarios y territorios mediante la intimidación y reducen la capacidad de los gobiernos de proporcionar servicios básicos a sus ciudadanos, como son servicios de atención de la salud y de educación.

La ayuda de Estados Unidos: Garantizar la seguridad ciudadana y recobrar las calles

A través de CARSI, Estados Unidos ayuda a los gobiernos de la región en su esfuerzo por recuperar las calles y crear un entorno de seguridad ciudadana con comunidades más seguras y una cultura de la legalidad. Los programas de CARSI permiten a los gobiernos centroamericanos debilitar la estructura —y disminuir la influencia y violencia— de los cárteles de la droga, las pandillas, el crimen organizado, los traficantes de armas y otras organizaciones criminales transnacionales. A través de CARSI, Estados Unidos ha puesto en práctica programas sostenibles y de alto impacto en la formación y profesionalización de la policía, así como las actividades contra las pandillas, la dotación de la policía y las fuerzas de seguridad, el intercambio de información dentro de la región para investigar y desbaratar las actividades delictivas, y asistir en la interceptación de narcóticos, armas, grandes cantidades de dinero en efectivo, y contrabando.

Para más información sobre la Iniciativa Regional de Seguridad para América Central, visite nuestro sitio web:
www.state.gov/p/wha/rt/carsi/index.htm (en inglés)

Los cinco objetivos de CARSI en América Central son:

- 1. Crear calles seguras para los ciudadanos de la región;**
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- 3. Apoyar el desarrollo de gobiernos fuertes, capaces y responsables en América Central;**
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- 5. Fomentar mayores niveles de coordinación y cooperación entre los países de la región, otros asociados internacionales y donantes para combatir las amenazas a la seguridad regional.**

La Iniciativa Regional de Seguridad para América Central: Gobiernos centroamericanos fuertes, capaces y responsables



foto de USAID



foto de DoS



foto de DoS

“Fortalecer las instituciones del Estado de derecho, atacar de frente a las organizaciones delictivas, y rehabilitar a aquellos que ya han caído en la criminalidad al tiempo que se evita que los jóvenes tomen desde un principio ese camino, eliminar la corrupción, y asegurar que las instituciones sean responsables y efectivas, todo eso es esencial”.

– Secretaria de Estado Hillary Rodham Clinton

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La Iniciativa Regional de Seguridad para América Central (CARSI) responde a estas amenazas y aprovecha estrategias y programas existentes que los países de América Central aplican por su cuenta y cooperando con otros. CARSI coordina países con instituciones financieras internacionales, el sector privado, la sociedad civil y el Sistema de Integración Centroamericana (SICA). Es un enfoque coordinado que aprovecha la experiencia y esfuerzos de donantes con similares puntos de vista que apoyan los objetivos de seguridad ciudadana de los países de América Central.

Desarrollo de la capacidad institucional

Uno de los objetivos clave de CARSI es apoyar el desarrollo de gobiernos e instituciones centroamericanos fuertes, transparentes y eficaces. La violencia y la impunidad de las organizaciones de drogas, pandillas, y organizaciones criminales de la región presentan desafíos abrumadores para los gobiernos que ya luchan por desarrollar y mantener instituciones eficaces. América Central necesita mayor inversión en instituciones de aplicación de la ley, ingresos suficientes para que el gobierno apoye los servicios sociales para los ciudadanos de la región, y la creación de una cultura que resista la corrupción. Estas inversiones fortalecerán la confianza de los ciudadanos de América Central en sus funcionarios públicos y sus instituciones de gobierno.

La ayuda de Estados Unidos: Trabajar con los gobiernos para fortalecerlos

Mediante CARSI y los programas de ayuda complementaria estadounidense, Estados Unidos apoya los esfuerzos del país anfitrión para llevar a cabo una reforma democrática profunda y autosuficiente de sus instituciones de aplicación de la ley, procesales, judiciales, de prisiones, y demás instituciones del estado de derecho afines para aumentar la transparencia institucional y proteger las instituciones de gobierno contra la penetración e influencia criminales. La presencia fuerte y responsable del gobierno en comunidades en situación de riesgo debido a las pandillas, los traficantes y el crimen es también un objetivo crítico. CARSI contribuye a los esfuerzos del gobierno anfitrión dirigidos a desarrollar programas en las comunidades y vecindarios para atender las causas sociales y económicas del crimen y la violencia, y para aumentar la participación ciudadana con las instituciones de aplicación de la ley y el gobierno en tales esfuerzos. CARSI apoya a los países en sus esfuerzos para imponer y recaudar impuestos equitativamente a ciudadanos y a negocios, con la finalidad de financiar programas de gobierno que aumentarán la seguridad ciudadana, mejorarán las instituciones del estado de derecho y proporcionarán servicios básicos a los ciudadanos.

Los cinco objetivos de CARSI en América Central son:

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La Iniciativa Regional de Seguridad para América Central:

Presencia del Estado y seguridad en las comunidades en situación de riesgo



foto USAID



foto de DoS



foto de USAID

“Todo ciudadano, sea cual sea su origen, sean quienes sean sus padres, o de qué aldea o familia provenga, tiene justo derecho al poder social, político, económico y cívico que le corresponde”.

– Secretaria de Estado Hillary Rodham Clinton

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Comunidades en situación de riesgo

Las pandillas, los narcotraficantes y los grupos criminales organizados hacen incursiones significativas en toda América Central, y en muchos casos ejercen control sobre comunidades enteras y en vastas áreas de territorio. Los gobiernos centroamericanos necesitan mejor capacitación, equipo y voluntad política para recuperar ese territorio perdido y proporcionar niveles adecuados de seguridad ciudadana, servicios públicos y actividad económica y social para los ciudadanos de la región. Aun cuando los países pueden suprimir el crimen organizado al aumentar las medidas de aplicación de la ley en áreas con alta actividad criminal, pocos han desarrollado planes a largo plazo para un enfoque equilibrado de intervención, prevención y aplicación de la ley que atienda las causas básicas de la actividad criminal, a saber: la falta de acceso a servicios básicos como la asistencia médica, el alto desempleo de la juventud, oportunidades educativas insuficientes, sistemas judiciales sobrecargados e ineficaces, y mayor estrés en las familias.

La ayuda de Estados Unidos: Un enfoque equilibrado a través de la prevención, la intervención y la aplicación de la ley

Estados Unidos ayuda a los gobiernos de América Central a restablecer la presencia eficaz del Estado en las comunidades en situación de riesgo. CARSI apoya y fomenta iniciativas de vigilancia comunitaria, mejora los programas ciudadanos de prevención del crimen, desarrolla programas económicos y sociales que proporcionan ocupaciones y actividades alternativas para jóvenes vulnerables, y ofrece formación académica e instrucción técnica para romper el ciclo de la pobreza que facilita reclutas para las pandillas, los traficantes y el crimen organizado. Al recuperar los vecindarios de la región, los ciudadanos podrán de nuevo participar en las oportunidades sociales y económicas que les puedan ayudar a salir de la pobreza, dar nuevas oportunidades a la juventud de América Central y aumentar la inclusión social de los grupos marginados en toda la sociedad civil.

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5. Fomentar mayores niveles de coordinación y cooperación entre los países de la región, otros asociados internacionales y donantes para combatir las amenazas a la seguridad regional.



USAID
FROM THE AMERICAN PEOPLE

GUATEMALA COUNTRY DEVELOPMENT COOPERATION STRATEGY

2012-2016

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Acronyms and Abbreviations

ANAM	National Association of Mayors (acronym is in Spanish)
AOTR	Agreement Officer's Technical Representative
CAFTA-DR	Central America-Dominican Republic Free Trade Agreement
CARSI	Central America Regional Security Initiative
CBJ	Congressional Budget Justification
CDCS	Country Development Cooperation Strategy
CEMEC	Monitoring and Evaluation Center (acronym is in Spanish)
CICIG	International Commission against Impunity in Guatemala (acronym is in Spanish)
CLA	Collaborating, Learning and Adapting
CONAP	National Council of Protected Areas (acronym is in Spanish)
CONASAN	National Food Security and Nutrition Council (acronym is in Spanish)
CONRED	National Coordination for Disaster Reduction of Guatemala (acronym is in Spanish)
COTR	Contracting Officer's Technical Representative
DO	Development Objective
DTO	Drug Trafficking Organization
ECLAC	Economic Commission for Latin America and the Caribbean
ENCOVI	National Survey of Conditions of Life (acronym is in Spanish)
ENSMI	National Maternal Child Health Survey (acronym is in Spanish)
FFP	Food for Peace
FSC	Forest Stewardship Council
FTF	Feed the Future Initiative
FY	Fiscal Year
GCC	Global Climate Change
GDP	Gross Domestic Product
GHG	Greenhouse Gas
GHI	Global Health Initiative Plus
GOG	Government of Guatemala
HIV/AIDS	Human Immunodeficiency Virus/ Acquired Immune Deficiency Syndrome
IACHR	Inter-American Commission on Human Rights
IARNA	Institute for Agriculture, Natural Resources and the Environment (acronym is in Spanish)
IDB	Inter-American Development Bank
INAB	National Forest Institute (acronym is in Spanish)
INACIF	National Forensics Institute (acronym is in Spanish)
INE	National Statistics Institute (acronym is in Spanish)
IR	Intermediate Result
ISO	International Organization for Standardization
LAC	Latin America and the Caribbean
LAPOP	Latin American Public Opinion Project
LEDs	Low Emission Development Strategy
M&E	Monitoring and Evaluation
MARN	Ministry of Environment and Natural Resources (acronym is in Spanish)
MARPs	Most at-Risk Populations
MBR	Maya Biosphere Reserve

MCH	Maternal and Child Health
MDG	Millennium Development Goal
MFEWS	Mesoamerica Food Security Early Warning System
MOE	Ministry of Education
MOH	Ministry of Health
MYDP	Multi-Year Development Program
NAS	Narcotics Affairs Section
NGO	Non-Governmental Organization
OAS	Organization of American States
OECD	Organization for Economic Cooperation and Development
ONSEC	National Office of Civil Service (acronym is in Spanish)
PEPFAR	U.S. President's Emergency Plan for AIDS Relief
PESAN	Strategic Plan for Food and Nutritional Security (acronym is in Spanish)
P.L.	Public Law
PLANOCC	Food Security Plan for the Western Highlands (acronym is in Spanish)
PNC	Civil National Police (acronym is in Spanish)
POC	Point of Contact
QDDR	Quadrennial Diplomacy and Development Review
REDD+	Reduction in Emissions from Deforestation and Degradation Plus
SEGEPLAN	Secretary of the Presidency for Planning and Programming (acronym is in Spanish)
SERVIR	Regional Visualization and Monitoring System (acronym is in Spanish)
SESAN	Secretariat for Food Security and Nutrition (acronym is in Spanish)
SIGAP	Guatemalan Protected Areas System (acronym is in Spanish)
SJSI	Security and Justice Sector Institution
SPS	Sanitary and Phytosanitary Standards
SSR	Security Sector Reform
Sub-IR	Sub-Intermediate Result
TSE	Supreme Electoral Tribunal (acronym is in Spanish)
UNFCCC	United Nations Framework Convention on Climate Change
UNISDR	United Nations International Strategy for Disaster Reduction Secretariat
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
USG	United States Government

Foreword

The United States Government (USG) has set out an ambitious agenda to improve the delivery and effectiveness of foreign assistance. This agenda reflects the USG commitment to international aid effectiveness principles as articulated in the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action¹ and the Millennium Development Goals (MDGs).² The USG agenda is set out in three complementary documents: 1) the U.S. Global Development Policy³ enumerates core objectives, the operational model, and the modern architecture for all USG foreign assistance; 2) the Quadrennial Diplomacy and Development Review (QDDR)⁴ complements the U.S. Global Development Policy by articulating specific reforms designed to improve USG foreign assistance; and 3) the U.S. Agency for International Development (USAID) Forward Agenda⁵ sets out further reforms to USAID-specific policies, procedures, and processes which are necessary to improve foreign assistance alignment, coordination and responsiveness to host-country need.

The Guatemala Country Development Cooperation Strategy (CDCS) represents an important step to strengthen USG foreign assistance to Guatemala. The CDCS is based on the principles of country leadership, whole-of-government USG strategies, and international donor coordination. The five-year plan specifically supports the first pillar of the U.S. Global Development Policy: sustainable development outcomes that place a premium on broad-based economic growth, human development, democratic governance, game-changing innovations, and sustainable systems for meeting human needs.

USAID Guatemala developed the CDCS through extensive consultation with the Government of Guatemala (GOG), other USG agencies, donors, partners, and academics, as well as civil society, private sector, and indigenous leaders. It reflects host country leadership and focuses investments to support host country development plans, especially in the areas of food security, health, and security and justice. The CDCS is designed to maximize USAID contributions to USG whole-of-government initiatives, including Feed the Future (FTF), Global Health Initiative Plus (GHI) [including the President's Emergency Plan for AIDS Relief (PEPFAR)], the Central America Regional Security Initiative (CARSI), and the Global Climate Change (GCC) Initiative.

Problem Statement⁶

Through a consultative process with numerous stakeholders, USAID Guatemala identified two significant underlying challenges to successful development in Guatemala, namely historic inequality that remains ingrained in Guatemalan society today, and weak government that lacks the necessary capacity and controls to address insecurity and poverty. Taken separately, each of these driving forces contributes to increased crime, high levels of poverty, and some of the region's lowest health and education indicators. Combined however, their impacts are felt even more acutely. As a result of both factors, Guatemalans lack protection against organized crime, face vulnerability to natural disasters and struggle to feed and educate their children.

¹ "The Paris Declaration on Aid Effectiveness and the Accra Agenda for Action," Organization for Economic Cooperation and Development (OECD) 2009 <http://www.oecd.org/dataoecd/11/41/34428351.pdf>

² "Millennium Development Goals," United Nations Development Programme (UNDP) <http://www.undp.org/mdg/basics.shtml> ; "Millennium Development Goal Indicators," UNDP <http://mdgs.un.org/unsd/mdg/Data.aspx> .

³ "Fact Sheet: U.S. Global Development Policy," The White House Office of the Press Secretary, September 22, 2010 <http://www.whitehouse.gov/the-press-office/2010/09/22/fact-sheet-us-global-development-policy>

⁴ "The First Quadrennial Diplomacy and Development Review (QDDR): Leading Through Civilian Power," U.S. State Department <http://www.state.gov/s/dmr/qddr/> .

⁵ "USAID Announces USAID FORWARD Reform Agenda," U.S. Agency for International Development, <http://forward.usaid.gov/about/overview>.

⁶ A complete problem statement is included in the main body of the CDCS on page 7.

Program Focus

With the CDCS, USAID Guatemala takes innovative steps to focus and concentrate programming to significantly enhance development outcomes in two ways:

- Sector focus and integration: Programs are streamlined in sectors in which USAID Guatemala has a comparative advantage and in areas where clear windows of opportunity for country advancement exist. This approach represents a major shift in the way USAID Guatemala does business; it moves from three sector specific Strategic Objectives to three outcome-focused Development Objectives (DOs) that integrate projects across sectors and tailor them to achieve high-level development outcomes. The Intermediate Results (IRs) under DO 2 in particular align two Presidential Initiatives (FTF and GHI) to achieve a single Development Objective.
- Geographic focus and regional integration: Guatemala's Food Security Plan for the Western Highlands (PLANOCC) was approved by the National Food Security and Nutrition Council (CONASAN), headed by the Vice-President, on October 28, 2011. In support of the GOG's priority geographic area with respect to food security – one of Guatemala's primary development foci - the majority of USAID projects will be focused in five departments in the Western Highlands⁷ where poverty and child chronic malnutrition levels are highest and where opportunity for economic development is strong. Specifically, economic growth, health, education, Public Law (P.L.) 480 Title II Multi-Year Development Program (MYDP) and local governance activities will be co-located in target municipalities to take advantage of synergies and achieve improved program outcomes.

Sector Focus and Integration

USAID Guatemala will focus on programming to address the following issues, many of which are cross-cutting, under the CDCS.

- Move into citizen security, counter-trafficking in persons and civic responsibility: In response to increasing insecurity, violence and crime, USAID Guatemala will move aggressively to improve citizen security, which supports the broader USG foreign policy objective of improving security in the Northern Triangle (Guatemala, El Salvador and Honduras) of Central America. USAID Guatemala will expand interventions to support the GOG in the reduction of trafficking in persons and to begin a new project fostering civic responsibility among all citizens.
- Support transparency, policy and institutional strengthening: USAID Guatemala will work to improve the transparency, policies, efficient management and streamlining of GOG programs. This consolidation will allow for improved GOG engagement and foster GOG prioritization of reforms in the areas of most need.
- Increase investment in local governance: The CDCS increases investment in local governance to address this cross-cutting issue that affects all DOs and plays a crucial role to achieve FTF objectives.
- Rethink education program: USAID will have a greater focus on vocational training. However, since USAID Guatemala is one of the only two primary international donors that work in education quality, USAID will provide limited basic education support to improve the quality of literacy education.

⁷ The CDCS will work in the Western Highland departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán.

- Expand agriculture programs: USAID will increase resources for agriculture for the strategy period to maximize the results of the Feed the Future Initiative.
- Expand environmental programs: To help Guatemalan entities manage natural resources that face increasing threats from rapid population growth and natural disasters, USAID will invest more in environmental programs including strengthening local governments to reduce climate vulnerability.
- Form public-private sector partnerships: USAID Guatemala will expand existing public-private partnerships based on a decade of solid alliance-building experience. New projects or initiatives provide opportunities to generate alliances with the private sector, and alliance building will be promoted across the entire CDCS portfolio.

Geographic Focus and Regional Integration

As mentioned above, under this CDCS USAID will be strategically programming the majority of its resources in the Western Highlands to achieve improved results as part of an integrated development model in Guatemala's region of greatest need. USAID will phase out economic growth, health, education and local governance programming in most areas outside of the Feed the Future/Global Health Initiative geographic focus region of the Western Highlands. Some activities may continue in areas outside of the focus region due to extreme need or initiative priorities, but most economic growth, health, education and local governance programs will be implemented in the Western Highlands.

Phase Out

During the strategy development process, USAID Guatemala made a number of strategic choices to optimize its investments. As a result, USAID will be phasing out the following programs that fall outside the priorities and development objectives laid out in this CDCS.

- USAID Guatemala resources will be realigned to achieve the three Development Objectives. All programs that do not contribute directly to these DOs over the five-year CDCS period will be graduated.

Executive Summary

The USAID Guatemala CDCS supports U.S. foreign policy goals as stated in the first pillar of the U.S. Global Development Policy, in the form of sustainable development outcomes that place a premium on broad-based economic growth, human development, democratic governance, game-changing innovations, and sustainable systems for meeting human needs. The CDCS is a five-year plan based on a strategically-targeted approach to address the complex and interrelated development challenges facing Guatemalan society. The CDCS is characterized by a highly integrated, multi-sector portfolio that aims to achieve one Goal and three Development Objectives as follows.

Goal: A More Secure Guatemala that Fosters Greater Socio-economic Development in the Western Highlands and Sustainably Manages its Natural Resources

Development Objective One: Greater Security and Justice for Citizens. In order to create a more democratic, secure and prosperous Guatemala, GOG state institutions must have technical proficiency, political will, long-term strategies and an adequate budget to deliver security and justice to its citizens. Security is a basic human need which, when lacking, inhibits development in other sectors. DO 1 hypothesizes that increasing the demand for police and justice reform, strengthening national level government capacities to include administrative, financial and strategic planning, institutionalizing crime prevention strategies, targeting pilot projects in key areas with high homicide rates, strengthening local governments, and improving transparency and accountability of key institutions will lead to a reduction in crime and an increase in the number of prosecutions with final verdicts, thus breaking the vicious cycle of impunity. This DO complements work carried out by other USG agencies, some of which is funded by CARSI. The approach is also aligned with the USG Central America Strategy and the Counter Illicit Trafficking Strategy.

Development Objective Two: Improved Levels of Economic Growth and Social Development in the Western Highlands. Improved economic growth and social development are essential to a stable democracy and are the basis of a secure and prosperous society. DO 2 hypothesizes that parallel improvements in the income, health and nutrition, and education of Guatemala's rural poor will foster the sustainable rural development necessary for social and economic equity. Improved income alone is insufficient to reduce poverty, illness and malnutrition in Guatemala's rural poor communities; therefore, USAID will work with the GOG in the Western Highlands to improve economic opportunities and the access and utilization of quality health, nutrition, and education services. DO2 integrates Feed the Future and the Global Health Initiative Plus to achieve a high-order objective.

Development Objective 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change. Guatemala possesses a wealth of natural resources that, if managed responsibly, can bring economic benefits to local communities and to the country as a whole. At the same time, however, Guatemala is highly vulnerable to natural disasters and USAID Guatemala assumes that at least one natural disaster may interrupt the country's development trajectory during the CDCS period. DO 3 hypothesizes that community-based economic incentives for conservation and protection of biodiversity, coupled with improved enforcement of existing environmental regulations and improved national policies, will safeguard the resource base necessary for sustainable rural development and thus contribute to Guatemala's increased prosperity. Concurrent reduction of vulnerability to natural disasters will help mitigate loss of life and livelihoods due to climate change related events. Operating within the framework of the Global Climate Change Initiative, USAID will work with local communities and institutions to implement market-based strategies for the sustainable use of forest products and support local level risk mitigation. Concurrently, USAID will work with the

GOG to promote and implement sustainable land use strategies, environmental management policies, and enforcement of regulations to improve environmental governance.

I. Development Opportunities and Challenges

A. Country Overview

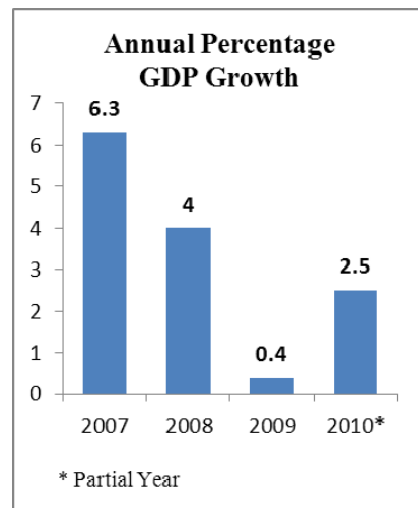
Guatemala is a small, but heterogeneous (25 languages are spoken within its borders), country with significant natural resources approximately 1,000 miles south of the U.S. border. With a population of 14 million people, Guatemala is the largest country in Central America. With a current population that is twice what it was 25 years ago and is expected to double again in the next 25 years, Guatemala has some of the lowest human development indicators⁸ in the hemisphere and the highest level in the hemisphere of chronic malnutrition (49.8%) for children less than five years of age.



Guatemala's Constitution was signed in 1985, transforming it from a nation ruled by dictators into a new democracy. The Constitution provides for separation of powers among the executive, legislative and judicial branches of government. The term of office is four years, respectively, for president, vice president, congressional deputies, mayors and city councils. The president and vice president are elected directly through universal suffrage and cannot be re-elected. Congress has 158 members who are elected partially by departmental constituencies and partially by nationwide representation. The Constitutional Court is Guatemala's highest court and is led by a Court president, who is elected annually, and five magistrates who are each elected for concurrent five-year terms—each magistrate has an alternate. The Supreme Court of Justice is composed of 13 members who serve concurrent five-year terms and who elect a president from among the Court members to serve a one-year term. The Appeals Court is integrated by three-judge panels and is part of the Judicial Branch. Political parties in Guatemala are numerous and weak. No party has been re-elected to the Presidency since the approval of the new Constitution of 1985.

Society in Guatemala remains highly divided with many weak public sector institutions and deep rural poverty. Guatemala is increasingly threatened by the effects of impunity and corruption; escalating crime rates and the corrosive effects of gangs, organized crime, and transnational illicit trafficking of narcotics, persons, weapons and contraband; population growth; migration; and repeated natural disasters. Guatemala is among the most dangerous countries in the world due to a confluence of organized crime and trafficking of persons, narcotics and arms. The homicide rate has doubled in the last ten years and there has been an increase in regionally powerful youth gangs who engage in armed robbery, murder-for-hire and elaborate extortion schemes.

Guatemala is considered a lower middle-income country with a gross domestic product (GDP) of \$37 billion (2009). The GDP per capita of \$2,650 is deceptive because the benefits of its economic strength are largely limited to the urban, non-indigenous population. Guatemala has the 12th highest income inequality (Gini Coefficient) worldwide. Agriculture remains the primary source of rural incomes.



⁸"International Human Development Indicators: Guatemala," United Nations Development Programme, <http://hdrstats.undp.org/en/countries/profiles/GTM.html>

Guatemala is sometimes referred to as two-countries-in-one. This metaphor describes the highly stratified society in which exclusion, poverty and chronic malnutrition are inextricably linked. The most significant cleavages in terms of social, economic and political opportunities are between the indigenous and non-indigenous and between the urban and rural populations. Indigenous Mayan, Xinka, and Garífuna groups account for approximately 43% of the population. The indigenous population has suffered a long history of repression and exclusion from participation and opportunity. There is pervasive racism on the part of both the economic elite and the non-elite Ladino population. Most of Guatemala's poor are rural indigenous people of Maya descent who live in the highland regions (74.8% live in poverty, more than twice the percentage of non-indigenous, and the indigenous average 3.8 years of formal education, half that of non-indigenous). The indigenous population lives on subsistence production combined with seasonal migration to coffee estates and sugar plantations in the southeastern lowlands and coastal areas. This large indigenous population situated in small rural highland communities has been a defining factor in the relatively large share of Guatemala's work force that engages in low-productivity agriculture and that is characterized by high levels of rural poverty. Rural and indigenous children, particularly girls, represent the majority of children that are out of the education system.

Guatemala is also characterized as a male-dominated or "*machista*" society, in both the Ladino and indigenous populations. Women make up 51% of the population of Guatemala and 52% of the rural population. Nevertheless, decision-making and political, social, and economic resources historically have been controlled by men. This control is reflected in low levels of educational achievement and literacy for women, few women holding political offices, low earnings for women in formal sector employment and less property ownership, and high levels of gender-based violence and maternal mortality. Dependency on men, especially economic dependence, results in low levels of self-esteem, lack of understanding of rights and resources, and reluctance or inability to act independently. The dependence is reinforced by high levels and general acceptance of violence against women. To break this cycle so that women as well as men benefit from economic growth and development programs, gender must be assessed as a cross-cutting factor in all projects and integrated into activities in all sectors.

Guatemala is ranked as one of the world's top 19 hot spots for biodiversity.⁹ The largest forested area in Mesoamerica is found here, along with the second largest contiguous forest in the Americas after the Amazon. A total of 10 physiographic regions, seven biomes, 14 eco-regions, 66 ecosystems and 14 life zones have been identified within the republic's political borders. However, since 1950, 60% of its trees have been lost and Guatemala is now ranked as the second most vulnerable country to natural disasters.

A major point in Guatemala's favor has been the Central America-Dominican Republic Free Trade Agreement (CAFTA-DR), signed in July 2006.¹⁰ This treaty improved the terms of trade between the U.S. and Central American markets to the point that few barriers to the free flow of goods remain. The terms of trade facilitate availability of basic grains and staple foods. Before CAFTA-DR, the average tariff allowed on agricultural products was 49%, yet now approximately 80% of U.S. industrial and consumer goods enter the country duty-free, with the remaining tariffs scheduled to be phased out by 2015. Exports of non-traditional agricultural products, such as snow peas, green beans, and mini-vegetables, have boomed over the last decade with growth of 541% between 1999 and 2008.

The USG and the GOG share a long-term vision of a democratic, stable and prosperous society that is a responsible and productive regional partner. The United States is Guatemala's main trading partner and bilateral donor.

⁹ 10th Conference of the United Nations Convention of Biological Diversity (2010)

¹⁰ Central America-Dominican Republic Free Trade Agreement, U.S. Trade Representative <http://www.ustr.gov/trade-agreements/free-trade-agreements/cafta-dr-dominican-republic-central-america-fta>

B. Analysis of Development Challenges and Successes

Guatemala's 36-year internal, armed civil conflict was the longest, most violent in Central America and resulted in more than 200,000 casualties and violations of human rights. The signing of the Peace Accords in December 1996 marked the official close to the conflict.¹¹ Civil society emerged from this conflict and is a strong force for reform in Guatemala. Still, the country's democracy remains fragile; governmental institutions remain weak due to underfunding, inefficiency and corruption; and social support for democracy and government is fragile, even among Guatemala's growing youth population.¹² Reflective of this lack of engagement, women and indigenous people are under-represented in governmental institutions; for example, women fall below the Latin America and Caribbean average of 17% representation in the national legislature. Furthermore, in the last decade, criminal activity and violence have reached historically high levels. This combination of factors raises serious concerns for political stability.

Criminal activity, particularly narco-trafficking groups, gangs and other organized crime, has risen significantly and represents one of the most serious threats to stability since the armed conflict. In 2010, the homicide rate was 41 per 100,000, making Guatemala one of most dangerous countries in Latin America. The murder rate remains high, and Guatemala continues to suffer from corruption, impunity, inefficiency and infiltration of illicit actors in justice and security institutions. Crime and violence are now recognized as serious economic and social problems with very high economic and social costs, especially in poor urban areas.

Particularly worrisome is the fact that youth (15-24 year-olds) in the region are disproportionately involved in violence as both victims and perpetrators. The Latin America and the Caribbean (LAC) region has the world's highest homicide rate among men between the ages of 15 and 29, with perpetrators of violent crimes most often being young men between the ages of 16 and 25. Similarly, young women are most affected by rising femicide (675 women were murdered in 2010 in Guatemala) and other forms of violence, including rape and domestic violence. About half of Guatemala's population is younger than 19, and 51% of the total population lives below the poverty line. As a result of inadequate education and a lack of job opportunities, youth are vulnerable to the lure of organized crime groups.

A key issue for Guatemala remains the relatively low level of tax revenues (around 11 percent of GDP) and high levels of corruption. Government institutions responsible for security, health, nutrition and essential public services do not have the resources to address the challenges posed by increasing crime and violence, the country's high levels of malnutrition and other health issues, or to foment the economic development needed to reduce the country's high levels of poverty. Security and justice institutions are underfunded and laws often are not implemented or enforced. Investment in health and education services lags behind most countries in the region. In the past two years, the Ministry of Health (MOH) budget has sunk to just 1% of the Guatemalan GDP, severely affecting programs that serve the most vulnerable populations: rural health service delivery, vaccine and contraceptive procurement, and human resource development. Similarly, the Ministry of Education (MOE) budget accounted for only 3.4% of GDP.

¹¹ Ninety percent of human rights violations, including murders and disappearances, occurred in rural areas; 83.3% of the violations and casualties were suffered by non-combatant Maya indigenous men, women and children; 93% of the human rights violations were committed by various Guatemalan State entities (the Army was responsible for 85%), 3% by the guerrilla opposition forces and 4% by unidentified groups; 79% of violations were committed against adults, 18% against children and 3% against the elderly—all non-combatants. Ref: "Historic Truth Commission Summary Report: *Guatemala Memoria del Silencio*" 1999.

¹²Per the 2010 Latin America Public Opinion Project Survey, 62.8% of Guatemalans believe democracy is the best form of government; however, only 47.8% are satisfied with democracy.

Despite the current challenges, the GOG and civil society have made some key advances that provide a strong justification for continued reform efforts. The request by the GOG to establish the International Commission against Impunity in Guatemala (CICIG) to support the GOG in the investigation and prosecution of high profile crime cases is a demonstration of interest in strengthening the rule of law. Emblematic cases have resulted in convictions and have led to important judicial precedents related to corruption, money laundering and forced disappearance. The GOG has also supported justice and reparations measures for victims of the armed conflict. In addition, the GOG has established a Police Reform Commission to strengthen and add dignity to the Civil National Police (PNC). Civil society plays a critical role in advocating for increased transparency and accountability. Other achievements include: the passing of the Organized Crime Law, the Seized Asset Law, the Femicide Law and Freedom of Information Law; the establishment of a National Forensic Institute and the establishment of five effective 24-hour trial courts in high crime areas. Since the arrival of democracy in 1985, Guatemala has held seven legitimate elections with the participation of domestic observers. In addition, municipal associations and local governments were successful in the passing of a municipal reform code that promotes more transparent financial management.

However, the 2007 Secretariat for Women's Issues "National Policy of Women's Promotion and Development 2008-2023," which resulted from a long process of consultation with government and civil society organizations, identifies sociopolitical participation as a principal sphere of concern for women. Although progress has been made in terms of the number of women candidates for election at all levels of government, the low percentage of women holding elected and executive positions and participating in community level spaces is evidence of continuing barriers. In responding to and addressing this issue, members of the Women's Committee at the Guatemalan National Congress presented to the plenary (August 20, 2009) a proposed reform to Article 212 of the Electoral Law in which the quota system for women would be introduced as mandatory for political parties. The proposal also includes quotas for indigenous people.

There have been significant improvements in terms of economic growth, health, nutrition, and education statistics, demonstrating the potential for development. These include:

- Reduction of poverty by 12% since 1989 (5% of this occurred in last six years).
- Reduction of chronic malnutrition by 14.5% since 1989 (6% of this occurred in last six years).
- Increased net primary school enrollment (from 72% in 1991 to 98% in 2008).

Guatemala is a country of contradictions, with the largest economy and city in Central America but also among the lowest indices of human development (0.56, or 116 out of 169 countries). Guatemala has one of the highest measures of inequality in Latin America, and the 12th highest income inequality (Gini Coefficient) in the world. Income inequity is closely paralleled by lack of access to health and education services, which constitute a major cause of Guatemala's poor health statistics and hamper rural development. Fifty-one percent of the population lives in poverty and 15% in extreme poverty. Guatemala has the worst rates of chronic malnutrition in the Western Hemisphere (49.8% of children less than five years old). More than 74% of people working in agriculture are poor, compared with 43.6% in industry and 23.1% in commerce and services.¹³ While education and wages are low nationally, in the Western Highlands (geographic focus area for FTF and GHI), education and wages are far lower for women than for men. It is interesting to note that the familiar pattern of higher levels of poverty among households headed by women compared to households headed by men does not hold in Guatemala, at least in part because of remittances, as women are the principal recipients of remittances. The flows of migrants and of remittances are focused more on rural than on urban areas.

¹³ENCOVI (*Encuesta Nacional de Condiciones de Vida*)2000.(National Life Conditions Survey)

Guatemala's health outcomes compare unfavorably with those of other much poorer countries. The infant mortality rate at 34 per 1,000 live births is the highest in Central America and the third highest in the hemisphere after Haiti and Bolivia. The maternal mortality ratio of 136 per 100,000 live births is also one of the highest in the region, and the contraceptive prevalence at 54% is one of the lowest.¹⁴ Paralleling the income and education disparities, large differences in health outcomes exist between urban, non-indigenous populations and rural, indigenous groups. Child mortality and malnutrition are 50% higher among rural and indigenous children. Maternal mortality is up to five times higher in some rural areas when compared with Guatemala City. Skilled birth attendance among rural and indigenous women is less than half of that for urban and non-indigenous women. Primarily the result of the multifaceted interaction of historical, political and socio-economic factors, these differences demand careful attention and culturally-appropriate programming.

Chronic malnutrition is a public health problem of particular concern; it is higher than any other country in the Americas and higher than most African countries.¹⁵ For rural children, the rate is 59% and for indigenous children, the rate is 66%. Chronic malnutrition among children has strong ethnic and geographic dimensions; it is concentrated in the rural communities among indigenous populations where total growth stunting rates may reach over 80%. The health, education, and economic consequences of chronic malnutrition are long-lasting and severe. In the past six decades, child malnutrition has cost Guatemalan society an estimated U.S. \$3.13 billion in reduced health, education and productivity.¹⁶

An estimated 1.8 million people in Guatemala are food insecure. Food insecurity is most severe in the Western Highlands and some areas in the east where drought is recurrent and many people eke out a living on non-irrigated subsistence agriculture. Populations in the highlands live in isolated communities and have a single maize harvest per year with few options for generating income. In the Western Highlands, about 33% of the economically active population works in agriculture and 74% of these people are poor. The existence of such chronic need leaves Guatemala vulnerable to food security crises. The lack of resources necessary for families to buy available nutritious food results in a persistent historical state of chronic malnutrition. Approximately 1.7 million people who are food insecure receive food aid, though not on a regular basis that meets their nutritional needs. Hundreds of thousands of children benefit annually from government school feeding programs.¹⁷

Despite intense challenges over the last decade, Guatemala has made progress in narrowing these gaps and improving health disparities. The infant mortality rate, currently at 34 per 1,000 live births, is on track to achieve the MDG target. Total fertility fell from 5.0 in 1999 to 3.6 in 2009 with a comparatively greater decrease for indigenous women from 6.2 in 1999 to 4.5 in 2009. Meanwhile, contraceptive prevalence increased to 54% and skilled birth attendance increased to 51%. Prenatal care coverage rates are the same among urban, non-indigenous and rural, indigenous women, and immunization rates are the same for these groups of children. A significant contributor to these improvements is the MOH extension of coverage program, which was instituted in 1998 with USAID Guatemala assistance and contracts non-governmental organizations (NGOs) to provide itinerant health services to communities that otherwise would not have adequate access to health services. In addition, the MOH, with loans from the World Bank and Inter-American Development Bank (IDB), is rapidly expanding provision of emergency obstetric care in rural areas.

¹⁴World Bank, World Development Indicators 2010.

¹⁵ ENSMI, 2008-9.

¹⁶ALeón, et.al. *Poverty, Hunger and Food Security in Central America and Panama*. United Nations Economic Commission for Latin America and World Food Programme), 2004.

¹⁷*Livelihoods in Guatemala*. USAID/ Mesoamerica Food Security Early Warning System (MFEWS). 2009.

Indicator*	1987	1995	1999	2002	2008/9
Total fertility rate	5.6	5.1	5.0	4.4	3.6
Percentage of births attended by a physician or nurse	29%	35%	41%	41%	51%
Infant mortality rate per 1,000 live births	79	57	49	44	34¹⁸
Contraceptive prevalence rate	23%	31%	38%	43%	54%
Complete vaccination coverage of children 12-23 months	25%	43%	60%	63%	71%
Percentage of children less than 5 years old with chronic malnutrition		55.2%	55.2%	54.3%	49.8%¹⁹

*Source: National Maternal Child Health Survey, 2008-2009 (Spanish acronym, ENSMI)

Guatemala has almost reached universal coverage of primary school enrollment. However, there are still few children in pre-primary school (44%), lower secondary school (29%) and upper secondary school (18%). Advances in sixth grade completion have been minimal due to lack of access, especially in remote rural areas, generalized high dropout, repetition and failure rates. These low levels of completion and high levels of repetition and desertion result in a labor force that is ill prepared to compete in an increasingly global market. The large drop-out rate is associated with the need for many children to contribute labor to their families' livelihoods. Even when children do stay in school in the primary grades, they often struggle to gain proficiency in early grade reading skills, thus hindering future educational performance and contributing to a workforce that lacks necessary skills for success. According to a 2008 evaluation conducted by the Guatemalan MOE, 50.4% of third grade students did not reach the reading level of their grade.²⁰ Deficiencies in educational quality and student outcomes are largely related to poor teacher preparation—Guatemala is the only country in the region and one of the few in the world that does not require post-high school training for its primary and pre-primary teachers. Insufficient resources and poor nutritional status also impede students' learning.

Environmental issues are critical because of the juxtaposition of the country's large natural resource endowment and weak environmental management. On the one hand, the country has highly valued natural resources and biodiversity that can provide significant revenues from tourism, carbon sequestration credits, environmental service payments and other investments, and on the other hand, Guatemala's environmental enforcement and compliance record is weak. However, the future well-being of small and medium-scale rural producers depends on the way that the biodiversity and natural resources are managed and protected today.

Guatemala is the second most-vulnerable country in the world to climate change and natural disasters.²¹ Destructive weather events, volcanic eruptions and earthquakes pose nearly annual threats to Guatemala's agricultural production, infrastructure and human life. For example, in May 2010, Tropical Storm Agatha hit Guatemala leaving 174 dead, 154 injured and almost 400,000 affected. Simultaneous to Agatha, the Pacaya Volcano erupted covering Guatemala City and nearby communities with ash. In late August/early September 2010, severe flooding and landslides caused country-wide damage, killed 272 people, caused nearly 220,000 to be evacuated and affected nearly 600,000 people. The total damage that flooding caused to infrastructure is estimated to be \$2 billion. While Guatemala has a well-developed system to track these events, the ability of the government and economy to mobilize

¹⁸ Estimation rates for the ten-year period preceding the survey.

¹⁹ Using the new World Health Organization child growth standards.

²⁰ Informe Técnico de Evaluación de Primaria 2008 (Dirección General de Evaluación e Investigación Educativa DIGEDUCA, 2009, p. 105) in *El Aprendizaje de la Lectura*, USAID/Reforma Educativa en el Aula Resúmenes de Políticas Educativas-No. 1, Feb. 2010, p. 1.

²¹ *United Nations Global Assessment Report on Disaster Risk Reduction* (2009).

resources after events of major scale remains limited. Efforts to adapt, prevent and mitigate natural disasters are also limited.

C. Problem Statement

Guatemala remains a deeply inequitable society with a culture of impunity and a weak government that is unable to address increasing security threats posed by organized crime, high levels of poverty, low quality education, high malnutrition, and mortality for preventable causes. This affects the majority of Guatemalans, especially rural populations, indigenous peoples, women and youth.

This situation is the result of two interrelated sets of factors: first, the absence of efficient, accountable, and transparent structures and systems to meet the population's basic needs perpetuates inequality, limits the scale and sustainability of development advances, and reduces the ability of the state to address high levels of insecurity; and, second, historic exclusion of approximately half of the population limits citizens' access to economic resources and opportunities, as well as quality health, education, and other public services. Combined, these two sets of factors result in poor health and nutritional status, increase the unsustainable use of natural resources and community vulnerability to natural disasters, and increase the influence of criminal actors.

The CDCS problem statement is based on significant analysis and consultation. It summarizes the chief dynamics of the country's development trajectory and identifies two sets of factors that limit Guatemala's development potential. The CDCS will focus resources to address each of these factors and support Guatemala's development trajectory.

D. Country Leadership and Donor Programs

GOG leadership of development efforts varies across sectors. Currently, Guatemala has not articulated a single national development plan, but rather a series of development plans. The Secretariat of the Presidency for Planning and Programming (SEGEPLAN) recently released strategic investment plans for 14 departments and 287 of the total 333 municipalities, and three sub-regional plans for the Northern Transversal Strip, the Pacific Coast and Petén. These plans lay out the type of program investments required from 2011-2015 for specific geographic areas. In September 2011, Guatemalans elected new members of Congress and most of the 333 municipal mayors. In November 2011, Guatemalans elected a new president in run-off elections between the two leading candidates who emerged from the September 2011 elections, as well as the remainder of the country's mayors following allegations of impropriety in some of the municipal elections. USAID is working closely with the new Administration as it lays out its national priorities and implementation strategies, to ensure coordination with respect to development programming.

USAID project development and implementation will continue to be coordinated with key GOG institutions, including SEGEPLAN, the Ministry of Finance, the Supreme Court of Justice, the Public Ministry, the Ministry of Governance, the Ministry of Health, the Ministry of Education, the Ministry of Agriculture, the Ministry for the Environment, the Secretariat for Food Security and Nutrition (SESAN), the National Association of Mayors (ANAM), and others.

USAID will support the implementation of the National Accord 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. The Accord provides a strategic framework to guide GOG efforts to combat crime, illicit trafficking and impunity, and to reform the security and justice sector. While the Accord has not been fully embraced, or adequately funded, it does represent important GOG security and justice core themes that USAID hopes will be further prioritized and operationalized in the next

administration. USAID will concentrate on select priorities in the Agreement aligned with USG foreign policy priorities and funding. Core themes will include police reform, security policies and institutions, administration of justice, and policies and institutions for criminal investigations and investigations against impunity. USAID will also provide support for the implementation of the strategic plans of security and justice institutions, including the Public Ministry, the Police Reform Commission, the National Security Council and the Supreme Court, and for the implementation of the National Youth Policy. USAID proposed security and justice activities are consistent with these plans and complement the actions already initiated by the GOG.

USAID CDCS assistance will support implementation of key GOG plans and policies, such as the Strategic Plan for Food and Nutritional Security (PESAN) and the development of the sub-national implementation plan for the Western Highlands, PLANOCC. PLANOCC seeks to mitigate the risks of food insecurity and chronic malnutrition, focusing on the most vulnerable populations of priority municipalities in the Western Highlands. The GOG's sub-national plan is undergoing strategic reviews at national and regional levels to ensure that it is sound and has the support of local officials, regional public institutions, civil society and the private sector. Ongoing national coordination of all food security programming will be managed by SESAN through a well-established coordination structure that involves all relevant GOG ministries, donors and civil society at the national level and all relevant actors at the local level. The USG Feed the Future Initiative will directly support and be coordinated with PESAN and PLANOCC.

Likewise, USAID Guatemala will continue to support the revision and development of health strategic interventions consistent with the GOG PLANOCC at national and local levels. This active support of national interventions increases the likelihood that GOG resources will be channeled to institutionalize and sustain USG interventions. Current USG support responds to the following national health priorities: 1) improve governance and leadership; 2) increase institutional capacity, including greater attention to “*interculturality*”; 3) reduce maternal, infant and child mortality; 4) reduce chronic malnutrition; 5) improve information systems; and 6) increase the percentage of GDP spent on the healthcare system.

Donor coordination in Guatemala is well-organized and has been adopted as a model in the region. There are three levels of coordination: the *Grupo de Diálogo* (Dialogue Group), which is at the Ambassadorial level; the *Grupo de Coordinación de la Cooperación* (Coordination Group), made up of heads of international donor agencies; and, the technical working groups focused on sectors such as security and justice, transparency, education, health and food security. The level of coordination varies, with some technical working groups having formal charters to meet regularly, and others meeting on an ad-hoc basis.

USG, especially USAID Guatemala, has been active in donor coordination for many years. Relations among the donor community in Guatemala are excellent. Multi-lateral organizations active in Guatemala include the United Nations, the World Bank Group, the Inter-American Development Bank, and the Global Fund to Fight AIDS, Tuberculosis and Malaria.

Guatemala is currently home to five USG Initiatives²² that present unique opportunities for interagency cooperation and integration. USAID Guatemala coordinates programs with the U.S. Department of Agriculture (USDA), U.S. Department of Defense, U.S. Department of the Interior, U.S. Department of State, including the Narcotics Affairs Section (NAS), U.S. Department of Justice, U.S. Department of the Treasury, Centers for Disease Control and Peace Corps.

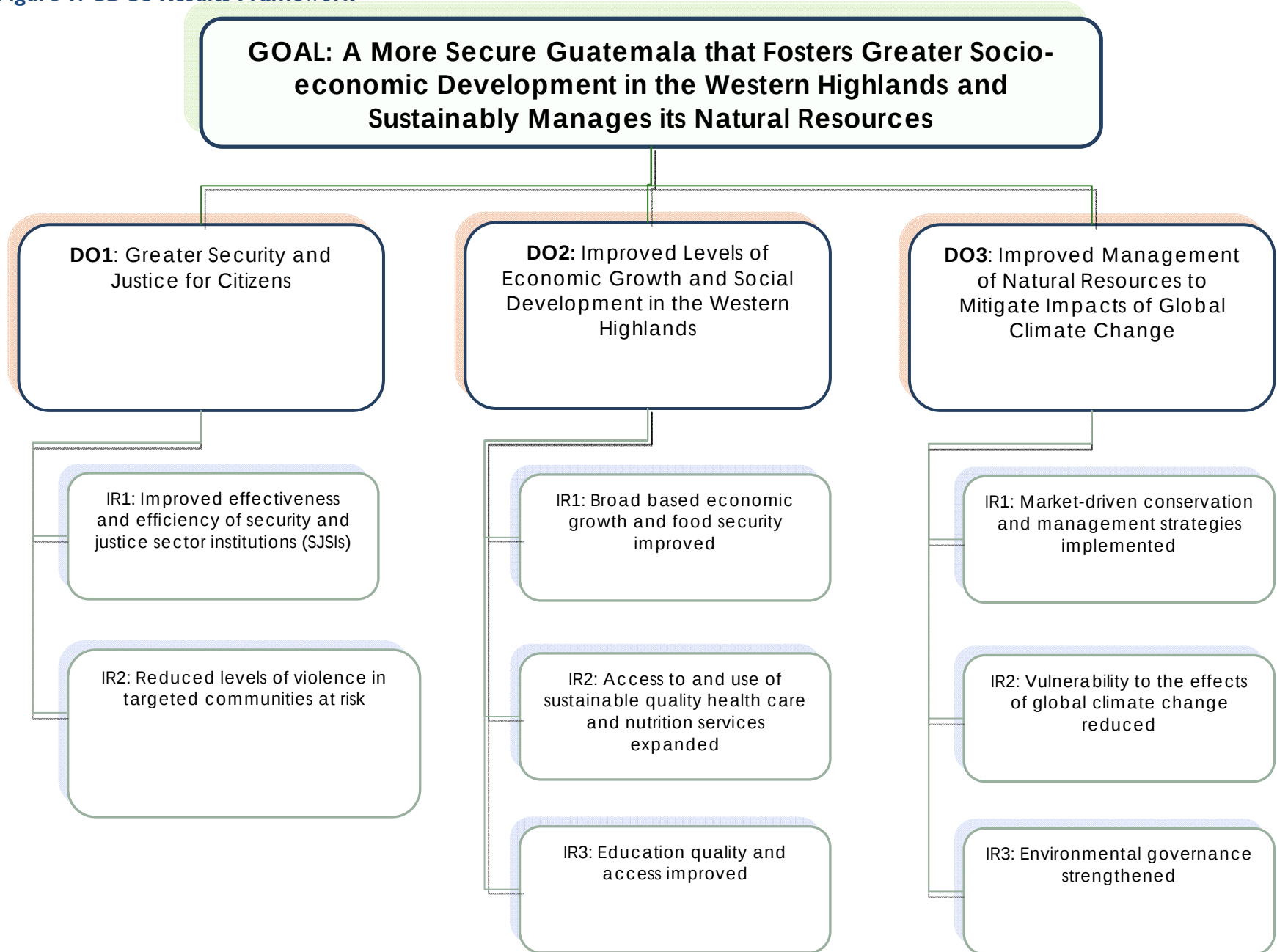
²²Feed the Future, PEPFAR, Global Health Initiative Plus, Global Climate Change Initiative, and CARSI.

Top Bilateral Donors & Priorities

United States	Economic Growth, Health and Education, Environment, Democracy and Governance and Food Security
Spain	Security and Justice, Rural Development, Poverty Reduction, Health and Education
European Union	Poverty Reduction, Economic Growth, Security and Justice and Youth
Netherlands	Poverty Reduction, Environment and Security and Justice
Sweden	Democracy and Governance, Economic Growth and Health
Japan	Economic Growth, Democracy and Governance and Education
Germany	Education, Democracy and Governance, Security and Justice and Environment
Canada	Food Security and Security and Justice

II. Results Framework

Figure I: CDCS Results Framework



A. Overall Goal

The overall goal statement for the CDCS is: “A More Secure Guatemala that Fosters Greater Socio-economic Development in the Western Highlands and Sustainably Manages its Natural Resources” (See Figure 1 and Appendix 4). The goal reflects country leadership and focuses investments to support country development plans, especially in the areas of security and justice,²³ food security,²⁴ health,²⁵ and environment. This goal is derived from extensive consultation with the GOG, donors, partners, academia, leaders from civil society, private sector, indigenous populations, and within the USG.

The overall goal is measurable; democracy can be measured by political legitimacy, most often characterized by support for the political system and tolerance of opposition;²⁶ security can be measured using crime victimization and perception studies; and prosperity can be measured by economic growth and improvements in income equality.

The achievement of this goal presupposes several critical assumptions (discussed further below). Chief among these are Guatemala’s continued close alliance with the United States, the continued democratization of Guatemala’s political systems and increased role of civil society, and stable GOG funding for critical development related services.

B. Development Hypothesis

The Guatemala CDCS is based on a set of development hypotheses that are necessary to achieve the overall goal. Namely, the Guatemala Mission hypothesizes that greater security and justice for citizens, improved levels of economic growth and social development in the Western Highlands, and improved management of natural resources to mitigate impacts of global climate change will lead to a Guatemala that is simultaneously more democratic, more secure and more prosperous. Each Development Objective addresses a specific aspect of the development challenges facing Guatemala (see section I.C. Problem Statement). When achieved together, they provide the necessary conditions to advance Guatemala’s prospects for significant development over the next five years.

The hypothesis is based on the theory of change that greater security and justice for citizens will lead to a more secure Guatemala, but that security will not last without improved income equality and social development that reduce the economic motives for criminal activity. Likewise, while increased economic and social development will lead to a more prosperous Guatemala, that prosperity cannot be sustained without freedom from violence and/or fear of violence and participation in democratic decision-making processes. However, security, democracy and prosperity will be meaningless if

²³ “National Accord for the Advancement of Security and Justice,” 2009, http://www.iepades.org/acuerdo_de_seguridad_y_justicia.pdf; “Plan Estratégico 2011-2014 del Ministerio Público”, Public Ministry, Government of Guatemala, February, 2011, http://saladeredaccion.com/revista/wp-content/uploads/downloads/2011/04/presentacion-plan-de-trabajo_v2007.pdf; “Plan Estratégico Institucional de la Comisión de Reforma Policial,” National Police Reform Commission, 2010; “Plan Estratégico Quinquenal 2011-2015 del Organismo Judicial”, 2010 <http://www.oj.gob.gt/index.php/plan-quinquenal-2011-2015>; and “National Youth Policy 2010-2015,” <http://www.conjuve.gob.gt/portal1/pdfs/Politica%20nacional%20de%20juventud%202010-2015.pdf>

²⁴ “Food Security and Nutrition Strategic Plan PESAN 2009-2012,” Food Security and Nutrition Council (CONESAN), Government of Guatemala http://www.sesan.gob.gt/images/files/File/pesan_final.pdf Note: USAID is currently working with the GOG and donors to revise the PESAN.

²⁵ “National Health Strategy,” Ministry of Health, Government of Guatemala http://portal.mspas.gob.gt/plan_estragico_nacional.html

²⁶ Mitchell A. Seligson. “Towards a Model of Democratic Stability: Political Culture in Central America,” *Estudios Interdisciplinarios de América Latina y el Caribe* 11, no. 2 (2000). See also *Latin American Public Opinion Project* <http://www.vanderbilt.edu/lapop/guatemala.php>

Guatemala is not protected from the potential economic devastation of the impacts of global climate change and mismanagement of the country's wealth of natural resources.

Section I details the complex, interrelated development problems facing Guatemala. When viewed holistically, issues related to Guatemala's overall development are multidimensional and call for an integrated, multi-sector development approach. The CDCS therefore advances a highly integrated, aligned and coordinated portfolio of interventions focused on achieving three Development Objectives that aligns all USG Initiatives: Feed the Future, Global Health Initiative Plus (including PEPFAR), Global Climate Change Initiative, and CARSI with non-initiative programming to ensure significant development advances in Guatemala.

The three Development Objectives, and their related Intermediate Results and sub-Intermediate Results, were determined based on extensive consultations within the USAID Guatemala Mission and among other USG agencies in Guatemala, and with various GOG entities, donors, partners, and academics, as well as civil society, private sector, and indigenous leaders. As such, the final product represents the consolidation and integration of the most pressing development priorities in Guatemala – all of which move the country towards the CDCS Goal. Taken separately, each Development Objective leads to partial achievement of the goal, but without all three Development Objectives, the Goal cannot be fully realized and sustained.

The development hypotheses and relationships between the sub-IRs, IRs and each DO are explained in greater detail in Section II.C.

C. Relationships between Sub-Intermediate Results, Intermediate Results, Development Objectives and Goal

Within each DO are hypotheses, based on research and experience, that underpin the hierarchical relationships leading from sub-IRs to IRs to the DO, and ultimately, to the Goal.

DOI: Greater Security and Justice for Citizens

The provision of security and justice are core state functions and are essential public goods that are often described as prerequisites for development. The provision of security and justice requires both effective police and judicial systems. DO I hypothesizes that increasing the demand for police and justice reform, strengthening national level government capacities to include administrative, financial and strategic planning, institutionalizing crime prevention strategies, targeting pilot projects in key areas with high homicide rates, strengthening local governments, and improving transparency and accountability of key institutions will lead to a reduction in crime and an increase in the number of prosecutions with final verdicts, thus breaking the vicious cycle of impunity.

As articulated in the Results Framework, strengthening prosecution and adjudication of high impact crime cases, including gender based violence, and improving the management, accountability and coordination among security and justice sector institutions will lead to more effective security and justice institutions for all citizens (IR 1.1). Also, an increase in future employment opportunities for at-risk youth, greater confidence in the National Civilian Police, and an increase in civic responsibility will lead to a reduction in violence (IR 1.2). The combination of national and targeted community level actions, with the participation of local governments, civil society and the police to improve effectiveness and efficiency of security and justice sector institutions (IR 1.1.) and reduce levels of violence in communities at risk (IR 1.2) will lead to increased security and justice (DOI). A more secure Guatemala with improved socio-economic development and improved management of natural resources

(summary of the Goal) implies that the state has the capacity to provide security, justice, services, and economic opportunities for its citizens in a responsive and efficient manner (DOI).

DO2: Improved Levels of Economic Growth and Social Development in the Western Highlands

Key effects of the inequality that exists between indigenous and non-indigenous populations in Guatemala are limited access to health and educational services, jobs and markets, which contributes to higher levels of poverty, poorer health and nutrition statistics and lower levels of education among indigenous populations compared to non-indigenous populations. DO2 hypothesizes that parallel improvements in the income, health and nutrition, and education of Guatemala's rural poor will foster the sustainable rural development necessary for social and economic equity. Improved income alone is insufficient to reduce poverty, illness and malnutrition in Guatemala's rural poor communities; therefore, USAID will work with the GOG in the Western Highlands to improve economic opportunities and the access and utilization of quality health, nutrition, and education services.

As articulated in the Results Framework, improving agricultural productivity and rural employment opportunities, expanding access of small-scale agricultural producers to larger and niche markets, and increasing the economic resiliency of poor rural households will lead to economic growth and increased food security in the Western Highlands (IR 2.1). Increasing the adoption of good health practices among the population in the Western Highlands – particularly among women of reproductive age and children, and improving both the availability and quality of health and nutrition services will lead to overall improved access of Western Highlands communities to health and nutrition services (IR 2.2) and improved health indicators. Improving reading skills, increasing access to non-traditional programs for youth who fall outside the traditional educational system and strengthening GOG educational systems will result in improved education access and quality (IR 2.3).

Expanding job opportunities, making health services widely available and increasing basic and vocational education opportunities not only go a long way to address the deep-seated inequity of Guatemalan society, they also foster economic growth in the Western Highlands and improve the health and educational status of families and communities in this area. Helping to strengthening the GOG's capacity to provide and improve the quality of health and education services contributes to long-term sustainability and social development. As a result of improved social and economic development, Guatemala will become more prosperous. In addition, reducing the economic motivations behind criminal activity, providing youth with alternative educational opportunities and strengthening GOG systems will create a more secure Guatemala as well.

DO 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change

Sustainable management of natural resources requires demonstrating technologies that will help mitigate the effects of climate change and identifying markets that create financial incentives for protection and conservation of timber and non-timber forest products. Sustainable management and conservation of natural resources also requires the strengthening and empowering of local entities, providing them with the ability to enforce regulations affecting conservation. DO 3 will contribute directly to the goals set out in the Global Climate Change Initiative by creating incentives for sustainable natural resource management, reducing vulnerability to climate change and natural disasters, strengthening the role of local environmental management and law enforcement, mitigating risks of natural disasters, and collaborating with the GOG on new natural resource strategies and policies.

DO 3 hypothesizes that community-based economic incentives for conservation and protection of biodiversity, coupled with improved enforcement of existing environmental regulations and improved

national policies, will safeguard the resource base necessary for sustainable rural development and thus contribute to Guatemala's increased prosperity. Concurrent reduction of vulnerability to natural disasters will help mitigate loss of life and livelihoods due to climate change related events. As under DO 2, improved economic opportunities and strengthened local GOG institutions will also contribute to a more secure Guatemala. By simultaneously promoting markets for sustainable forest products and developing forest land use policies, USAID Guatemala will ensure implementation of market-driven conservation and management strategies (IR 3.1). Similarly, by working concurrently with local communities to adopt improved technologies and cooperating with local government institutions to strengthen risk identification mitigation, the vulnerability of communities to global climate change will be reduced (IR 3.2). Lastly, strengthening environmental institutions at the local level will contribute to the overall strengthening of environmental governance (IR 3.3).

Policy support and strengthening local governance are cross-cutting issues key to achieving all of the DOs. Assisting in the development, adoption and implementation of national level development related policies will provide the legal foundation to increase the state's capacity to take ownership of Guatemala's development and support existing community-level development gains. As a result of increased local government capacity to provide for and respond to citizen needs in the areas of crime prevention, water and sanitation services, and natural resource and disaster management, security will improve, economic and social development will advance, and environmental resources will be protected from destruction.

D. Focus and Synergy

All three DOs are dovetailed to maximize program synergies and optimize development outcomes. The CDCS does this by: a) aligning programming in all sectors to achieve the CDCS DO1, DO2, DO 3 and Goal; and by b) focusing DO 2 programming in particular in a specific geographic region to combine two Presidential Initiatives and the health, education, economic growth and agriculture sectors.

DO 1, DO 2 and DO 3 each identify opportunities for cross-sector synergies. DO1 is inherently related to objectives in both DO 2 and DO 3. For example, combatting crime requires a holistic approach that begins at birth, following which increased education, health and economic well-being complementing DO 1 efforts to decrease the vulnerability of at-risk youth and the likelihood that they will engage in illicit activities. DO 1 also complements objectives under DO 3 related to environmental governance in Petén through an activity that includes strengthening the prosecution of environmental crimes. DO 1 focuses on strategic areas where there are high crime rates, as well as gang activity and trafficking of narcotics, persons, contraband and arms. DO 1 also focuses on transparency efforts at the national level on key appointments. While the target focus is on security and justice, strengthening national watchdog groups strengthens democracy and will lead to improvements in other ministries that play a key role in the programs of DO 2 and DO 3. This synergy provides the basis for rationalizing support for GOG security and justice institutional strengthening and crime reduction. It also provides the basis for cross-fertilization between DO1, DO2 and DO 3.

Similarly, DO 2 has a combined focus that will maximize results for FTF and GHI. As mentioned above, DO 2 programs (particularly agriculture, health and environment projects) will support strengthening of local government institutions as well as national level policies in order to achieve improved development outcomes. Furthermore, healthy children who stay in school and foresee a future in which they can earn a steady income through licit and profitable economic activities are less likely to engage in criminal behavior and contribute to insecurity. In these areas, DO 2 and DO 1 are inextricably linked. Furthermore, while IR 2.1 focuses on increasing incomes through agriculture, including increasing the resiliency of households to market fluctuations, IR 3.2 addresses reduced vulnerability of communities to

catastrophic environmental events. Agriculture and environment are inherently related, and the ability of communities to earn income through agricultural production depends on their ability, and the ability of the GOG, to manage environmental resources sustainably.

USAID Guatemala determined that geographic focus and concentration is necessary to accomplish the CDCS Development Objectives, which represents a significant shift from USAID Guatemala's reach under the previous strategy (see Figures 2 and 3). Whereas USAID activities were present in all 22 of Guatemala's departments under the previous strategy, USAID Guatemala will implement activities in 13 departments under the CDCS, with a strategic focus on five departments in the Western Highlands. However, this focus does not preclude the possibility that circumstances may arise that necessitate new projects and activities outside of geographic focus areas. This is especially relevant for DO I, as the factors for geographic selection are based on the incidence of crime. The CDCS will concentrate most of its projects in five targeted departments in the Western Highlands where poverty and chronic malnutrition rates are highest and where clear opportunities for economic development exist. Specifically, economic growth, agriculture, health, education, P.L. 480 Title II MYDP and local governance activities will be co-located in target municipalities to take advantage of synergies and achieve improved program outcomes. Activities under DO I will be focused on areas that are strategically important for improving security, such as the Guatemala City metropolitan area and border areas, including areas in need of such programming (i.e. drug trafficking routes) in the Western Highlands. HIV/AIDS programming will continue to focus on high-risk populations and transportation corridors. Environment programs will continue to focus on the Maya Biosphere Reserve (MBR), Alta Verapaz, and Baja Verapaz and may expand to the FTF and GHI target regions as resources become available. Figure 2 compares the CDCS geographic focus with USAID geographic coverage under the previous 2004-2011 strategy.²⁷

Gender inequity is a cross-cutting issue that affects the long-term development of Guatemala. All three Development Objectives, whenever possible, leverage networks of women's groups, focus on issues specific to women and their roles in the family, ensure development of their skills and talents, and promote greater participation in all political and economic activities. Furthermore, both policy support (see Appendix 5) and local governance are cross-cutting issues that pervade all programs encompassed by the CDCS.

E. Assessment of Risks

Risks

USAID Guatemala recognizes that risk is inherent in international development and that the success of the CDCS will necessarily be affected by those risks. Key risks are identified below.

Transnational crime and related violence and corruption continue to increase: Violence, organized crime, endemic corruption and extreme levels of poverty combine to form a significant threat to Guatemala's stability. Illicit trafficking of people, narcotics, arms and contraband, as well as organized crime and criminal gangs have spread southward from Mexico into Guatemala, bringing with them increased violence, corruption and criminal activity. Guatemala now has one of the highest murder rates in the world (41 per 100,000 people in 2010). Violent youth gangs have proliferated in recent years and Guatemala has become a transit country for drug traffickers trying to smuggle drugs from South America into the United States. Violence is exacerbated by the absence or weakness of the police force, as well as by impunity. Similarly, organized crime continues to make inroads into political

²⁷Note: national level policy programs are not represented.

processes and to infiltrate the justice system. The USG will continue to support a coordinated response to these threats through CARSI and related projects.

GOG underfunded: Historic low levels of tax revenue, a weak fiscal system, and fiscal evasion have left the government underfunded with respect to meeting its basic obligations, including security, health and education.

Commodity prices drop sharply or are highly volatile: International commodity prices, especially for coffee, continue to be uncertain. This uncertainty carries with it the potential for sharp changes in rural income. For example in 2001, major coffee producing countries increased their production of high quality coffee, which resulted in a major decrease in coffee prices and provoked an economic crisis. USAID Guatemala will help mitigate commodity shocks by supporting rural income diversification and assist small-scale agriculture producers to diversify crops (i.e. snow peas, fruits, legumes, mini vegetables and fresh greens) and not depend on coffee or any other single commodity.

Domestic food prices continue to increase: Increased prices for corn and beans affect the most vulnerable populations, putting them at high risk of serious food insecurity. Reduced access to off-farm jobs, caused by potential reduction in market prices for coffee and sugar cane, combined with increased food prices would disproportionately affect vulnerable populations. Acute and chronic malnutrition could increase and FTF and GHI geographic focus departments could face a humanitarian emergency. USAID Guatemala will continue monitoring food prices and supporting the GOG in necessary policy analyses regarding specific measures to take in case of sudden spikes in food prices.

Climate events affect agriculture production and infrastructure: Guatemala is one of the most vulnerable countries worldwide to natural disasters.²⁸ On average, the country is hit each year by one or more hurricanes, heavy rains, volcanic eruptions or droughts that damage crops and infrastructure. Earthquakes are also an acute risk because the country sits on three tectonic plates. Under DO 3, USAID will use GCC Initiative and other resources to prevent and mitigate risks through adaptation activities.

Agriculture sector does not meet international sanitary and phytosanitary standards (SPS): U.S. inspections of some products exported from Guatemala to U.S. markets have revealed unacceptable levels of pesticides during the last few years. If Guatemala does not improve its sanitary and phytosanitary systems for horticulture export products, it may lose the opportunity to continue selling in existing markets and to open new ones. The USG will continue to press for improved SPS systems as part of the FTF Diplomatic Strategy.

Forest fires, land invasions and illegal activities in protected areas: Guatemala's protected lands are continuously threatened by forest fires, land invasions, expansion of the agriculture frontier and illegal activities, such as narco-trafficking and looting of archaeological sites. The Guatemala CDCS will help mitigate the effects of these events by continuing support to local forestry concessions in the Maya Biosphere Reserve through sustainable forestry management, improved livelihoods and carbon credits, and strengthened local governance and civil society.

²⁸United Nations Global Assessment Report on Disaster Risk Reduction (2009).

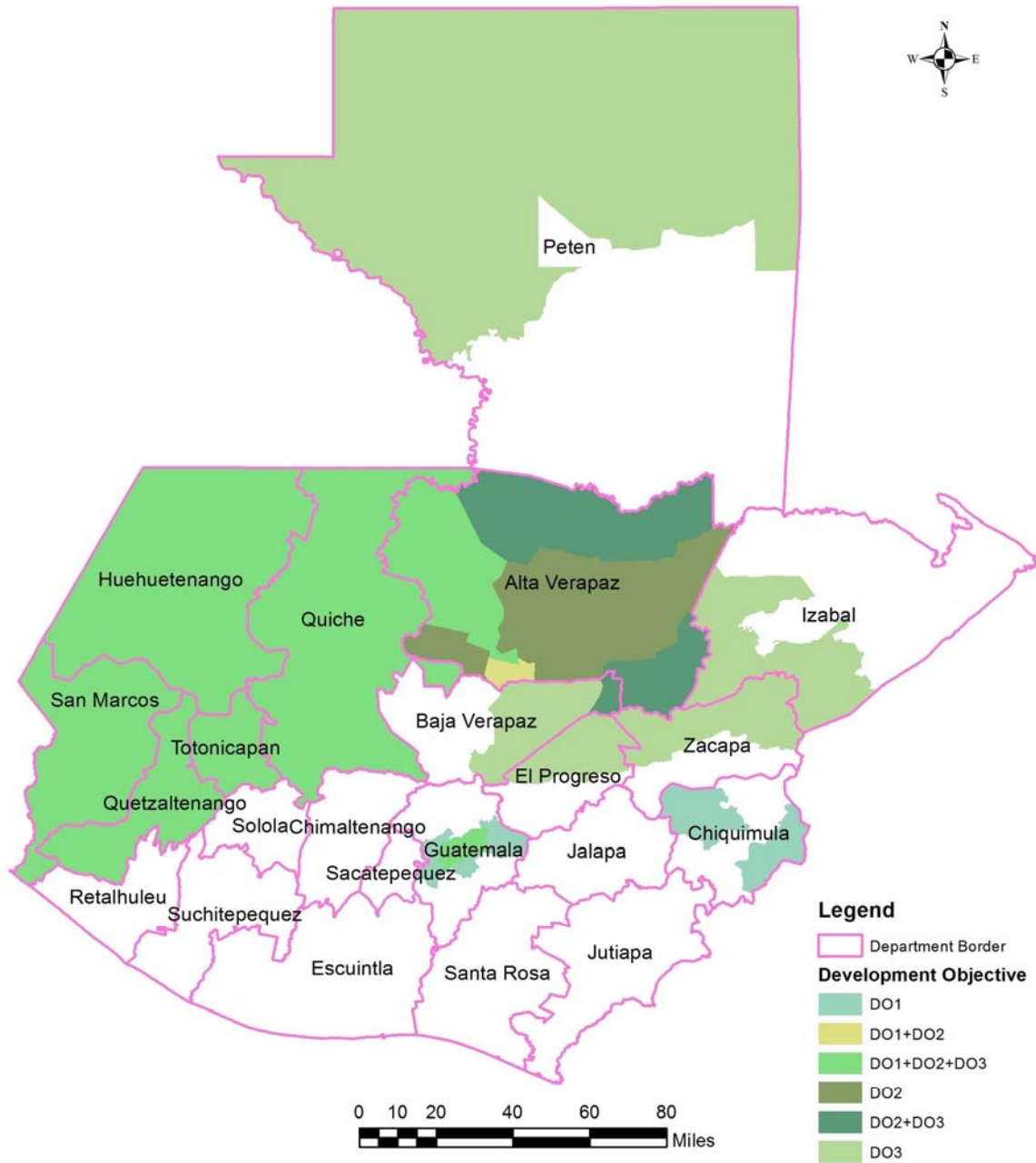
Figure 2



Figure 3

USAID / GUATEMALA Geographic Focus

Country Development Cooperation Strategy



III. Development Objective One: Greater Security and Justice for Citizens

A. Description

Security and stability are fundamental to human development. According to recent public opinion polls, security is the number one concern of the majority of Guatemalans.²⁹ The more violence there is, the more the government must allocate scarce resources to security. This allocation reduces the amount spent on health, education and economic opportunities.

The Inter-American Commission on Human Rights (IACHR) indicates that:

“Security has always been one of the States’ main functions. Undoubtedly, as authoritarian States transitioned into democratic States, the concept of security evolved. In the past, the concept of security meant maintaining order, as an expression of the power and supremacy of the State. Today, democratic States are espousing law enforcement models that encourage citizen participation and that are premised on the principle that the protection of citizens by law enforcement must be respectful of the institution, the laws and basic rights. Thus, from the standpoint of human rights, when we speak of security today, we are not just talking about fighting crime; instead we are talking about how to create an environment conducive to peaceful coexistence. And so, the concept of security must place greater emphasis on activities to prevent and control the factors that generate violence and insecurity, rather than purely repressive or reactive behaviors to consummated acts.”³⁰

In line with the above definition of citizen security, projects and activities under DO 1 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.

According to the USAID Democracy and Governance Assessment that was conducted in Guatemala in May 2011, two of the main areas in which USAID should concentrate its programs are: 1) rule of law in order to strengthen justice institutions’ ability to combat and prevent crime, and 2) transparency and administrative accountability in order to improve internal control systems in targeted government institutions.³¹ Current weaknesses in both areas undermine the capacity of the GOG to ensure equal and fair access to justice for all and protect citizens against spiraling violence. DO 1 is based on the premise that by improving the effectiveness and efficiency of national level security and justice sector institutions (IR 1.1) and reducing levels of violence in targeted communities at risk (IR 1.2), there will be greater security and justice for citizens. Both intermediate results depend on a sound legal framework, strong local governments, and civil society participation and oversight of institutions. DO 1 is closely linked with DO 2 and DO3 in that a state that has greater capacity to provide security and justice to its citizens will be better positioned to deliver social services, foster an equitable and economically prosperous society, and provide support needed to manage and maintain a sound natural resource base. While the emphasis is on security, programming will also focus on consolidating democratic institutions and promoting good governance. Good governance at the local level is particularly important as the majority of Guatemalans live outside Guatemala City and view mayors and other local officials as the

²⁹ “Political Culture and Democracy in Guatemala,” LAPOP 2010, p. 77.

³⁶ Presentation of the Executive Secretary of the IACHR before the Special Working Group for the Preparation of the First Meeting of Ministers in the Area of Public Security in the Americas, Washington, D.C. June 20, 2008.

representatives of the GOG who are responsible for providing services. Strengthening local governance will increase the capacity of local governments to prevent crime. In addition, by ensuring that local governments are viewed and trusted by citizens as capable and legitimate providers of much needed services, the incentive for citizens to engage with illegal actors will decrease. Success will be measured by democracy perception surveys, including the Latin American Public Opinion Project (LAPOP), as well as CARSI crime victimization surveys.

In response to security challenges in Central America, the United States has focused on improving citizen security and rule of law through CARSI. With CARSI funds, USAID Guatemala will continue to support community-based efforts to prevent crime (i.e., gang activity) including community-oriented policing and vocational education for at-risk youth. Activities will build community cohesion, strengthen local governance, improve infrastructure for public use, and educate and empower youth to address the root issues that cause young people to become involved in criminal activities. Through partnerships with the GOG, local governments, civil society organizations and the private sector, as well as through support from other USG agencies and donors, USAID Guatemala efforts will target both urban areas facing crime problems and vulnerable rural communities with a high incidence of drug trafficking. Using bilateral funds, USAID will also implement activities to reduce domestic violence, trafficking in persons and environmental crimes.

USAID Guatemala support will focus greater attention on police reform as a public administration challenge, as well as improve coordination among security and justice sector institutions. The “security and justice sector” is a broad term to describe the structures, institutions and personnel responsible for the management, provision and oversight of security and justice in the country. The security and justice sector institutions on which USAID assistance will focus include: the Public Ministry, the Civil National Police (PNC), the National Security Council, the Institute of Public Defense, the Police Reform Commission, the Supreme Court, the National Forensics Institute (INACIF), the Ministry of Government, the Supreme Electoral Tribunal (TSE) and the National Office of Civil Service (ONSEC), among others. The Police Reform Commission has already put forward an ambitious reform agenda with five priority areas, including criminal investigation, crime prevention, management and professionalization of human resources, policy planning, and internal controls.

USAID Guatemala will work closely with the donor community, specifically the Petit Comité on security and justice, and other USG agencies such as the State Department, NAS and the USG Military Group to coordinate activities and messages with respect to DO I. In particular, USAID’s efforts under DO I will focus on longer-term institutional strengthening and community participation that will complement NAS’ efforts in tactical and operational criminal investigation and internal controls.

As confirmed by the 2008 LAPOP survey in Guatemala and other Latin American countries, victims of crime tend to show reduced levels of support for stable democracy and, at the same time, they have lower trust in public institutions. Similarly, trust in justice sector institutions is highly correlated with support for democracy.³² These relations also hold true for perceptions of citizen security, in that lower perceived security undermines citizens’ beliefs in the legitimacy of public institutions. Thus, by building capacity to combat and prevent crime through security and justice sector institutions, citizen security will be increased and citizen support for democracy in Guatemala will be fortified.

³²LAPOP. 2008. *Cultura política de Guatemala, 2008. El impacto de la gobernabilidad*. Vanderbilt University America Barometer/ASIES. pp. 51-68.

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

While the GOG developed an impressive national security legal framework as part of the 1996 Peace Accords, its implementation has been slow and inconsistent as a result of lacking political will and absence of fiscal reform. The basic premise of this IR is that the under-funding of security and justice sector institutions, the lack of technical expertise, a lack of prioritized and coordinated actions among the security and justice actors, and the increasing presence of violence and organized crime both within and outside of Guatemala are inextricably linked to high levels of violence and impunity, corruption and weak state presence in strategic areas of the country. Improving the effectiveness and efficiency of targeted institutions is critical to maintaining the control of the State within a democratic framework.

Under this IR, USAID 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 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 USAID 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 (see Appendix 5) 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

The recently undertaken Guatemala Democracy and Governance Assessment states, “in addition to the failure of the state to protect citizens against violent crime, Guatemalan judicial institutions have mostly failed to prosecute and convict criminals, exert effective controls against the abuse of power and guarantee Guatemalan citizens equal and impartial access to justice.”³³ Although efforts have been introduced to modernize the justice system, serious institutional weaknesses remain. As a result, very few crimes are actually investigated and prosecuted; the result being high levels of impunity.³⁴

Under DO I, USAID Guatemala 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. 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 justices of the peace; and introducing models of alternative dispute resolution. USAID will also continue supporting the application of the Law against Femicide and Other Forms of Violence against

³³Guatemala Democracy and Governance Assessment, May 2011, p. 7.

³⁴See Transparency International, “Judicial Corruption and the Legacy of the Military in Guatemala.” Global Corruption Report 2007, p. 211.

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 DO will foster leadership and coordination, and enhance the integrity of the justice and security sector. Doing so will further USAID efforts to fight impunity. USAID will continue 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 strategy.

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

In order to strengthen the provision of security and justice, the DO 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.

One of the factors contributing to the weakness of executive institutions is the lack of a permanent civil service. Guatemala’s Civil Service Law was approved in 1968 and requires reform. With every change in administration and associated rotation of political appointments, there is a loss in the institutional memory of governmental institutions. 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, USAID 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.

USAID Guatemala 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.

The lack of sound management practices is a characteristic of police forces that are not governed by democratic principles and professional ethics.³⁵ This deficiency, among others, limits the ability of the police to respond to high crime rates and gain public trust.³⁶ Adequate management is necessary for officers to ensure that security forces operate in a manner consistent with democratic practices, and that agents have the institutional and logistical support to be motivated, trained and well equipped to perform their mandate.³⁷ Sound management is also indispensable to administrative and financial accountability. Although they result in security challenges, these management issues are primarily a public administration issue. One way in which DO I will address this problem is by establishing an adequate career path for the

³⁵See “A Field Guide for USAID Democracy and Governance Officers: Assistance to Civilian Law Enforcement in Developing Countries,” January

2011, http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/AFieldGuideforUSAIDDemocracyGovernance%20Officers.pdf page 24-25.

³⁶Ibid.

³⁷See “Promoting Security Sector Reform in Fragile States,” April 2005.

http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/SSR_in_Fragile%20States_508c.pdf page 8 and 17.

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. Additional areas of focus for improving the management and administrative services and tools in key SJSIs will include, but not be limited to maintenance of services and infrastructure (i.e. communications software and hardware, vehicles, and databases), information technology, inventories, internal audits, and internal inspectorates.

In order to improve the efficiency of SJSIs, it is necessary to improve their ability to plan strategically and coordinate with each other. This is a key aspect of creating sustainability and host-country government ownership of the provision of security and justice in Guatemala. For this to be achieved, the SJSIs must be able to create effective strategic plans and implement them. DO I will 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. The enhancement of coordination and cooperation among key institutions is vital to improving the effectiveness of SJSIs. This will be achieved through the promotion of coordination mechanisms, including, but not limited to interagency working groups and interagency trainings.

Since the transition to democracy in 1985, the GOG has conducted seven successful elections with the support of the donor community, especially the USG. USAID support for electoral processes has focused on strengthening of the TSE and domestic observation efforts. USAID assistance for quick counts conducted by domestic observer networks has been critical to the credibility of the electoral processes.

The political party system in Guatemala is weak, as revealed by the parties' absence of programmatic content in political platforms and the use violence and verbal attacks among political adversaries.

Political parties by and large exist mainly at election time. After seven successful democratic elections, one of the key remaining threats to the electoral process is lack of campaign finance controls. In addition, there have been repeated violations of the Electoral and Political Parties Law by the political parties, including the promotion of candidates that are not allowed to participate by the Constitution, illegal propaganda activities, and limited access to political parties' financial records. At present, the TSE lacks the legal tools and experience to efficiently control political finance.

Due to these factors, USAID believes it is important to remain engaged in activities supporting elections and political party processes. To this end, USAID will focus 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.

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

A lack of transparency and strong oversight systems facilitate the obtaining of favors and contracts through corrupt practices. In addition to undermining the effectiveness of and public confidence in SJSIs, corruption and mismanagement also drain state resources that could be dedicated to alleviating poverty.

In a study of the justice system conducted by the World Bank in 2005, more than 70% of Guatemalans considered the justice system to be manipulated by the government and by powerful economic and political interests. Eighty-five percent considered the justice system corrupt and seven out of ten people

lacked confidence in the justice system and believed laws are only applied to the poor.³⁸ Similarly, according to the most recent LAPOP survey published in 2010, only 41.3% of Guatemalans said they trust courts.³⁹

Corruption has the greatest relative impact on the members of society with the lowest status, which usually include women. Petty corruption in the form of bribes associated with day-to-day activities – school fees, registrations, health services – tend to affect women more than men since these payments fall to them. Studies show that corruption reduces the funding of social services, again with a more direct impact on women than men because of their household and family care responsibilities.

One of the major direct impacts of corruption is that resources, service delivery, access to information and to key positions tend to go to those who are well-positioned to afford the extra cost of obtaining such benefits. This leaves the poor and traditionally excluded members of society such as women, indigenous groups, and especially indigenous women, at a considerable disadvantage particularly when compared to men. As such, it is necessary to involve men and women at the local and national levels to promote transparency and accountability in an effort to reduce corruption, through mechanisms such as public awareness campaigns, and accountability watch groups.

In order to create an impartial and fair justice system and to instill confidence in the public, it is necessary to strengthen the accountability and transparency of key SJSIs. Efficient and accountable institutions and systems with adequate resources are required in order to increase the ability of the state to address high levels of insecurity, reduce inequality, and improve the scale and sustainability of development advances. This sub-IR will include activities to strengthen government institutions, systems, and policy and legal frameworks in order to improve security and transparency. DO I may 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.

DO I 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. Activities will include, but not be limited to assisting in the decentralization of financial management and strategic planning in SJSIs using the Ministry of Finance and International Organization for Standardization (ISO) standards. Project assistance will also support transparency and accountability efforts, especially as related to the implementation of the Freedom of Information Law in SJSIs.

While most of the focus thus far is on improvement and strengthening of SJSIs at the national level, USAID recognizes the key role that local governments play in establishing standards of accountability and instilling public confidence in elected officials and political systems. Strong local governments will bring government closer to citizens, provide for greater local participation, identify and address community priorities, and increase accountability and transparency in decision making. Strengthened local governments will be in a better position to respond to citizen concerns related to citizen security, food security, disaster prevention and other issues of concern to the community. DO I will 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 Councils. (The 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,

³⁸ Banco Mundial, *Diagnóstico sobre Transparencia, Corrupción y Gobernabilidad en Guatemala*, diciembre de 2005. Cited in DPLF, p. 204.

³⁹LAPOP survey, p. 121.

planning and investment in all of Latin America.) For more information on the role of local governments in implementing the CDCS objectives, please see Section VI on cross-cutting issues.

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

Guatemalans consider crime and violence to be the most pressing issue facing the nation today. Citizen security is a product of a functioning security sector, which includes a capable police force that respects human rights, a judicial sector that effectively prosecutes and adjudicates crime and citizens that participate in defining the security agenda. The activities proposed under this IR will foster security by building community cohesion, strengthening local governments, improving infrastructure for public use, and educating and empowering youth to address the root issues that cause young people to become involved in criminal activities. The focus will be on the demand side of crime prevention, which is achieved through working with communities to foster civic responsibility.

The success of this IR requires holistic and integrated implementation of the following initiatives: 1) stronger employment capacity for at-risk youth to compete in the job market by providing educational, vocational and recreational opportunities; 2) community-oriented policing activities that promote trust in the police; 3) better public infrastructure and support for crime prevention in target communities; 4) targeted support for at-risk populations, especially those vulnerable to human trafficking; and 5) civic responsibility. While the focus of this IR is primarily at the local level, it is inextricably linked with IR 1 efforts to strengthen security and justice sector institutions and the institutionalization of crime prevention efforts at the national level. The success of these local level initiatives is contingent upon success at the national level in building on lessons learned and developing and funding a prevention policy.

Through partnerships with the GOG, local governments, civil society organizations, and the private sector, as well as support from other USG agencies and donors, USAID/Guatemala efforts 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

Guatemala's democracy and development are threatened by the alarming increase of organized crime. DTOs and gangs are intimidating and extorting money and other services from businesses and citizens, and there is a growing population of at-risk youth that is susceptible to gang and DTO recruitment, crime and violence.

DOI 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 DO 2, IR 2.3. This sub-IR will facilitate sustainable 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. USAID Guatemala estimates that approximately 70% of the young people using USAID-supported outreach centers are young women. Activities at these facilities will be developed and implemented by youth to promote ownership and involvement.

Efforts will also focus on strengthening local governments and civil society organizations to reduce the vulnerability of at-risk-youth to gangs and organized crime. USAID will support community level

stakeholders, including local government officials and police to develop and implement local crime prevention plans. 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. Coordination with national actors such as the Ministries of Interior and Education, ANAM, 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

Community-oriented policing is a key intervention with respect to reducing crime in targeted areas of Guatemala and bolstering state capacity to provide security for its citizens. Community-oriented policing rests on two core elements: changing the methods and practices of the police, and taking steps to establish a relationship between the police and the general public. This sub-IR 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.

USAID Guatemala considers gender to be an important issue when working in police reform and community-oriented policing, and will pay attention to the role and status of women as officers in the national police, and in the interface between the police and the community leadership, the latter being predominantly female.

According to the recent USAID Democracy and Governance Assessment, “improving police effectiveness depends in part on the perception of the police that people are in fact paying attention to policing issues.”⁴⁰ Therefore, part of this effort is to foster the development and implementation of community-generated crime prevention strategies. The approach aims to assist communities and local police forces in jointly-identifying and prioritizing small infrastructure projects with the potential to reduce crime, such as improved street lightning and police outposts. Additional support will provide basic equipment for police working in marginal neighborhoods.

All USAID 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

USAID has a long history in Guatemala of working to strengthen rule of law institutions, as well as local civil society oversight and social auditing. However, while civil society groups have advanced significantly and have been effective in identifying cases of corruption and public mismanagement, the majority of the population does not believe that participating in a public process will result in change and many people are not respectful of the rule of law. To ensure that USAID support to judicial and security sector

⁴⁰Guatemala Democracy and Governance Assessment, May 2011, p. 52.

strengthening is effective, it must be accompanied by societal support for the rule of law.⁴¹ The concept of civic responsibility must be integrated into communities to create measurable change in popular knowledge and supportive attitudes. A culture of lawfulness is seen in societies where the majority is convinced that rule of law offers the best long-term chance of securing citizens' rights and attaining their goals. 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.⁴²

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. While funds for a new project to foster civic responsibility have been set aside, USAID Guatemala envisions that other projects under design will weave civic responsibility messages into their activities for greater reach and coverage. An important component of these efforts is taking a whole-of-government approach. One way to do this is to 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 projects will continue to increase public awareness of gender equality so that more women are empowered to increase their political and civic participation. More specifically, USAID has promoted the participation of women in municipal budgeting and other official processes and supports the institutionalization of the new Women's Municipal Offices and the Women's Commissions in the Municipal Development Councils. 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 CDCS 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 I 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 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.

⁴¹ Mitchell Seligson. "Democracy on Ice: The Multiple Challenges of Guatemala's Peace Process." *The Third Wave of Democratization in Latin America: Advances and Setbacks*. Ed. Frances Hagopian, Scott Mainwaring (NY: Cambridge U Press 2005; pp. 202-234)

⁴²It is estimated that 62% of Guatemalans are under the age of 24, which makes youth an important demographic group for fomenting sustainable change in the population's support and adherence to the rule of law. By changing the attitudes and knowledge of youth, as envisioned in this strategy, they can become a key constituency in effecting long-term change.

D. Changes from the Current USAID Guatemala Portfolio

Move into Citizen Security and Civic Responsibility: In response to increasing security threats and instability, USAID Guatemala will move aggressively to improve citizen security and justice (IR 1.1 and IR 1.2). In addition, in order to foster the demand side of rule of law, USAID will begin a new project to foster civic responsibility (sub-IR 1.2.3).

Increase attention to municipal governance: Improved local governance is essential to the achievement of all the DOs (please see cross-cutting initiatives narrative). USAID Guatemala projects will increase investment in community and municipal governance and link it to CARSI, FTF, GHI and GCC Initiative objectives. USAID efforts and support to local governments will increase their capacity to provide security and sustainable local economic development, improve disaster preparedness and food security.

Phase out Transitional Justice programming and stand-alone Civil Society Program: As appropriate, USAID Guatemala will phase-out support for stand-alone projects, such as exhumations and support for victims of the internal armed conflict, as well as support to civil society projects. USAID will continue to support paradigmatic human rights cases under sub-IR 1.1.1.

E. Aid Effectiveness

Improved citizen safety programming will support implementation of the GOG legal framework for the National Security System and National Agreement for the Advancement of Security and Justice.

Programming under IR 1.1 will support improvements to GOG institutions and systems, such as procurement reform. USAID Guatemala will support GOG implementation of policies and laws already approved by Congress and will support advocacy efforts by well-respected, key local partners. USAID Guatemala will seek to increase direct grants to national NGOs and private sector entities to improve citizen safety and promote a culture of lawfulness.

There are several GOG and donor coordination mechanisms to align donor support for Democracy and Governance initiatives. These include the Petit Comité on Security and Justice, sectoral roundtables, and a well-organized roundtable on elections support that meets frequently and leverages support under a common framework. In July 2011, USAID Guatemala assumed leadership of the Petit Comité on Security and Justice and is currently the leader of the transparency and anti-corruption roundtable.

USAID Guatemala will continue to work closely with GOG counterparts, such as the Office of the Attorney General, the Supreme Court, the Police Reform Commission, the National Security Council, and the Vice Ministry of Community Support under the Ministry of Government. USAID Guatemala also designed a new Security Sector Reform (SSR) Project in response to five-year strategies and plans put forth by the GOG agencies (noted above). USAID Guatemala consulted extensively with counterparts, both on the Guatemala CDCS and upcoming project designs.

IV. Development Objective Two: Improved Levels of Economic Growth and Social Development in the Western Highlands

A. Description

Guatemala remains a deeply inequitable society. Historic exclusion has limited access to economic resources and opportunities, as well as quality health, education, and other public services for poor and indigenous people. Combined, these factors result in poor health and nutritional status, unsustainable use of natural resources, communities vulnerable to natural disasters, and the mushrooming of organized crime that feeds itself on easy recruitment of jobless youth with little formal education. Inequity also negatively affects society at-large. It erodes trust and community life and is linked to poorly functioning institutions (including markets), higher levels of violence, insecurity and conflict, drug abuse and crime. The achievement of DO 2 therefore supports DO 1 efforts to improve citizen security (IR 1.2).

USAID Guatemala's focus on economic equity seeks to improve access to economic opportunities for licit income generation. Equity requires more equal access to quality health and education services, especially among the under-served populations such as women and indigenous groups. The success of DO 2 can therefore be measured by a composite of economic incomes, poverty levels, and use of health and education services.⁴³

This strategy seeks to improve equity in target departments of Guatemala. DO 2 hypothesizes that social and economic equity will stem from parallel improvements in the income, health and nutrition, and education of Guatemala's rural communities. Increased income alone has proved insufficient to address Guatemala's health, education and nutrition deficiencies; therefore, USAID will work with the GOG in the Western Highlands to simultaneously improve economic opportunities and the access to and utilization of quality health, nutrition, and education services within the same communities. DO 2 aligns FTF, GHI and non-initiative programming in the Western Highlands.

This section profiles the IRs and sub-IRs deemed necessary for the achievement of DO 2. It also highlights changes to the current portfolio and concludes with a discussion of how aid effectiveness principles are incorporated into DO 2.

B. IR 2.1: Broad Based Economic Growth and Food Security Improved

Economic growth remains low in most of rural Guatemala where poverty and chronic malnutrition are high. Guatemala has the highest national level of chronic malnutrition in the Western Hemisphere and one of the highest in the world; a United Nations Children's Fund (UNICEF) study⁴⁴ reports the third highest prevalence of moderate to severe stunting among children less than five years old (49.8%), trailing Afghanistan and Yemen. Different from many food insecure countries, in Guatemala food insecurity is mainly caused by the lack of access that poor families have to food and their inadequate food utilization that includes inappropriate consumption decisions and feeding practices.

The widespread chronic malnutrition is the result of longstanding structural problems of socioeconomic and political inequality and exclusion. In rural areas and indigenous communities, poverty is more extreme (71% poor; 24% extremely poor), income is least equitable, and chronic malnutrition is far worse (59% overall, reaching over 70% in many communities).

⁴³ Measures for equity therefore include: access to public services measured by utilization rates and economic growth measured by gross domestic product..

⁴⁴ "Tracking Progress on Child and Maternal Nutrition: A Survival and Development Priority" UNICEF, November 2009.

In addition to high poverty and chronic malnutrition levels, other significant challenges face Guatemalans: security issues affect everyday life in all regions of the country and natural disasters strike with increasing frequency due to global climate change, deforestation and rapid population growth.

The GOG recognizes that the health, education, and economic consequences of chronic malnutrition are long-lasting and profound. To address these pressing challenges, the GOG developed a national and sub-national plan, called PLANOCC, in close consultation with donors (the USG and the European Union took lead roles). The CDCS DO 2 IR 2.1 aligns closely with the GOG PLANOCC sub-national plan to reduce chronic malnutrition for the departments of the Western Highlands.

To achieve IR 2.1, USAID will implement an integrated set of economic growth, food security, and local governance interventions as part of the whole-of-government FTF Initiative.⁴⁵ Through FTF, USAID will promote inclusive economic growth, poverty reduction and food security in municipalities with the highest densities of poverty and chronic malnutrition. The approach will be focused in the Western Highlands region where approximately 90% of the population is indigenous Maya.

Market-led agriculture (high value horticulture and coffee production, processing and export) projects will seek to increase incomes among participating rural families and create employment on- and off-farm. Projects based on the CDCS will improve planning capacity, encourage broad participation and promote transparent management among strengthened municipal governments in order to institutionalize the delivery of economic and social development services and guide productive investments in potable water, productive and transportation infrastructure, schools and health clinics. Food for Peace (FFP) development resources (MYDPs) will provide targeted assistance to the most vulnerable at-risk groups while seeking to “graduate” those households that have the resources, motivation and ability to participate in the value chain production project.

Agriculture continues to be the major source of employment in the country. Women work in agriculture as unpaid family workers and as day laborers. Increasingly, women are also farmers and face a number of gender-based barriers, including limited access to property ownership, which makes it more difficult for them to acquire credit. Biases against women’s participation as members in farmers’ groups or cooperatives, and particularly against their presence in decision-making positions within the groups, also restrict their access to inputs, information, and markets. Most extension agents are men and are likely to give more attention to male farmers. Women have formed women-only farmer groups for commercial agriculture, but having less experience and fewer resources, they have found it difficult to achieve the same benefits as men’s groups. The barriers to participation for rural women, both politically and economically, cannot be countered merely through equalizing opportunities. The history of exclusion and isolation and lack of experience in dealing with national institutions and markets means that particular measures must be taken to provide women with the tools to take advantage of these opportunities.

Both horticulture and coffee production are labor intensive activities. As production increases, the requirements for unpaid family labor of women and children also grow. The expanded workload places an additional burden on women’s time, as they add farm labor to household maintenance tasks and child care, and also tends to override any personal, more traditional income-generating activities like sewing, baking or child care. Although total household income may increase with the participation in value chains, the control of income will shift if the husband controls agricultural income, and this has implications for food and non-food expenditures. USAID Guatemala will monitor the impact of paid and unpaid labor on gender in individual households.

⁴⁵“Feed the Future Multi-Year Strategy for Guatemala,” USAID 2011.

Segregation in the rural labor market means that agricultural processing jobs – cleaning, packing, picking, packaging and drying – are performed by women. The initial impact of increased agriculture production on rural non-farms jobs is an increased demand for women workers, usually young and often unmarried. This result raises three points or questions for consideration in the CDCS: 1) the availability and skills of young women as workers in the local markets; 2) how the income received by these young women is used and by whom; and 3) the range of benefits that increased access to non-farm employment for women in rural communities brings in terms of income and empowerment, especially if the positions are in the formal sector. In the long term, these employment opportunities may have positive impacts on gender relations and family well-being. However, there is evidence to indicate that wage-earning women are likely to use additional income to purchase pre-packaged, non-nutritive foods for their children rather than time-consuming nutritive meals that require time to prepare, which is cumbersome if and when their work requires that they be away from home during the day. Jobs that require women to be away from home also have potentially negative impacts upon ability to breastfeed or care for sick children.

Barriers to participation in decision-making in the household and in the community are a fundamental aspect of gender inequality for women. Political and economic empowerment is an important path to more equitable gender relationships. In Guatemala, the gender analysis and activities that emanate from it must necessarily deal with the intersection between gender and ethno-cultural identity, and the commonality and differences among women and their relationships with men in a multi-cultural society.

The Guatemala CDCS will take an integrated approach for FTF and GHI through which income generation and health and nutrition behavior change activities will target the same family/community participants for both interventions in the Western Highlands. This ensures that increases in family income will translate into improved nutrition for mothers and children that will help reduce the high levels of chronic malnutrition among children less than five years old. USAID Guatemala will also help increase gender equality and women's political and civic participation at the municipal level.

The reality of gender is that it is cross-cutting, and issues of power and political participation cannot be separated from economic empowerment and access to resources or from access to quality education and health services. The Guatemala CDCS Monitoring and Evaluation indicators will be disaggregated by gender. Baseline data will help establish the current income and nutritional status of women and children in the target populations and impact evaluations will help measure the effects of USAID programs in target populations.

The following sub-IRs contribute to achievement of IR 2.1 through improved economic productivity, access to markets and community resilience to food insecurity, market shifts and natural disasters.

Sub-IR 2.1.1: Agricultural Productivity and Rural Employment Expanded

This sub-IR is directly linked with nutrition efforts under IR 2.2.1. The Guatemala CDCS will select participants and provide technical assistance to farmer producers to increase production and yield of high value horticulture crops and specialty coffee through the introduction of productivity-enhancing technologies that have the overall result of increased income from high value crops. Due to the altitudes and soil types, coffee and horticulture are the best positioned of all agricultural value chains to increase incomes in FTF and GHI target areas. Projects under this Sub-IR will work with farmers and farmer producer groups, including women producer groups, on quality assurance and certification programs. The USAID Guatemala strategy will ensure gender equity in all activities such that men and women increase income from production and marketing of high value cash crops in addition to the processing—sorting, grading, packing—aspects of successful value chain programs. The impact of global

climate change on horticulture, and especially gourmet coffee production, will be examined and addressed in this sub-IR.

The CDCS will support creation of on-farm jobs through the expansion of production of labor-intensive crops, for example snow peas and “French” green beans. This tactic is based on USAID Guatemala’s successful experience with small-scale farmers who increase production and income when they generate on-farm employment opportunities for day-laborers; their income circulates in the rural non-farm economy and contributes naturally to poverty reduction.⁴⁶

The USAID Guatemala approach will improve gender equity in the workforce and in household decisions by accompanying economic growth programming with culturally appropriate nutritional education to help families make savvy nutrition choices when they purchase food with increased incomes. USAID will also assess the use of income generated through value chain projects and activities to identify further ways to improve equity in the family use of increased income.

Sub-IR 2.1.2: Access to Markets Expanded

The CDCS will link small-scale, rural producers to domestic and international markets and increase incomes through improved access to market information. Marketing associations/producer groups will assist small-scale farmers, including an increased number of women producer groups, with strategic planning, best management practices, business and marketing, market studies, strengthened financial systems and controls, and access to credit.

In addition to working directly with producer groups, the CDCS will undertake a pilot activity to work with private sector wholesalers (market aggregators) to link small-scale farmers to local, regional and international markets. Under this private sector aggregator model, an “Innovation and Investment Fund” will be established to co-invest and risk-share with the private sector to generate investment in small-scale productive infrastructure, such as packing facilities, irrigation systems and cold storage rooms that are critical to successful value chain alliances in poor rural communities.

Sub-IR 2.1.3: Resiliency of Vulnerable Communities and Households Increased

The CDCS will enhance the resilience of vulnerable (poor) communities and households within the FTF geographic coverage areas by aligning local governance and USG food assistance resources with FTF economic growth, health and nutrition interventions. Building resilience requires active strengthening of local government to provide basic services (including water and sanitation) and fostering of local economic growth. Advocacy by civil society organizations, NGOs and citizens is also needed to improve health and nutrition, monitor the food security status of their communities and contribute to a national food security early warning system, demand accountability from local and national government, and address the needs of the most vulnerable, such as women and children. USAID will promote women’s participation in the community and Municipal Development Councils to ensure their needs are addressed. These CDCS efforts are directly linked and will contribute to achievement of DO 1 and the cross-cutting issue of local governance.

FFP and USDA programs will align food assistance resources in complementary activities to reach subsistence farmers and graduate them into USAID value chain agriculture programs;⁴⁷ support small-

⁴⁶ Mellor/Institute for Agriculture, Natural Resources and the Environment (IARNA) found that 80% of employment growth in their model is directly or indirectly linked to agriculture (horticulture) production.

⁴⁷ New food assistance programs in Guatemala will represent up to \$125 million supporting the Guatemala Feed the Future Multi-Year Strategy and therefore the CDCS. Anticipated funding includes: 1) up to \$15 million annually in MYDP programming

and medium-sized farms through research, training, technical assistance and extension activities; develop high-value crops and food products; and create and strengthen agribusiness. Complementary USDA activities will establish and strengthen broader policy and trade frameworks to support overall food security.

The CDCS will invest in improved crop productivity to reduce the household risk associated with shifting from subsistence farming to commercial production. One of the challenges to expanding poor rural household participation in rural value chains is to mitigate the financial and food risks associated with the change in moving from subsistence to commercial production. Financial risks arise with increased expense of producing horticultural crops and coffee. Increasing the productivity of food crops grown for home consumption is one proven way to reduce food risk and enable the transition to commercial production. Therefore, USAID Guatemala will also work with poor rural families to increase production of staple foods.

C. IR 2.2: Access to and Use of Sustainable Quality Health Care and Nutrition Services Expanded

The development hypothesis for IR 2.2 is that improved health and nutritional status is a necessary condition for economic growth and social development. The IR and its corresponding sub-IRs set forth an ambitious yet attainable agenda designed to use evidence-based interventions to substantially improve the poor health and nutrition status of the target population. To achieve this, the CDCS will implement an integrated set of health and nutrition interventions to pursue the USG whole-of-government GHI and FTF Initiatives. All nutrition and food use interventions for FTF will be integrated into IR 2.2. Through improved access to and use of quality nutrition actions, family planning services, maternal and child health (MCH) projects, and HIV/AIDS prevention, care and treatment, USAID Guatemala will improve the health of the country's most vulnerable populations.

The approach to improving health outcomes is based on the GHI Strategy, USAID BEST Action Plan and the FTF Strategy. These strategies are closely aligned with the GOG National Health Strategy. The CDCS incorporates a comprehensive set of cost-effective, evidence-based interventions that are simultaneously culturally appropriate and results oriented and based on scientifically proven guidance from nationally and internationally recognized sources. Specifically, the strategy includes the integration of programs along a continuum of care approach. This continuum of care principle has a dual focus at the 1) individual level, by providing services from conception throughout the life cycle, and 2) at the community level, by ensuring close and effective coordination between the community and primary, secondary, and tertiary levels of health care.

Culturally appropriate projects and services are a core basis for success in alleviating the low health indicators faced by indigenous Guatemalans in particular. The challenge of working in a culturally diverse geographic area with a multitude of languages, customs and dialects cannot be underestimated. Community members will be active participants in the design, implementation and evaluation of projects to ensure that activities are culturally appropriate, sustainable and innovative. The interventions will not only address the institutional capacity of the MOH to deliver services, but they will also work to launch new, non-traditional programs at the community and municipal levels in creative ways that are sustainable in the unique Guatemalan context.

from Food for Peace; and 2) up to \$10 million annually in McGovern-Dole and Food for Progress programming from USDA/FAS. To give context to these resource levels, in FY 2010, approximately \$15 million in P.L. 480 Title II resources provided essential nutritional interventions to, and improved the livelihoods of, approximately 71,000 rural families. See Joint FFP/USDA Delegation, "Roadmap to align USAID and USDA food assistance programs in Guatemala," January 2011.

The CDCS will implement nutrition education and behavior change interventions with female community leaders to improve dietary diversity and improve the health status of women and children under two years of age (the First Thousand Days). In addition, P.L. 480 Title II development resources (MYDPs) will provide targeted assistance to most at-risk populations of women and children.

The most pressing health issues stand as a sign of the underdevelopment and extreme inequality in Guatemala; for instance, the high rate of maternal mortality, particularly in rural communities, reflects a long history of gender inequality. Women and children are the primary clients in projects to reverse the excessively high rates of infant and maternal mortality and chronic malnutrition. Women die in childbirth because trained health personnel are not available to assist them in remote rural areas where they live; because no one is alert to the signs of trouble; because the husband or mother-in-law does not want the mother to leave home and neglect her responsibility to care for her husband and children; or because it is seen as useless to take a dying woman to the hospital – death in childbirth has become the “norm”. For many of the same reasons, a high proportion of children die soon after birth. The continuing high rate of fertility (3.6 births per woman in 2009) is a reflection of and contributes to the poverty and high maternal and infant mortality rates in rural communities.

While the target group for the health programs is women of reproductive age, an understanding of gender relations is essential to the design and effectiveness of these programs. The legal right for women to make decisions and control their own bodies is circumscribed by cultural and contextual factors that set strong barriers against these actions, for themselves and for their children. These barriers include constraints on women’s control of resources and ability to make independent decisions because of male dominance in the household, lack of mobility and of access to information and services, inadequate education, and inability to communicate in Spanish.

Although the rate of HIV infection in Guatemala is the second highest in the region, to this point, it is concentrated in vulnerable populations, especially sex workers and men who have sex with men. The stigma attached both to the disease and to the lifestyles of these vulnerable groups is a barrier to prevention and care. Since the early days of the worldwide epidemic, gender relations have been recognized as an important factor in the spread and management of the disease. Not only are women more vulnerable physically to infection but the power imbalance between men and women, and the difference in norms about acceptable sexual behavior for men and women, place women at a disadvantage in their communication or “negotiations” with male partners about protection.

Although the current USAID Guatemala health projects focus on women and children, increased participation of men, as husbands, partners, and community leaders, is essential for transformative and sustainable development. The Guatemala Gender Assessment identifies three general sets of issues related to men in the health care system. First, while women need more information and understanding of their legal rights in reproductive health and gender-based violence, men also need this information in addition to an understanding of how gender relations affect women’s health as well as their own. Second, additional training for men about reproductive health, pregnancy and delivery, and about children’s health risks is important since they are involved in and often responsible for identifying danger signals and taking action in emergencies. Third, men, especially young men, need more information about their own bodies and their health. Men are less likely than women to seek medical advice and care, often out of ignorance or “machismo” attitudes, which increases their vulnerability to sexually-transmitted infections and untreated chronic diseases.

The sub-IRs address poor health and nutrition status by focusing on three components: demand creation, supply and quality of services.

Sub-IR 2.2.1: Adoption of Improved Health Practices Expanded

This sub-IR deals with behavior change, demand creation and use of services in two distinct spheres. First, it describes work in the individual and social sphere to encourage the adoption of healthy behaviors, such as exclusive breastfeeding, improved child feeding practices and safe sexual practices. Secondly, it describes efforts to educate and inform individuals and families at the community level about healthcare, nutrition and family planning services in order to create demand for the use of both curative and preventive services, such as immunization, family planning, child growth monitoring and obstetric care. This demand centered approach increases the use of health services, as well as stimulates demand for evidence-based community health interventions such as trained Mayan midwives and emergency action plans.

Sub-IR 2.2.2: Availability of Sustainable Health Care and Nutrition Services Increased

This sub-IR addresses the adequate and available supply of health and nutrition services and responds to the demand creation achieved under sub-IR 2.2.1. While this sub-IR supports current and future models of expanding access to health care services in support of the MOH, it is important to note that these “services” are not only those that occur in health care establishments, but may include behavior change education campaigns, community growth monitoring, targeted HIV/AIDS outreach in “hot spots,” and other viable interventions.

Sub-IR 2.2.3: Quality of Sustainable Health Care and Nutrition Services Improved

This sub-IR encompasses efforts to improve both the quality and the level of transparency and accountability of the services referenced in sub-IRs 2.2.1 and 2.2.2, and include healthcare provider training programs; quality assurance initiatives; more and better public health financing; commodity distribution strengthening; anti-corruption measures; transparency strengthening; and institutionalization of new and sustainable approaches.

Additionally, IR 2.2 as a whole will also support activities to strengthen strategic planning, procurement, policy development and reform, information systems, delivery systems, and good quality management practices, as well as transparency and accountability within the Ministry of Health. IR 2.2 will also support local government in providing communities with water and sanitation services in order to reduce the incidence of diarrheal disease, which contributes to malnutrition, maternal mortality and decreased ability to earn income. The ultimate goal of these activities will be improved transparency, efficiency and provision of health and nutrition services.

D. IR 2.3: Education Quality and Access Improved

Education has significant long-term positive effects on income, health, and gender equity.⁴⁸ Despite significant improvements in the availability of education, average schooling is still only 3.8 years among indigenous Guatemalans and 6.5 years among non-indigenous Guatemalans.⁴⁹ Furthermore, most schooling is of poor quality, especially in rural areas. Youth are coming of age under increasingly difficult conditions, including high levels of unemployment, social and economic marginalization, rapid urbanization, increasing incidence of crime and lack of basic services. Long-term sustainable development and improved equity will only be possible if education of children and youth continues to improve; however, significant challenges remain.

⁴⁸USAID Guatemala Education Strategy (2010)

http://www.usaid.gov/our_work/education_and_universities/documents/USAID_ED_Strategy_feb2011.pdf

⁴⁹ UNDP: Human Development Indicators

During the 1990s, USAID Guatemala invested in pioneering girls' education programs, with a focus on increased access to primary school. Today, with primary school net enrollment rates near parity (99% for boys; 92% for girls, 2009. Total net enrollment rate 98%), the national focus has shifted to completion rates and access to secondary and tertiary education. Only about three-fourths of those enrolled in primary school complete the full cycle (80% boys and 73% girls), and the net enrollment rate for secondary school is less than 40%. While the differences in schooling between boys and girls are not substantial, the differences between rural and urban areas are wide, particularly for girls. It is also worth noting that even though gender has been built into the curriculum, texts and teacher training, and despite the fact that 90% of teachers are women, men are more likely to hold leadership positions in the teachers' union and MOE middle management positions, though women have led the Ministry of Education as ministers, vice-ministers and area directors.

International research show a clear link between girls' education and family well-being, including health, nutrition, children's education and family planning. The education deficit among young rural women contributes to a continuing cycle of poverty, and a widening of the gap between urban and rural areas in basic social indicators. Although young male drop-outs are usually seen as a "threat," and therefore in need of services, the long-term risks related to dropping out of school may be greater for young women.

Given the high rates of crime and violence throughout the country, Guatemala is eligible to work under the two basic education goals of the new USAID Education Strategy (Goal 1 and Goal 3). Goal 2 of the strategy applies to higher education funds and is not applicable in Guatemala. Goals 1 and 3 are as follows:

- Goal 1: Improved reading skills for 100 million children in primary grades by 2015.
- Goal 3: Increased access to equitable education in crisis and conflict environments for 15 million learners.

In line with Goals 1 and 3 of the USAID Education Strategy, USAID Guatemala will support literacy and access to education for out-of-school youth – two areas of acute need. Support for literacy will focus on enhancing education models and strengthening quality in basic education with the ultimate goal of increasing the level of students' reading at grade level in early grades. To increase the number of students graduating from primary education who will later enroll in secondary education, USAID Guatemala will support non-traditional primary completion programs for out-of-school children. Concurrently, USAID will increase access to the secondary education system by strengthening existing flexible and traditional options, including upper secondary programs which focus on professional and career development and vocational tracks.

Target beneficiaries include the historically underserved and excluded populations, in particular in the rural areas where 71% live in poverty.⁵⁰ Specifically, these activities will be targeted to youth in the rural communities of the Western Highlands.

Three sub-IRs will support the achievement of improved education quality and access.

Sub-IR 2.3.1: Reading Skills Improved

All interventions included in this sub-IR will seek to improve the reading skills of students in first to sixth grades, with special attention given to targeted disadvantaged population groups. Reading readiness

⁵⁰Guatemala National Statistics Institute (INE), ENCOVI 2006.

skills will also be developed in pre-primary school children. This sub-IR contributes to Goal I of the USAID Education Strategy.⁵¹

Interventions will be framed in three main sub-components:

- Improved reading instruction: increased time on task; textbook and school material policy implementation; school and community libraries; teacher training, supervision and coaching; enforcement of education standards.
- Reading delivery systems improved: curriculum alignment; measurement, testing, monitoring and assessment tools; appropriate distribution channels; dissemination of information and communication technologies.
- Enabling environment strengthened: strengthened demand for quality education services and education rights at the local level (parents' boards, community and national education councils, civil society); enforcement of MOE strategies to strengthen education quality (one teacher for every first grade, grades I-6 mandatory in every primary school).

This sub-IR will lead to the sustainability of all proposed interventions through a progressive reform toward a lasting educational structure.

Sub-IR 2.3.2: Access to Quality Non-traditional Education Programs Increased

Large portions of Guatemala's children and adults are not reached by the basic education system, especially in rural areas. In support of the sustainable rural development objectives laid out in DO 2, this sub-IR will target out-of-school populations (children and youth). Special attention will be given to girls living in the geographic focus regions of FTF and GHI (the five departments in the Western Highlands). This intervention will strengthen existing options for out-of-school populations, will scale up innovative and best practices, and will create new pertinent education alternatives to provide long-term development paths to children and youth.

Two models of alternative education will be promoted and strengthened:

- Non-traditional (Flexible) secondary education models and primary completion programs for out-of-school and over-aged children and youth (up to 15 years of age).
- Local workforce development and vocational/technical education support by providing workforce readiness and life competencies skills. Efforts under this component will include: strengthening basic competencies for life in technical education programs and providing support to sustainable reform of the secondary education system (including improvements to the technical and vocational national/local strategy).

Partners for these models will include the MOE, local NGOs, local governments, private sector entities and cooperative organizations. Vocational training activities will be funded through resources leveraged from alliances with the private sector and funds currently allocated for training and capacity development activities in Health, Agriculture, Environment, Democracy and others.

Sub-IR 2.3.3: GOG Institutions and Systems Strengthened

To assist the MOE better manage its resources and deliver services in an efficient and transparent manner, the CDCS will continue supporting the MOE to improve the transparency, efficiency and provision of education services to facilitate compliance with the objectives of previous sub-IRs. Projects

⁵¹See footnote 53.

under this sub-IR will strengthen strategic planning, policy development and reform, information systems, delivery systems and good quality management practices. USAID will also strengthen processes such as primary education certification, as well as non-traditional education models and systems like the USAID-initiated National Integrated Information Platform.⁵²

E. Changes from the Current Portfolio

Expanded focus on municipal governance: As indicated before, Guatemala CDCS projects will expand investment in community and municipal governance and link to FTF and GHI objectives. Improved local governance is essential to the achievement of DO 2, IRs 2.1, 2.2, and 2.3. The concentration on local government initiatives will build local institutions' capacity to provide sustainable local economic development and quality health and nutrition services.

Economic Growth

Sub-national focus: USAID Guatemala will refocus a majority of its resources in the Western Highlands in support of Feed the Future. The adoption of this sub-national approach, in close coordination with the GOG's SESAN, represents a groundbreaking shift in geographic focus.

Health

Sub-national focus: A majority of resources will be re-oriented to improve the health and nutrition status of rural, indigenous populations in the Western Highlands. While some aspects of the portfolio will continue to work with the same populations as before (i.e. HIV/AIDS with most at-risk populations (MARPs) in urban environments, and maternal mortality programs in Alta Verapaz), the new sub-national approach is a groundbreaking geographic shift for USAID Guatemala health funding.

Nutrition programs are results-oriented: USAID Guatemala commits to contribute to a significant reduction of chronic malnutrition through culturally-appropriate health behavior change programs. These programs will implement activities based on the seven essential nutrition actions that will address the root causes of high levels of chronic under-nutrition that has not improved significantly in this geographic area over the past 20 years.

Community-based prevention: Projects will engage community members in the different stages of implementation and empower them with knowledge, tools and resources to adopt healthy behaviors, seek care from health providers and demand quality health and nutrition services in order to prevent under-nutrition, disease and deaths among women of reproductive age and children.

Education

Sub-national focus: USAID Guatemala will refocus a large portion of its resources, including Education portfolio funds, to the Western Highlands region. The adoption of this sub-national geographic focus is a groundbreaking shift in USAID Guatemala's program that has not been done since the USAID Peace Program (1997-2004) when the GOG assigned regions to each donor and USG education efforts were successfully concentrated in the Highlands department of Quiché. With this realignment of efforts and refocusing of funds, USAID expects to reach the most needy populations in Guatemala that also have

⁵² A methodology that generates an integrated platform which combines various databases, establishes all the possible relationships between each one, and provides the necessary tools to respond to queries, prepare reports, and analyze the information, the Platform enables the user to see the multiple databases as one unit.

the greatest potential for contributing to increased stability and social development if given the right development opportunities.

Vocational training/budget: The CDCS will transition from a policy-support education program to a program focused on vocational training.

F. Aid Effectiveness

Economic Growth: All programming will support the GOG food security and nutrition strategy. The USG has a highly-articulated strategy for FTF that is fully aligned with GOG priorities. All programming will be coordinated with the GOG and other donors through the PLAN OCC sub-national plan for the Western Highlands. Ongoing national coordination will be led by the GOG through SESAN. Donor coordination will continue through the *Grupo de Coordinación* mechanism and the U.S.-European Union agreement for food security coordination, with USG programs following the FTF strategy.

Health: All planned interventions are directly aligned with Guatemala's national priorities as stated in the National Health Plan.⁵³ The health and nutrition interventions will be implemented on the existing Ministry of Health platform of community service delivery and planned with the Ministry. IR 2.2 will bolster the financial and technical capacity of Guatemalan health providers, including local NGOs, so that these organizations can become direct implementing partners in the near future. IR 2.2 will have a strong monitoring and evaluation component and will contribute significantly to the Feed the Future Monitoring and Evaluation (M&E) strategy.

Under GHI, the aforementioned programs place a strong emphasis on innovation and testing new ideas and hypotheses. Health programming has a robust focus on women and girls, and the success of interventions is closely linked to the achievement of effective, community-based information and education programs for this population. USAID Guatemala will work directly with the MOH and other donors at the national level, and the community at the municipal level to strengthen health systems, including improved information for decision-making, logistics, qualified human resources, stewardship and improved health expenditures.

In the selected target communities efforts will achieve universal or near-universal coverage and will be effective in improving mothers' child-rearing knowledge, attitudes and practices, including feeding and appropriate care-giving and care-seeking practices for children with diarrhea and acute respiratory illness. CDCS Guatemala projects and activities will be coordinated as outlined in the GHI Strategy.

Education: USAID Guatemala coordinates closely with the MOE. The proposed interventions will support the GOG overall priority in this sector to improve the quality of education. The donor community is well organized, and for over a decade, multi- and bi-lateral donors/lenders have met monthly as a network with the MOE. USAID is a founding member of the education donor network and continues to provide strong leadership.

⁵³National Health Strategy," Ministry of Health, Government of Guatemala
http://portal.mspas.gob.gt/plan_estrategico_nacional.html

V. Development Objective Three: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change (GCC)

A. Description

Guatemala's biodiversity and cultural heritage hold great promise for the country's development through implementation of sustainable forestry practices, carbon sequestration credit programs, ecotourism activities, environmental service payments and other initiatives. However, the rapid population growth rate and increasing demand for agricultural and forest products put tremendous pressure on Guatemala's natural resources, especially as the largest sources of carbon emissions in Guatemala are deforestation, land degradation and conversion of land to agriculture.⁵⁴ Lack of sustainable management and conservation of natural resources contributes to global climate change, which in turn disproportionately affects the livelihoods of impoverished Guatemalans and exacerbates the effects of poor land management practices. Conversely, by supporting sustainable management and conservation practices at the institutional level, and working with local communities to adopt practices that reduce vulnerability to natural disasters and increase their incomes, the impacts of global climate change on Guatemala's people and environment can be greatly mitigated.

Development Objective Three contributes directly to the goals set out in the GCC Initiative. Through this DO, the CDCS will support improved natural resource management, mitigation of the impacts of natural disasters, strengthening of institutions to enhance environmental governance and collaboration with the GOG in the design of its Low Emission Development Strategy (LEDS).

According to the May 2010 USAID Guatemala Biodiversity and Tropical Forest Assessment,⁵⁵ despite the strong conservation agenda articulated by the GOG, weak governance at all levels precludes successful conservation efforts. For instance, the Protected Area System has significant ecological gaps in terrestrial, freshwater and marine ecosystems, and budgets are insufficient to carry out official mandates. Other constraints to effective natural resource management include incomplete data to support planning and decision-making, insufficient and poorly trained personnel to implement management needs, insufficient equipment and infrastructure to carry out research activities, and limited personnel and infrastructure resources to support stakeholder collaboration. Furthermore, the lack of legitimate land titles results in uncontrolled land use and the inability of the GOG to cohesively manage Guatemala's natural resources.

Compounding weak governance with respect to natural resource management is the shortage of legitimate economic opportunities faced by rural Guatemalans, which results in environmentally unsustainable human activities that present continuous threats to sound natural resource management. These practices include:

- Habitat loss, degradation and fragmentation as a result of unmanaged fires, land conversion for agriculture and cattle, land conversion for mineral and petroleum development, the introduction of exotic or opportunistic species, and drug trafficking;

⁵⁴ According to the Ministry of Environment and Natural Resources (MARN) on the inventory of the effects of greenhouse gases, prepared in 2008, more than 50% of emissions in Guatemala – and Latin America on average – are a result of these land-use changes. In fact, this trend has increased in recent years, and is especially evident in the increased gross rate of deforestation from 93,000 hectares per year during 1991-2001 to 101,000 hectares per year during 2001-2006 (Mapa de Dinámica de Cobertura Forestal de Guatemala 2001-2006, UVG, INAB, CONAP, URL 2011).

⁵⁵http://www.usaid.gov/locations/latin_america_caribbean/environment/docs/section_118/Guate_FY2010.pdf

- Over-exploitation of natural resources, specifically due to poorly managed forest product harvests, unregulated hunting and collection of wildlife for illicit national and international markets, and poorly regulated harvests of marine life;
- Environmental contamination from poorly-managed liquid, solid, and atmospheric wastes, agricultural runoff, and ineffective regulation of mineral and petroleum development.

In 2010, USAID Guatemala supported the Ministry of Environment's development of two key documents: *Evaluation of Impacts of Climate Change on Biodiversity and Tropical Forests* and *Recommendations for Mitigation and Adaptation for Guatemala*. A number of recommendations pertaining to climate change adaptation and mitigation policies, as well as territorial planning instruments were developed and elaborated upon in these documents. The main recommendations highlight the developing of new and improved protected areas and redesigning of the proposed National Ecological Corridors; halting deforestation; developing financial mechanisms for biodiversity management and adaptation to climate change; increasing investment in traditional knowledge and technological development; reengineering of the GOG institutional environment sector;⁵⁶ and increasing information dissemination and awareness activities.

According to the Economic Commission for Latin America and the Caribbean (ECLAC),⁵⁷ Central America is one of the regions that is most vulnerable to climate change, even though it produces a very minimal share of greenhouse gas (GHG) global emissions – estimated at less than 0.8% of total gross emissions in 2000, a share that probably will not change significantly in a future trend scenario. It is estimated that Guatemala produces less than 0.04% of the planet's carbon; however, it is among the ten most vulnerable countries to climate change according to the 2009 Global Assessment Report on Disaster Risk Reduction, published by the United Nations International Strategy for Disaster Reduction Secretariat (UNISDR).⁵⁸

USAID Guatemala involvement in improved sustainability of natural resources and biodiversity concentrates on support to national policy and government institutions and to local level programs for income and employment generation through sustainable use and management of natural resources. The involvement of local communities in healthy and functioning ecosystems, through sustainable management of natural resources and biodiversity conservation interventions, are vital to long term development. This is so because healthy, functional ecosystems reduce vulnerability to tropical storms; provide a stable supply of water for industry, energy, consumption and irrigation; and offer sustainable livelihoods for the rural poor through agriculture, forestry, tourism and fishing. In turn, sustainable livelihoods contribute to increased citizen security and public participation, reduce the influence of narco-traffickers in rural communities and reduce threats to biodiversity conservation.

To date, approximately 20% of the temporary and permanent jobs generated by community forestry concessions and certified environmental businesses are held by women, but the innovative work with non-timber products, such as *xate* plants and *ramón* nuts, are harvested and sold entirely by women. USAID Guatemala assistance in the Petén region has had a consistent gender focus over 15 years and notable shifts in the generalized male dominance have occurred. These changes are seen in the fact that women now serve as board members in the forestry community concessions and have positions as accountants and managers. Changes due to the gender focus are also notable at the community level in that a portion of the benefits of sustainable forest management and the income from the sale of forest products is invested in community infrastructure that is used primarily by women and children, such as schools and health care facilities. USAID Guatemala will continue assistance that generates jobs and

⁵⁶MARN, CONAP, National Forest Institute (INAB).

⁵⁷The Economics of Climate Change in Central America: Summary 2010. ECLAC, United Nations. November 2010.

⁵⁸<http://www.preventionweb.net/english/hyogo/gar/report/index.php?id=9413>

incomes for women and that supports their participation in entities dedicated to the production and commercialization of timber and non-timber forest products.

DO 3 hypothesizes that community-based economic incentives for conservation and protection of biodiversity coupled with enforcement of existing environmental regulations and improved national policies will safeguard the resource base necessary for sustainable rural development. Concurrent reduction of vulnerability to natural disasters will help mitigate loss of life and livelihoods.

USAID Guatemala will also help prepare Guatemala to participate in the global carbon market through Reduction in Emissions from Deforestation and Degradation Plus (REDD+) projects, especially in key forested areas in Northern Guatemala where deforestation risks are highest. Sustaining forested areas will reduce Guatemala's carbon emissions, facilitate the implementation of a LEDS and provide opportunities to market and sell carbon sequestration credits. Sustainable forest management activities will also help Guatemala adapt to the effects of global climate change, such as flooding, forest fires and desertification.

DO 3 will contribute directly to the goals set out in the GCC Initiative by creating incentives for sustainable natural resource management, reducing vulnerability to climate change and natural disasters, strengthening the role of local environmental management, mitigating risks of natural disasters and collaborating with the GOG on new natural resource strategies and policies.

The Intermediate Results detailed below will contribute to the attainment of DO 3. The sub-IRs associated with each IR contribute to the long term success of development activities by creating market-driven conservation models, reducing climate change related vulnerability and improving environmental governance.

The environment projects under DO 3 are inherently connected to both DO 1 and DO 2. IR 3.3 supports the strengthening of environmental governance, which incorporates support to key policies as laid out in Appendix 3. In addition, improving GOG management of natural resources will reduce environmental crimes and the smuggling of endangered flora and fauna that provides income for criminal organizations. While IR 3.2 focuses specifically on reducing communities' vulnerability to the impacts of climate change, the connections between natural disasters and agriculture cannot be ignored. IR 3.2 and sub-IR 2.1.3 will complement each other by increasing agricultural communities' resiliency to economic events while also enabling communities to weather environmental changes that impact their livelihoods.

B. IR 3.1: Market-driven Conservation and Management Strategies Implemented

Guatemala has the largest forested area in Mesoamerica, and combined with forests in Southern Mexico, Guatemala's forests form part of the second largest contiguous forest in the Americas after the Amazon, and as such, have a high level of diverse and endemic flora and fauna.

One decade ago, a Guatemalan National GHG Inventory⁵⁹ developed as part of the First National Communication to the United Nations Framework Convention on Climate Change (UNFCCC) showed that its carbon sinks (forests, soils) absorb almost three times more GHGs (about 38,000 metric tons of CO₂e/yr⁶⁰) than its agricultural, energy, and industrial sectors emit (14,000 mtCO₂e/yr), leaving the

⁵⁹Ministry of Environment and Natural Resources (MARN). Sept. 2001. First National Communication to the United Nations Framework Convention on Climate Change. Government of Guatemala.

http://www.marn.gob.gt/sub/portal_cambio_climatico/index.html. In 2008, the GOG initiated the formulation of the Second National Communication, but to date it has not been submitted to the UNFCCC.

⁶⁰ Metric tons of carbon dioxide emissions per year

country with “negative” emissions (-24,000 mtCO₂e/yr). Assuming no major change in the intervening period, Guatemala is a major carbon reservoir in Central America, and thus conserving its large forested areas, which serve as carbon sinks, through sustainable land management is critical to environmental conservation and economic development for the country and for the region.

Guatemala is rich in tropical tree species; however, these species are under threat due to illegal logging, deforestation, narco-trafficking and environmental impacts resulting from global climate change. For more than 15 years, USAID has supported sustainable forestry activities in Guatemala located in key protected areas that are part of the Guatemalan Protected Areas System (SIGAP). In particular, USAID supports community forestry concession activities in the Maya Biosphere Reserve (MBR) protected area located in Petén, Northern Guatemala, which represents 67% of the SIGAP and is one of the largest protected areas in Central America. Through USAID support in the MBR, 500,000 hectares have been maintained under the Forest Stewardship Council (FSC) certification for tropical timber. In addition, approximately 180,000 hectares of forest land in the MBR that are managed for non-timber products, such as foliage, also received FSC certification - one of the first instances of certification for non-timber forest products in tropical ecosystems worldwide.

USAID developed an evaluation of the Forestry Concessions in the Maya Biosphere Reserve,⁶¹ which found that the community forestry concessions bring tangible economic benefits and are increasingly being recognized at the local and international levels as appropriate models for stewardship and sustainable management of forests. Furthermore, due to the surveillance and control performed by the community concessionaires, the forestry concessions model limits the encroachment of non-sustainable agriculture. Standing forests also conserve carbon while supporting the livelihoods of a large number of rural and indigenous peoples and forest-dependent communities, as well providing essential ecosystem services, such as habitat for endemic species and provision of clean water supplies.

The CDCS will continue to promote sustainable forest management and conservation activities and increased incomes at the community level in focus areas, including but not limited to the MBR, the Western Highlands, the Verapaces, and at the national level, as appropriate. Ongoing and future activities in this IR include, but are not limited to, support to community forestry concessions, collaboration with the GOG on a LEDS, and support to regional sustainable landscape activities.

Sub-IR 3.1.1: Market for community-based sustainable forest products promoted

The U.S. market for hardwood lumber constitutes 20% of the total U.S. wood market, of which 20% consists of tropical hardwoods. Tropical hardwood products compete for the same niche market as temperate hardwoods. The U.S. imports approximately 1.7 million cubic meters of tropical hardwoods and is the largest importer of secondary tropical hardwood products in the world.

In 2009, according to a Green Team report,⁶² the market for “green products” in the U.S. had increased to \$5 billion, and more than 504 companies in the agricultural, forestry and tourism sectors had developed standards to guarantee product sustainability. Companies such as North American Wood Products, Gibson Guitars, Kraft, Lipton (buyers of “green products” in Guatemala) along with hundreds of others are working toward increased corporate environmental responsibility. The environmental commitment of the companies and the growing market demand for “green products” combine for

⁶¹Forest Concessions in the Maya Biosphere Reserve Evaluation Report. USAID/Date completed: September 2008, Translated in English: October 2010.

⁶²“Green Teams,” a formal or informal group of people in a company who are passionate about environmental issues, are gathering in offices across the U.S. to brainstorm solutions and promote ways in which their company's practices can become more environmentally sustainable.

profitability for both producers and retailers. Despite the economic crisis, corporate social responsibility programs are seen as a competitive advantage in demanding forest products markets and are poised to have greater impact with the publication of ISO 26000 on social responsibility.⁶³

USAID will develop rural, community-based enterprises in sustainable forestry activities and other environmental services activities (i.e. ecotourism, carbon credit trade) in part by highlighting the financial incentives to be gained through natural resource conservation as a result of growing international demand for certified environmentally friendly products and services. Rural Guatemalans – both men and women, and especially members of indigenous communities – will receive training in the managerial and business skills needed to promote the licit and sustainable use of natural resources.

Sub-IR 3.1.2: National and/or sub-national forest and land use strategies adopted

USAID and the Inter-American Development Bank have been supporting the GOG, selected communities and NGOs to design sub-national initiatives to produce forest-based carbon emission reduction projects. USAID is supporting the development of a sub-national baseline for deforestation emissions, covering Petén and the northern area of Alta Verapaz (40,000 km²).

USAID will continue its support to the GOG for the development of national emission baselines and land use strategies, participate actively as a partner in a host country-led REDD+ strategy, and promote the creation of a national forest inventory and monitoring system. USAID will also help the Government of Guatemala to develop a LEDS.

The CDCS will support the development of national and sub-national forest and land-use strategies. These strategies will be developed with extensive stakeholder participation to ensure that private as well as community-owned and managed resources are accommodated. These strategies will be market-driven in order to generate income and other financial benefits for local communities from activities such as the sustainable harvest of timber and non-timber forest products; payments for environmental services; sale of carbon credits, and other revenues from public and private protected area management; and reforestation and natural forest regeneration.

C. IR 3.2: Vulnerability to the Effects of Global Climate Change Reduced

The evidence that Guatemala is highly vulnerable to climate change and natural disasters is extensive.⁶⁴ There are serious socio-economic impacts from climate change and natural disaster-related losses from which it takes years to recover, both on a national scale and at the local community level.

USAID designed and will implement an assessment for climate vulnerability and adaptation in 2012. This analysis will identify and recommend activities to address global climate change with respect to improving the institutional framework and related policies. This assessment will also guide the design and implementation of activities to assist communities adapting to environmental changes resulting from global climate change. This IR therefore has a link to sub-IR 2.1.3, in support of the Feed the Future Initiative in the Western Highlands, through helping agriculture producers to mitigate the effects of climate change.

⁶³ Quote from UNECE/FAO Forest Products Annual Market Review, 2009-2010 vii.

⁶⁴ The United Nations Global Assessment Report on Disaster Risk Reduction (2009) and the vulnerability indicators for the agricultural sector compiled by the World Bank show that Guatemala exceeds the Latin American averages (Guatemala – Country Note on Climate Change Aspects in Agriculture. World Bank: Dec 2009.).

Sub-IR 3.2.1: Improved technologies to mitigate the effects of climate change adopted

Measures will be taken to strengthen institutional capacity and infrastructure, and develop sustainable agricultural practices necessary to mitigate vulnerability and improve adaptation to the impacts of global climate change. Linkages will be established with sub-IR 2.1.3 (Resiliency of vulnerable communities and households increased) to reduce vulnerability of communities in the Western Highlands. Ongoing and future efforts include FTF and GCC Initiative adaptation activities, such as training and capacity development on agricultural adaptation techniques to encourage better practices and build resilience to anticipated climate impact, particularly relating to reduced precipitation, increased aridity and storm events including flooding and landslides. Other technical and material assistance, including irrigation, appropriate terracing and other landscape interventions, intercropping and mulching, will be provided to help small-scale producer groups respond to current hazards and develop resilience to the effects of climate change.

Sub-IR 3.2.2: Local institutions provided with access to risk identification and mitigation tools

USAID will help strengthen the response and communications capacities of local government institutions and communities with respect to natural disasters, including strengthening of early warning systems. Measures will include strengthening of local organizations and community efforts to mitigate risks associated with floods, droughts, forest fires, landslides and volcanic eruptions. Efforts will include on-the-ground disaster mitigation activities such as reforestation and improvements to municipal public works, as well as the strengthening of local early warning systems and increased local use of forecast information, decision making systems [i.e. Regional Visualization and Monitoring System (SERVIR)] and national institutions [i.e. Monitoring and Evaluation Center (CEMEC) of the National Council of Protected Areas (CONAP) and National Coordination for Disaster Reduction of Guatemala (CONRED)].

D. IR 3.3: Environmental Governance Strengthened

Projects under this IR will focus on improving local and community-based management of natural resources and the integration of local and national level monitoring and environmental management to improve governance in target regions. Improved local governance of natural resources increases sustainable conservation, lays the groundwork necessary for sustainable market development (IR 3.1), and improves security in isolated areas by increasing government and civil society presence. Ongoing and future activities include the partnership with the U.S. Department of the Interior to work in Petén to strengthen governance and security in the Maya Biosphere Reserve by improving the performance of public institutions and civil society. Also, coordination with USAID regional programs will be promoted.

Sub-IR 3.3.1: Local institutions strengthened to improve environmental management, protection and enforcement of regulations

Most of the areas supported by USAID are managed by communities and local institutions that provide the critical link between income generation and project ownership that support strong incentives for resource stewardship. Good and efficient governance of forest resources and the transparent distribution of benefits will be central to the success of REDD+ policies and measures. If the allocation of forest or carbon rights is opaque and uncertain, if the distribution of benefits is unpredictable, untimely or captured by a few, if lack of enforcement allows free riders to exploit the system, or if corruption is perceived as high, stakeholders will not take the risk of forgoing the income they derive from their current uses of forest resources.

USAID assistance will focus on promoting and strengthening local institutions and community organizations to implement natural resources best practices and compliance with environmental regulations. In addition, USAID will provide policy and regulatory reform support to strengthen environmental management and enforcement of environmental laws.

E. Changes from the Current Portfolio

USAID Guatemala will increase investments in environment to pursue sustainable management of natural resources and re-focus programming to contribute to the LEDS.

F. Aid Effectiveness

All programming will be closely coordinated with the Ministry of Environment and GOG agencies that govern the management of national natural resources.

VI. Cross-cutting Issues

While each of the three Development Objectives focuses on distinct sectorial development challenges, the DOs complement each other to lead to a more democratic, secure and prosperous Guatemala. However, there are two cross-cutting issues – policy and local governance – that permeate all three DOs and are critical components to achieving the DOs and the Goal across all sectors.

A. Policy

Under the CDCS, USAID Guatemala will implement a number of community-based strategies to reduce crime, increase agricultural productivity, improve health and education indicators, and conserve natural resources. However, such projects will not be sustainable or reach their maximum effectiveness without national level laws and policies to support them. As a result, USAID Guatemala will work under all three DOs to support adoption and implementation of key laws and policies (see Appendix 3) that will contribute to greater security, democracy and prosperity for all Guatemalans.

With respect to DO 1, USAID Guatemala will support the implementation of the National Framework Law of the National Security System, as well as numerous laws related to criminal prosecution in order to reduce impunity and provide greater citizen security. USAID Guatemala will also support reform of the Electoral and Political Party Law, as well as the Civil Service Law and approval of a Municipal Tax Code. The approval and implementation of these laws and policies will support the reduction of crime and corruption, thereby increasing citizens' trust and confidence in their government.

Under DO 2, USAID Guatemala will work to support the Ministry of Agriculture regarding its annual budget and the adoption of a Sanitary and Phytosanitary Standards Policy, which would allow for greater capacity of Guatemalan farmers to export their crops and earn increased income. In addition, USAID will work with the Ministry of Health to promote implementation of the Healthy Motherhood Law Regulatory Framework, as well as the Health Financing and Universal Access to Health Services Law, which will result in improved access of all Guatemalans to healthcare. The Ministry of Education will also be supported in terms of the development and implementation of the Textbooks and Education Materials Policy, the National Human Resources Education System, and the Secondary Education Reform to improve overall education quality and to ensure that youth finish school with the basic skills and competencies to join a robust labor force.

DO 3 will include activities at the national policy level to complete the National Strategy for Reduction in Emissions from Deforestation and Degradation Plus, develop a legal framework related to the sale of carbon credits, and raise awareness of the importance of a country-led Low Emission Development Strategy. Support for these policies will allow for a coordinated national effort to protect, conserve and maximize sustainable economic benefit from Guatemala's natural resources.

B. Local Governance

Local governance is a key cross-cutting issue for the achievement of the three DOs in the CDCS. In order to create a more democratic, secure and prosperous Guatemala, local governments must be able to better manage public resources and deliver services in an efficient and transparent manner. Local governments are crucial to development in four key areas, including crime prevention, food security, health, and disaster risk mitigation and climate change vulnerability reduction.

Local governments in many Guatemalan rural communities represent the only existing state authority recognized by the population. The lack of central government presence in some areas of the country

forces local governments to respond to citizens' needs and demands beyond their mandates in areas such as security, food security, and disaster prevention and relief. Local governments are also critical to the delivery of services, such as clean water and sanitation, and will play an important role in the implementation of Feed the Future, Global Health Plus and the Global Climate Change Initiatives.

USAID Guatemala will help strengthen local governments and increase their capacity to raise revenue, respond to citizen concerns related to crime, food insecurity and global climate change as well as to manage public resources in a participatory and financially sound manner. USAID Guatemala will also assist in strengthening the capacity and systems of local government to deliver basic services and develop and implement security plans; strengthening national associations of municipalities; and strengthening civil society participation in decision-making via the Municipal Development Councils.

Strong local governments will bring government closer to citizens, provide for greater local democratic participation, identify and address community priorities, and increase accountability and transparency in decision-making. When local governments are able to cooperate with communities to address localized security challenges and provide services that lead to increased income and improved health outcomes, the population is more likely to view the local governments as legitimate and trustworthy. As a result, citizens are less likely to look to illegal and criminal actors for income and other services, and the influence of such actors with respect to destabilization of community security is reduced. In turn, citizen confidence in and support for local governments continues to bolster the incentives for local government to be responsive to the people they serve, thus creating a virtuous cycle. Empowered local governments will also facilitate coordination and communication with the central government.

VII. Performance Management

Performance management is a dynamic mechanism composed of the staff, systems, and indicators used to methodically track and measure performance, test key hypotheses, and evaluate success. Specifically, performance management provides planners and implementers the data with which to track, gauge and measure results and progress towards objectives, and information with which to learn about, innovate, and adapt activities to optimize achievement of the objectives. It also provides information and background on the context in which implementation takes place, and helps stakeholders identify changes to the context. Performance management ensures accountability and access to the facts needed to make objective and practical decisions about specific activities and overall strategic direction.

The CDCS will use a Collaborating, Learning and Adapting (CLA) approach (see Appendix 4) to provide USAID Guatemala with the guidance and reference points needed for successful implementation of the overall strategy. This approach requires fine tuning of the strategy and of specific activities at all levels—from individual projects, to Development Objectives and the CDCS overall Goal of a more democratic, secure and prosperous Guatemala – throughout the life of the strategy. The guiding principle of the CLA approach is continuous assessment of and feedback into DO-defined causal pathways. Its ultimate goal is increasingly effective courses of action at all levels of the Results Framework.

The CLA approach will ensure that USAID Guatemala is proactive throughout implementation of the CDCS and able to develop best practices and lessons learned prior to the end of the strategy period. USAID Guatemala staff will foster candid sharing of knowledge and information between staff and implementing partner teams. This culture of learning and decision-making is characterized by stakeholder consultation, analysis, trouble-shooting, and objective problem solving.

The CLA approach to performance management contributes to overall program management in the following ways:

Collaboration

- Identifying new opportunities for traditional and non-traditional partners to work with USAID and with each other towards the goals highlighted in this strategy.

Learning

- Identifying gaps in quality and availability of data needed to improve implementation, assess impact, and inform program and strategic adjustments.
- Reinforcing project-level evaluations and strategically targeted impact evaluations.
- Facilitating discussions of hypotheses and evaluation findings within USAID Guatemala, among partners, and alongside other donors and Government of Guatemala counterparts to improve the sharing of key data that inform implementation and partnerships.

Adapting

- Using lessons learned to reshape projects, and when need be, DOs.
- Cultivating an environment where incentives reward continuous improvements in our work.

USAID Guatemala will invest in high quality monitoring of its development hypotheses and program effectiveness through well-designed performance management systems, as well as rigorous external evaluations of its projects. USAID Guatemala will use internal monitoring and evaluation systems as well

as external performance and impact evaluations to increase accountability and to test concrete hypotheses. Specific indicators will be used to track overall performance and evaluation questions will be incorporated directly into the CDCS (see below). The increased use of baselines, testing, and performance evaluations will allow USAID Guatemala to account for USG contribution toward improved development outcomes.

High-level Indicators and Evaluation Questions by Development Objective

USAID Guatemala will track progress towards the CDCS objectives through the following high-level indicators and will evaluate program impact based on the following evaluation questions:

A. Portfolio-wide evaluation question:

Are greater development results achieved when projects are geographically co-located versus when projects are geographically dispersed?

B. DO I: Greater Security and Justice for Citizens.

1. Indicators to monitor changes in country context

Indicator: Freedom in the World Survey Political Rights Score

Indicator: Freedom in the World Survey Civil Liberties Score

2. Performance indicators

DO I Indicator:

Survey of crime victimization rate (disaggregated by gender and age)

Homicide rate in areas in which USAID Guatemala supports security and justice projects and activities (disaggregated by gender and age)

Degree of citizen confidence in security and justice sector institutions

Number of key prioritized governance policies and laws drafted and passed in Guatemalan Congress with US assistance

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

Indicator: Citizen Satisfaction with service delivery (in SJSIs)

Indicator: Degree of confidence in SJSIs in target areas

IR 1.2: Reduced Levels of Violence in Targeted Communities at Risk

Indicator: Citizen Perception of insecurity in target areas (disaggregated by gender and age)

Indicator: Interpersonal trust in target areas

For more information on the sub-IR indicators please see the Results Framework graphic in Appendix 2.

3. Evaluation questions for DO 1

Did the establishment of a career path for police improve recruiting and retention of a skilled workforce?

Which approaches to address at-risk youth and gang prevention were effective and why?

How do the civic responsibility interventions change the target population's culture of lawfulness?⁶⁵

(Impact Evaluation Question) Did Security Sector Reform project interventions increase convictions and otherwise improve the outcomes of criminal cases? If so, what interventions of the project created the impact?

C. DO 2: Improved Levels of Economic Growth and Social Development in the Western Highlands

1. Indicators to monitor changes in country context

Indicator: Human Development Index

Indicator: National prevalence of poverty

Indicator: National prevalence of stunting in children under five

2. Performance indicators

DO 2 Indicators: *Prevalence of poverty in target regions*
 Prevalence of stunting in children less than five years old in target regions

IR 2.1: Broad Based Economic Growth and Food Security Improved

Indicator: Per capita expenditures of rural households (proxy for income) of USG target beneficiaries (disaggregated by gender)

IR 2.2: Access to and Use of Sustainable Quality Health Care and Nutrition Services Expanded

Indicator: Percentage of underweight children less than five years old (weight for age) in targeted areas (disaggregated by gender)

IR 2.3: Education Quality and Access Improved

Indicator: 6-15 year olds enrollment rate (disaggregated by gender) in targeted areas

3. Evaluation questions for DO 2

What are the effects of mobile clinics on the unmet demand for family planning services?

⁶⁵A culture of lawfulness means that the mainstream culture, ethos and thought in a society are sympathetic to the rule of law. In a society governed by the rule of law, people have the ability to participate in the making and implementation of laws that bind all the people and institutions in society, including the government itself.

To what extent has community-based management of pneumonia and diarrheal diseases affected chronic malnutrition levels?

Does improved reading in early grades impact overall student performance at the Primary Level?

Is there a secondary effect on out-of-school youth returning to the classroom?

Do interventions of improved productivity and rural employment expansion combined with access to markets (value chains) have an impact on poverty reduction of target households? Does this impact spill over to the community?

What are the elements that need to be incorporated into income generating activities to achieve a reduction of malnutrition rates in targeted communities?

Does the combination of income generation and nutritional behavior change interventions contribute to reduction of poverty and malnutrition? At what level: beneficiary households, communities and/or municipalities?

(Impact Evaluation Question) Is the private sector aggregator model to develop value chains more effective in terms of sustainable income generation and more cost-effective than the traditional association model?

D. DO 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change

1. Indicators to monitor changes in country context

USAID Guatemala will not monitor a relevant country-wide indicator or worldwide index that monitors natural resource management and climate change since the vulnerability of the country to natural disasters is too high.

2. Performance Indicators

DO 3 Indicators: *Country-led Low Emissions Development Strategy (LEDS) approved*
Number of hectares in areas of biological significance showing improved biophysical conditions as a result of USG assistance
Quantity of greenhouse gas emissions measured in metric tons of carbon dioxide equivalent reduced or sequestered as a result of USG assistance

IR 3.1: Market-driven Conservation and Management Strategies Implemented

Indicator: Value of incremental sales of timber and non-timber forest products

IR 3.2: Vulnerability to the Effects of Global Climate Change Reduced

Indicator: Number of people with increased capacity to adapt to the impacts of climate variability and changes as a result of USG assistance (disaggregated by gender)

IR 3.3: Environmental Governance Strengthened

Indicator: Number of stakeholders using licenses or permits to legally manage and use the forest

3. Evaluation questions for DO 3

What USAID supported interventions (income generation, institutional and environmental governance strengthening) have been the most effective in ensuring the sustainability of biologically significant areas in Guatemala?

(Impact Evaluation Question) USAID Guatemala will be designing a new Environment Project, and will have a Monitoring and Evaluation contract in place in the near future. Therefore, USAID Guatemala will be able to include better informed questions at that point rather than at the CDCS strategic level prior to project design.

APPENDIX I: Non-USG Resources

As noted in the CDCS, multiple non-USG donors provide resources to advance Guatemala's development. These donor resources are coordinated by the GOG and President's Secretariat for Planning (SEGEPLAN). SEGEPLAN has developed a database to track donor contributions, which has been adopted by the *Grupo de Coordinación de la Cooperación*. The resource levels of donors may be accessed through this system.⁶⁶ Similarly, the Organization for Economic Cooperation and Development (OECD) Development Coordination Directorate reports resource flows to developing countries.⁶⁷ This data has been compiled and reviewed by the World Bank (see below). However, in both cases, the data available is incomplete and includes inconsistencies that have not been reconciled; for example, the United States has been and remains the largest donor to Guatemala.

As part of the CDCS exercise, USAID attempted to identify more accurate resource levels anticipated by donors. However, due to variations in budgetary cycles, this was not possible. USAID will continue to work with other donors and the GOG to identify opportunities for cooperation and joint programming through the *Grupo de Coordinación de la Cooperación* donor coordination process and other donor coordination initiatives [i.e. U.S.-European Union food security coordination(see FTF Strategy), U.S.-Chile-Guatemala Tri-lateral cooperation, etc.]. USAID is currently developing a donor mapping exercise as part of the Food Security Working Group.

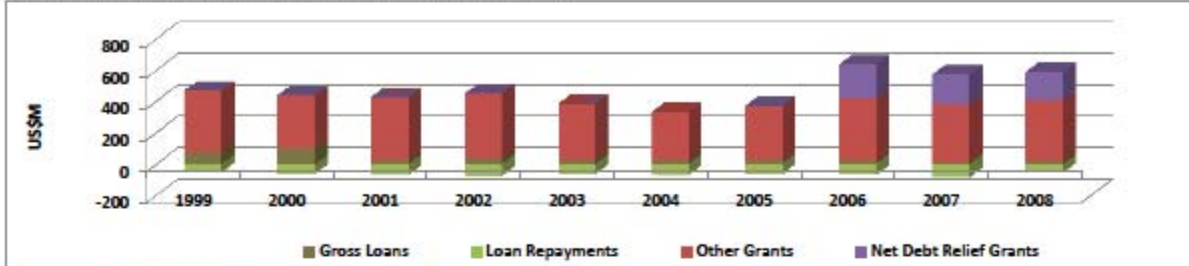
⁶⁶"BASE DE DATOS DE LA ASISTENCIA AL DESARROLLO," Secretaría de Planificación y Programación de la Presidencia, Government of Guatemala <http://dad.segeplan.gob.gt/dad/>

⁶⁷<http://www.oecd.org/dataoecd/18/11/1901260.gif>

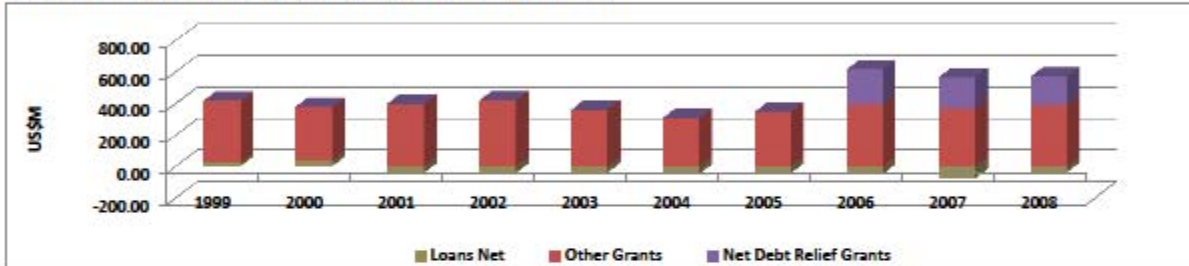
Guatemala - Official Development Assistance (OECD/DAC Data)

Source: OECD/DAC Database by Calendar Year (as of 09/11/2010) unless noted.

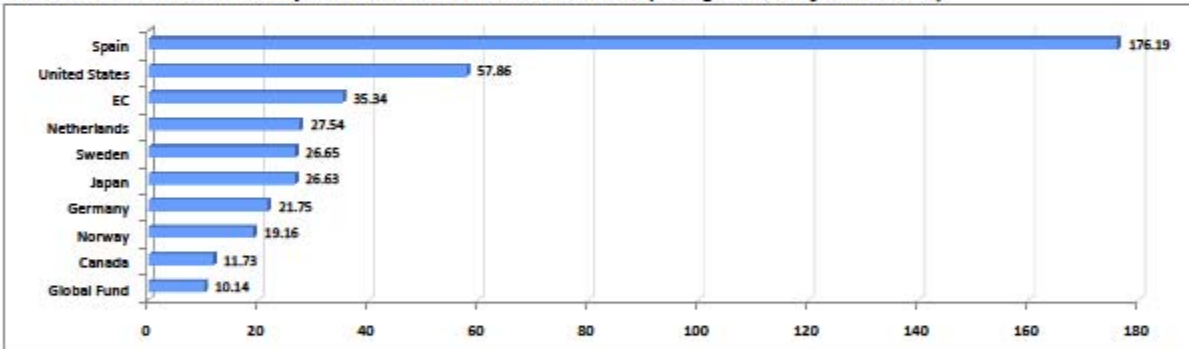
Guatemala - ODA Disbursements by Type of Financing (in US\$M)



Guatemala - Net ODA Disbursements by Type of Financing (in US\$M)



Guatemala - Sources of ODA: Top 10 Donors of Net ODA Disbursements (average for last 5 years in US\$M)

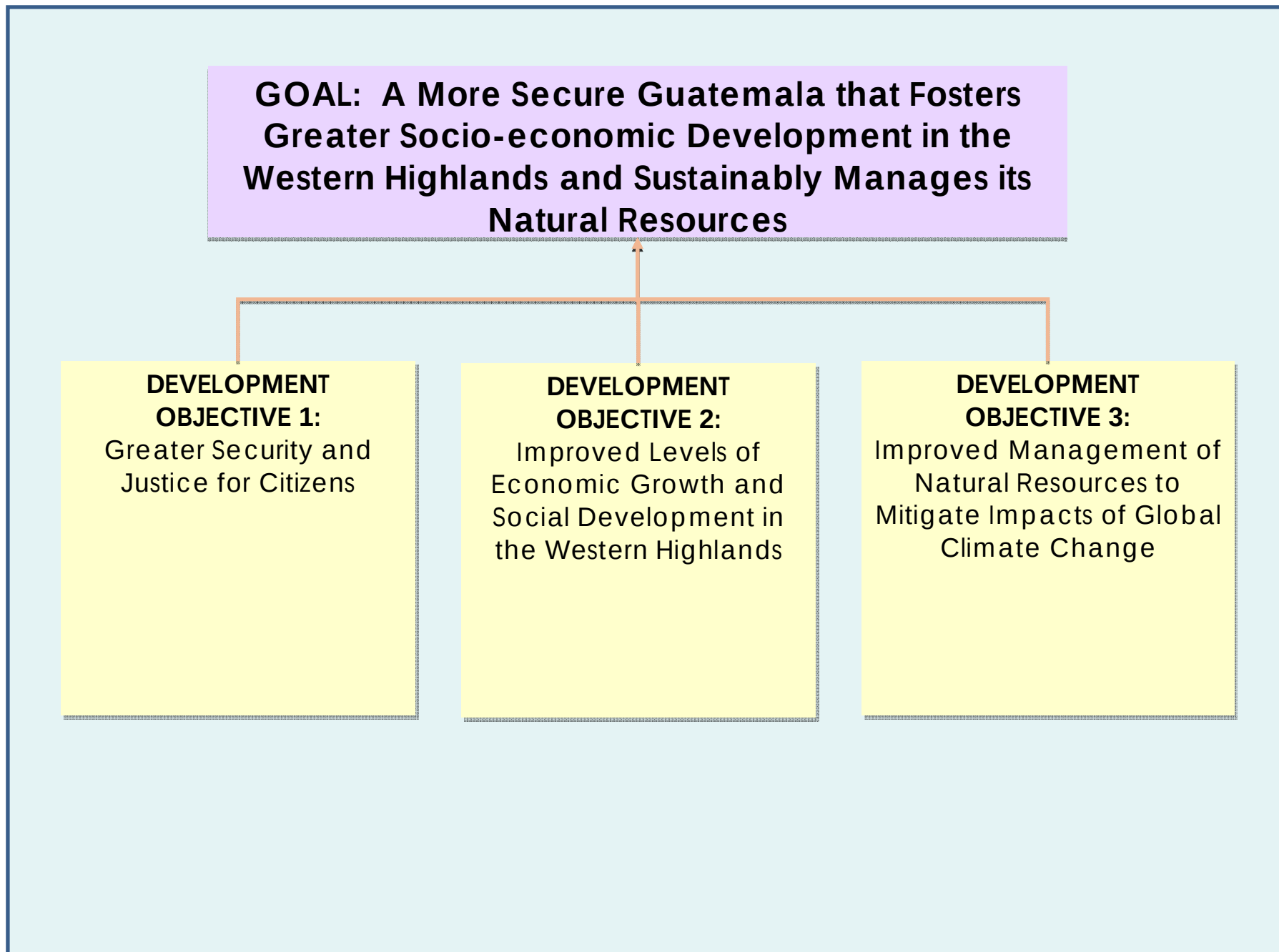


Guatemala - Uses of ODA: Gross ODA Disbursements by Sector (in US\$M)

Sector	2004	2005	2006	2007	2008	Average: Last 5 years
Administrative costs	0.48	0.26	1.05	0.88	0.84	0.70
Economic infrastructure and services	7.62	7.33	5.55	8.08	9.86	7.69
Education	33.04	31.36	38.82	23.97	47.03	34.84
Health and population	30.23	29.69	38.65	47.37	67.18	42.62
Humanitarian aid	1.53	44.39	45.78	18.79	9.67	24.03
Multisector/cross-cutting	57.67	40.28	52.86	47.59	56.22	50.92
Other social sectors	73.51	109.13	132.87	144.92	129.51	117.99
Production sectors	23.76	19.01	16.78	20.33	28.34	21.64
Program assistance	40.74	48.54	48.15	30.18	34.28	40.38
unallocated/unspecified	14.49	14.90	11.43	2.64	1.90	9.07
Action relating to debt	0.00	0.00	218.19	215.81	179.92	122.78

Source: AID Flows. World Bank. http://siteresources.worldbank.org/CFPEXT/Resources/299947-1266002444164/GT_Beneficiary_View.pdf

APPENDIX 2: Results Framework



Illustrative Indicators:

- Survey of crime victimization rate (disaggregated by gender and age)
- Homicide rate in areas in which USAID Guatemala supports security and justice programs (disaggregated by gender and age)
- Degree of citizen confidence in security and justice sector institutions
- Number of key prioritized governance policies and laws drafted and passed in Guatemalan Congress with USG assistance

Development Objective 1: Greater Security and Justice for Citizens

IR 1.1: Improved effectiveness and efficiency of security and justice sector institutions (SJSIs)

Indicators:

- Citizen satisfaction with service delivery (in SJSIs)
- Degree of confidence in SJSIs in target areas

Sub-IR 1.1.1: Strengthened prosecution and adjudication of crime

Illustrative Indicators:

- Number of paradigmatic cases effectively prosecuted and adjudicated with USAID support disaggregated by convictions and acquittals, and types of crimes
- Number of victims assisted with USAID support in facilitating the prosecution of paradigmatic cases
-

Sub-IR 1.1.2: Improved management, administration, and coordination among SJSIs

Illustrative Indicators:

- Percentage of security and justice units offering an improved career path and benefits system for their employees
- Percentage by which Public Ministry case backlog is reduced

Sub-IR 1.1.3: Strengthen accountability and transparency of key SJSIs

Illustrative indicator:

- Number of SJSIs that receive ISO 9000 certification for quality management systems

IR 1.2: Reduced Levels of Violence in Targeted Communities at Risk

Indicators:

- Citizen perception of insecurity in target areas (disaggregated by gender and age)
- Interpersonal trust in target areas

Sub-IR 1.2.1: Vulnerability of at-risk communities to gangs and DTOs decreased

Illustrative Indicators:

- Optimism about future employment opportunities among at-risk youth increased
- Number of municipal security plans actions implemented with municipal government support.

Sub-IR 1.2.2: Trust between police and community in target areas improved

Illustrative Indicator:

- Degree of confidence in the Civil National Police in target areas

Sub-IR 1.2.3: Civic responsibility increased

Illustrative Indicators:

- Number of citizens enrolled in volunteer initiatives
- Number of crime prevention activities included in approved municipal security plans implemented by Municipal Development Councils with USAID support

Illustrative Indicators:

- Prevalence of poverty in target regions
- Prevalence of stunting in children less than five years old in target regions

Development Objective 2: Improved Levels of Economic Growth and Social Development in the Western Highlands

IR 2.1: Broad based economic growth and food security improved

Illustrative Indicator:

- Per capita expenditures of rural households (proxy for income) of USG target beneficiaries (disaggregated by gender)

Sub-IR 2.1.1: Agricultural productivity and rural employment expanded

Illustrative Indicator:

- Number of jobs attributed to USG assistance (disaggregated by gender)

Sub-IR 2.1.2: Access to markets expanded

Illustrative Indicator:

- Value of incremental sales (collected at farm level) as a result of USG assistance

Sub-IR 2.1.3: Resiliency of vulnerable communities and households increased

Illustrative Indicators:

- Number of vulnerable households benefitting directly from USG interventions (disaggregated by gender)
- Percentage of households with moderate or severe hunger
- Average household dietary diversity score

IR 2.2: Access to and use of sustainable quality health care and nutrition services expanded

Illustrative Indicator:

- Percentage of underweight children less than five years old (weight for age) (disaggregated by gender)

Sub-IR 2.2.1: Adoption of improved health practices expanded

Illustrative Indicator:

- Exclusive breastfeeding for first six months of life

Sub-IR 2.2.2: Availability of sustainable and culturally-adapted health care and nutrition services increased

Illustrative Indicator:

- Modern contraceptive prevalence rate

Sub-IR 2.2.3: Quality of sustainable health care and nutrition services improved

Illustrative Indicator:

- Percent of hospitals that meet program performance improvement targets for internationally-recognized standards of care

IR 2.3: Education quality and access improved

Illustrative Indicator:

- 6 – 15 year olds enrollment rate (disaggregated by gender)

Sub IR 2.3.1 Reading skills improved

Illustrative Indicator:

- Percent of primary students reading at grade level in grades 1 through 3 (disaggregated by gender)

Sub IR 2.3.2 Access to quality non-traditional education programs increased

Illustrative Indicators:

- Percent of 14 – 15 year olds enrolled in school (disaggregated by gender)
- Percent of secondary school students enrolled in technical education in target areas

Sub IR 2.3.3 GOG institutions and systems strengthened

Illustrative Indicator:

- Percent of schools that comply with learning opportunities standards in target areas

Illustrative Indicators:

- Country-led Low Emissions Development Strategy (LEDS) approved
- Number of hectares in areas of biological significance showing improved biophysical conditions as a result of USG assistance.
- Quantity of greenhouse gas emissions measures in metric tons of CO₂ equivalent reduced or sequestered as a result of USG assistance

Development Objective 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change

IR 3.1: Market-driven conservation and management strategies implemented *Illustrative Indicator:*

- Value of incremental sales of timber and non-timber forest products

Sub-IR 3.1.1: Market for community-based sustainable forest products promoted *Illustrative Indicator:*

- Number of people with increased economic benefits derived from sustainable natural resource management and conservation

Sub-IR 3.1.2: National and/or sub-national forest and land use strategies adopted *Illustrative Indicator:*

- Number of Reducing Emissions from Deforestation and Forest Degradation (REDD+) tools, technologies and methodologies developed

IR 3.2: Vulnerability to the effects of Global Climate Change reduced *Illustrative Indicator:*

- Number of people with increased capacity to adapt to the impacts of climate variability and changes as a result of USG assistance (disaggregated by gender)

Sub IR 3.2.1 Improved technologies to mitigate the effects of climate change adopted *Illustrative Indicator:*

- Number of people implementing risk-reducing practices or actions as a result of USG assistance to improve resilience to climate changes (disaggregated by gender)

Sub IR 3.2.2 Local institutions with access to risk identification and mitigation tools *Illustrative Indicator:*

- Number of stakeholders using climate information in their decision making as a result of USG assistance

IR 3.3: Environmental governance strengthened *Illustrative Indicator:*

- Number of stakeholders using licenses or permits to legally manage and use the forest

Sub-IR 3.3.1: Local institutions strengthened to improve environmental management, protection and enforcement of regulations *Illustrative Indicator:*

- Number of hectares under improved natural resources management increased or maintained

APPENDIX 3: Policy/Legal Priority Agenda

Development Objective 1: Greater Security and Justice for Citizens

1. Implementation of the Framework Law of the National Security System
2. Reforms and implementation of key legislation regarding criminal procedures including the Organized Crime Law, the Law against Sexual Violence and Trafficking in Persons, the Femicide Law, the Law on Arms and Ammunitions, the Law of the Penitentiary System, and the *Ley de Amparo* (Law on Constitutional Protection)
3. Reforms and implementation of the Electoral and Political Party Law
4. Reform of the Civil Service Law
5. Approval of a Municipal Tax Code

Development Objective 2: Improved Levels of Economic Growth and Social Development in the Western Highlands

1. Adoption of a Sanitary and Phytosanitary Standards (SPS) Policy
2. Increase in the annual budget allocated to the Ministry of Agriculture via the yearly Budget Law
3. Implementation of the Healthy Motherhood Law Regulatory Framework
4. Approval and Implementation of Health Financing and Universal Access to Health Services Law
5. Development and Implementation of Textbooks and Education Materials Policy
6. Implementation of the National Human Resources Education System
7. Secondary Education Reform to provide students with basic competencies for life and workforce readiness skills.

Development Objective 3: Improved Management of Natural Resources to Mitigate Impacts of Global Climate Change

1. Complete the development of the National Strategy for Reduction in Emissions from Deforestation and Degradation Plus (REDD+) projects, involving all key actors/stakeholder (communities, indigenous organizations, government, NGOs, private sector)
2. Enact an appropriate legal framework which would form a legal basis and define rules and regulations on community or local institutional management rights to carbon credits
3. Create awareness with the new GOG administration of the importance to develop a country-led Low Emissions Development Strategy

APPENDIX 4: Collaborating, Learning and Adapting

Development efforts yield more positive change more quickly if they are coordinated and collaborative, test promising new approaches in a continuous search for improvement and build on what works and eliminate what does not.

Creating the conditions for development success leads us to focus on the importance of three concepts: Collaborating, Learning and Adapting (CLA). These concepts, and the Point of Contact (POC) who spearheads these efforts,⁶⁸ will ensure that the CDCS is not a static document. Instead, this strategy will provide guidance and reference points not only for strategy implementation but also for learning and course correction as needed.

The implementation of CLA:

- Enhances collaboration among USG agencies, implementing partners, and with other donors and Government of Guatemala counterparts. Coordination can be aided by basic information management, as well as through facilitation of more collaborative relationships among actors engaged in high-priority activities.
- Strengthens the evidence basis on which decisions about development assistance are made and ensures that experience and observations inform program decisions.
- Facilitates necessary changes to the Mission's activities due to both changing conditions and/or new information about program effectiveness.

Implementing the concepts behind CLA will engage most staff and partners in some capacity, as learning and planning are widely shared responsibilities. Efforts will be led by the Mission Evaluation Point of Contact with significant input from M&E specialists in technical offices, the Mission coordinators on gender and youth, and subject matter experts in each technical area, including Contracting Officer's Technical Representatives/Agreement Officer's Technical Representatives (COTRs/AOTRs). Stakeholder engagement within the CLA framework will focus on complementary and coordinated interventions, information sharing and other forms of collaboration among stakeholders, and continuing feedback from partners on project implementation.

Collaborating – the POC leads the following activities:

Map the activities of USG and of stakeholders by ensuring that implementing partners submit Global Positioning System coordinates on their activities. This information will be tracked and shared so that programs will eventually use Geographic Information Systems technology to overlay key data sets on agriculture, health, etc. Identify opportunities for further collaboration based on mutual interest among donors, joint efforts among implementing partners and strategic learning opportunities among thought leaders in Guatemala. These include, but are not limited to, the activities of the donor coordination Grupo de Coordinación de la Cooperación and other ongoing donor coordination technical working groups.

Identify areas of collaboration among entities whose philosophical and practical differences keep them from realizing large benefits that could be gained through joint efforts. These partners could be any combination of political entities, private businesses or public organizations.

⁶⁸ Also the Mission's Evaluation Point of Contact

Learning – the POC leads the following activities:

Identify critical knowledge gaps and fill them with existing resources or commission new research/syntheses where necessary. Topics could include the climate change impacts on key crops and implications for agriculture-led economic growth projects; and unanticipated consequences of value chain projects on children's nutrition status and the role of women in household decision making.

Test selected development hypotheses, such as one of the ideas underpinning Feed the Future—that concentrating the activities of DO 2 in targeted geographic areas will yield improved development results. Improve the performance management process from data collection and analysis to the use of monitoring and evaluation findings to improve implementation.

Facilitate dialogue at the Mission to improve the quality and substance of discourse on development theories of change. These discussions should serve to validate the direction of USAID development assistance or elicit suggestions for changes to that direction. For example, when evaluations on USAID projects or programs become available, these discussions should compare expectations for USAID development projects against observed outcomes. These forums should discuss progress and setbacks along the way to achieving development goals and identify areas for a change in course.

Work with the Mission's points of contact for Global Development Alliances, donor partnerships, and other initiatives to identify opportunities to pilot test innovative approaches to programming. This includes leveraged funding for new or ongoing projects and working with technical officers to spearhead proofs of concept for other projects that can be scaled up if proven successful.

Adapting – the POC leads the following activities:

Work with COTRs/AOTRs to engage implementing partners and other stakeholders in periodic, candid “big picture” reflection on USG programs to validate strategy and implementation. Ideally these engagements should be held before any annual plans are finalized and should focus on analyzing unanticipated developments and articulating necessary course corrections.

Create and institutionalize a culture among USAID project managers, implementers and stakeholders that is conducive to learning. Key to this idea is that incentives for implementing partners are aligned with learning objectives and that people are rewarded for addressing difficult issues that may not yield immediate results.