# TRANSPARENCY AND INTEGRITY PROJECT

## QUARTERLY REPORT

## (JULY 1 – SEPTEMBER 30, 2012)

October 2012

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# Acronyms

| | |
|---|---|
| AC | *Acción Ciudadana* (Guatemalan chapter of Transparency International) |
| ACU | Anticorruption Unit |
| ADP | *Amigos para la Paz y el Desarrollo* |
| AFU | Administrative Felonies Unit |
| AGIP | *Asociación Guatemalteca de Investigadores del Presupuesto* |
| AGO | Attorney General's Office |
| ASIES | *Asociación de Investigación y de Estudios Sociales* |
| CEG | *Centro de Estudios de Guatemala* |
| CGO | Controller General's Office |
| CICIG | UN International Commission against Impunity and Corruption in Guatemala |
| CIEN | *Centro de Investigaciones Economicas Nacionales* |
| COCODES | Community Councils for Development |
| COTR | Contracting Officer's Technical Representative |
| CSO | Civil Society Organization |
| DGO | Democracy and Governance Office |
| FUNDES | *Fundación Latinoamericana para el Desarrollo* |
| FUNDESA | *Fundación para el Desarrollo* |
| FOIL | Freedom of Information Law |
| GAM | *Grupo de Apoyo Mutuo* |
| GoG | Government of Guatemala |
| IACC | Inter-American Convention Against Corruption |
| IDPP | Institute of Public Defense |
| IFES | International Foundation for Electoral Systems |
| IR | Intermediate Result |
| IREX | International Research and Exchanges Board |
| LLR | Lower-Level Result |
| LOU | Letter of Understanding |
| MATADOR | Media Assistance Utilizing Technological Advancements and Direct Online Response |
| MCC | Millennium Challenge Corporation |
| MESICIC | Committee of Experts of the Follow-up Mechanism |
| MPJ | Pro Justice Movement |
| MSME | Micro, Small, and Medium Enterprise |
| PTI | *Proyecto de Transparencia e Integridad* (Transparency and Integrity Project) |
| RRF | Rapid Response Fund |
| SUB-IR | Sub Intermediate Result |
| UNCAC | United Nations Convention Against Corruption |
| USAID | United States Agency for International Development |

# EXECUTIVE SUMMARY

This quarter was characterized by parliamentary reaction and scandalous practices within the Legislative Branch. The public reacted in opposition to presidential initiatives for constitutional reform and high level corruption, from previous administrations as well as the present. These were aired throughout the justice system and the media.

The virtual parliamentary paralysis over the last six months in Congress has resulted in the confrontation between the ruling party and the opposition LIDER party and their inability to reach quorum. This hindered debate and approval of various bills. In late July, agreements were achieved between the political parties resulting in the initial dialogue of over 42 legislative initiatives which were supported by various legislative committees and awaiting discussion in Congress.

Despite the agreements achieved, there remained a significant level of divisiveness and parliamentary practices that continued to obstruct the approval of laws such as the Criminal Law Initiative for Illicit Enrichment (also called "Corruption Act"), which caused strong reactions in parliamentary minorities, civil society organizations and the media.

It should be noted that the proposed amendments to the National Constitution submitted to the Congress by the President in June were not accepted by the academic world, indigenous groups, civil society organizations and other state agencies such as the Supreme Court. This presented a series of counterproposals which either supported or vetoed the proposals submitted by the Executive Branch. This opposition demonstrated the level of consensus among different civil society sectors to prioritize reforms by creating or modifying the original ruling instead of the constitutional reforms.

CSOs stressed the necessity to address the amendments to the Law on Elections and Political Party Financing through the Specific Electoral Affairs Commission. These amendments have been debated for several years by the legislature with contributions from the Supreme Electoral Tribunal and other social and academic organizations. These issues are still pending and linked to the dynamics of the constitutional reform proposals.

The proposed Criminal Law against Illicit Enrichment was affected by new parliamentary practices lacking in transparency, such as the intentional lack of quorum and the attempt to dilute the main objective of the initiative by filing over 30 amendments without identifying their Congressional authors and approving only 26 of the more than 46 articles in the initiative. This obstruction by several blocks was condemned by the public and civil society organizations, demonstrating the need to create laws on transparency and anticorruption.

In this context and based on the commitment to institutional strengthening, promoting transparency and fighting corruption in legislation, the Transparency and Integrity Project-USAID-PTI continued to take actions directly to support Congress to increase its capacity and effectiveness in the legislative process and its internal functioning by increasing its efficiency and transparency.

This support and technical assistance resulted in drafting and debating proposals to reform and/or amend the existing legislation on transparency and the fight against corruption, mainly relating to bills in the Committees on Legislation and Constitutional Affairs, Electoral Affairs, and Special Support for Revenue Collection. They responded to requests by these same committees to design and discuss laws such as Public Procurement and State anti-Corruption Act, and the amendments to the Constitution of the Republic related to transparency and control of public spending and reforms to the political system.

In addition, the PTI supported proposed changes to Congress focused on transparency, efficiency and effectiveness. This resulted in supporting proposals to reform procurement procedures and decision making systems within Congress. The project provided technical assistance to the Second Vice President of Congress

in order to draft amendments to the Legislative Law, Civil Service Law and recruitment manuals that were presented to Congress in early September. PTI also supported an assessment for the electronic control system in the chamber of Congress, which generated immediate reactions in Congress due to the high levels of insecurity and lack of reliability of the current computer system being used. This involved the creation of the Technology Committee of Congress, composed of various members of the Board and other congressional units, in order to implement recommendations made in the electronic system assessment.

Another issue was the Executive Branch's initiative to monitor corruption committed by public officials in previous administrations, which resulted in the creation of the Department of Control and Transparency-SECYT-in February of 2012 and the Task Force against Corruption, formed by the Public Ministry, Ministry of Interior, the Department of Control and Transparency-SECYT-, among others, with the objective to facilitate the identification and prosecution of corruption acts.

Allegations of corruption made by public officials were prevalent in the current administration, far exceeding previous administrations. For example, the deviated Q82.8 million from Congress by representative Eduardo Meyer in 2008 or cases involving officials currently in public office such as the embezzlement of Q26 million from the National Endowment for Peace by the current representative Edgar Ajcip during the Berger Administration, and embezzlement of funds from some municipalities headed by their respective mayors.

In the second year of the current government, fighting corruption and insecurity continue to be major challenges. The negative impact caused by unresolved issues has deepened the public's mistrust of government over the last six months. This represents a decline of 13% of public support for the government since the beginning of this year.

In addition, there has been strong criticism for the weak performance of institutions supporting transparency and the fight against corruption, especially in the present government alleged pressure on public officials to resign. , such as the Superintendent of Banks and his subordinates, who resigned in early July sparking controversy because of the importance of these institutions to research and supervise the financial system.

In this sense, criticism of the SECYT has increased, based on its inefficiency and technical performance related to transparency and the fight against corruption. As a result, the Vice-ministry of Fiscal Transparency and Evaluation was eliminated.

In the context of the aforementioned circumstances, this quarter PTI continued to promote various measures to support the SECYT, emphasizing the need to strengthen their role in the fight against corruption and transparency nationwide. They were:

- Support to develop a transparency policy and assistance in strengthening its mechanism for handling complaints and monitoring alleged corruption within the agency.
- Continued institutional strengthening through training on international anti-corruption conventions.

To complement the work done with the SECYT, PTI also supported the Executive Branch by strengthening 28 Public Information Units from various ministries. This training resulted in an 87% increase in participants' knowledge of anti-corruption and access to public information. This resulted in an increase in the implementation of the Law on Access to Public Information in each institution that received the training.

Public institutional weakness characterized by excessive turnover of staff has adversely affected corruption investigations. The prosecution unit created for this purpose (Prosecutor against Corruption) is made up almost completely of young staff without sufficient academic preparation, which lack knowledge of public institutions and have little to no experience, no technical resources, nor legal resources to adequately fight corruption. In addition, these institutions have begun to restructure its case management system, which, as a result, has decreased its research activities.

All this is exacerbated by the lack of legal means for effective exposure of corruption offenses within the courts and weak coordination and transfer of information from other public institutions involved with these issues. The resignation of the heads of public institutions such as the Superintendent of Banks, and the refusal to approve regulations such as the Law Against Corruption, generates a negative impact that ultimately restricts prosecutors' efficiency and ability to adequately research these cases.

Faced with this problem, the Public Ministry officials have continued to express the need for support from state agencies and the legislative and judicial institutions to streamline and strengthen processes which could lead to specific regulations on anticorruption and transparency, and ultimately the creation of specialized courts.

PTI continued to give support and technical assistance to the Attorney General's Office in order to strengthen their mechanisms to prosecute cases involving corruption. This has included:

- Implementing a training program for officials of the Prosecutor Section against Corruption to standardize the internal staff capacity
- Providing manuals and implementation guides that defined the guidelines for criminal investigations of offenses connected with corruption

The results of PTI technical support and assistance were evident in five corruption cases linked to government officials, in which the technical assistance provided by PTI experts generated important advances in managing the sequence of the investigation, the approach of the criminal hypothesis as well as the development and implementation of the respective research plan.

Also, PTI provided technical support to the Comptroller General's Office to promote coordination and synergy with the Public Ministry. Under a memorandum of understanding signed in July by the Comptroller, PTI provided technical support to its legal department to increase the capacity to formulate and review corruption cases.

Meanwhile, Civil Society Organizations continued to play a key role in generating public proposals and advocating for social audits of public institutions. CSOs have tracked the election process of public officials, specifically the election of the Director of the National Institute of Forensics, to assure transparency and objectivity.

Also, there have been important interventions by CSOs representing indigenous groups, academic institutions, women and youth to promote reforms and bills in Congress, such as the Electoral and Political Parties Act, proposed amendments to the Constitution, and the Anticorruption Bill. All these proposals and initiatives were widely discussed by CSOs allowing for consensus building to ensure prioritization, discussion and adoption of mechanisms to promote transparency and the fight against corruption contained within the Election and Political Parties Law and the Anticorruption Bill.

PTI is both increasing and strengthening the participation of CSOs in social audit processes through the participation of women as plaintiffs in the various public institutions regarding the efficient discharge of its functions and promotion of transparency and the fight against corruption.

PTI has provided technical support to over 12 CSOs, which have expressed dissatisfaction with the lack of legislative progress on transparency and the fight against corruption and issued a press release advocating for the approval of the proposed law against corruption.

PTI also supported CSOs in the preparation, discussion and presentation of technical proposals on legislation related to transparency and the fight against corruption. These proposals were submitted to the Congress and specific legislative committees. Specifically, this included an amendment to the Law on Elections and Political Parties which emphasized transparency in political party financing and the Court's control mechanisms in the Supreme Electoral Tribune. PTI also supported the National Economic Research Center (CIEN) and the American Institute of Public Finance (ICEFI) to advocate for more transparency in the budgeting process and to assess the level of transparency in the management of public finances. This resulted in specific recommendations submitted to congress and other ministries.

PTI support to CSOs resulted in proposals to modify the inner workings of some public institutions, as evidenced by the following results:

- PTI gave a grant to Accion Ciudadana in order to provide technical assistance to the Second Vice President of the Legislative Branch in its proposal to reform the Congressional Statutes
- Civil Service Law presented in September as a new bill to be debated in the House of Congress
- Movimiento Pro Justicia applied the new reforms to the Nomination Commissions Law in the election of the INACIF Director
- Promoted and increased the internal capabilities of each CSO to track and monitor corruption. (PTI implemented a process of technical training to over 10 CSOs throughout Guatemala in topics related to transparency, international conventions against corruption and access to public information.)
- Trained over 17 CSOs to develop strategic plans and use communication tools and information technology. Both trainings increased the capacities of CSOs in promoting advocacy and more successful social audits, specifically on topics related to corruption and transparency.

Through support to CSOs by the project, it became apparent that the private sector was the only one in opposition to the constitutional reforms. The private sector considered these amendments unnecessary given the existence of other regulatory mechanisms they thought to be more viable and less controversial. However, the private sector does support the Anticorruption Bill because they feel that with its passage, international business in Guatemala will be stimulated.

The work done by PTI in the Private Sector was based mainly on support to generate discussion among stakeholders regarding the proposed amendments to the Constitution. This led to the development of technical proposals submitted to the Executive Branch regarding the need to discuss reforms to the current rules.

As expected, the main political and institutional developments mentioned above, as well as advocacy and social audit conducted by CSOs were widely covered by the media through various publications. They emphasized the problem of corruption, which together with insecurity, criminality and institutional instability, made headlines during this quarter.

The news media through editorials and news columns highlighted the constant obstacles and use of parliamentary practices in the legislature which limited the adoption of Anti-Corruption legislation. Coupled with corruption scandals made by public officials, public opinion suggested that only minimal efforts were being made by the government on transparency issues.

All this highlighted the institutional instability generated by the constant accusations against public officials, the lack of concrete results in the performance of their functions, increased distrust and disapproval of

society toward public institutions. This resulted in increased social unrest and several different social groups led demonstrations against insecurity, crime, increased cost of living, and education.

Considering the importance of the media to generate information and promote accountability and control of corruption, the PTI implemented a training program for journalists from written media, television, radio on investigative journalism topics and how they apply to cases involving issues of corruption and lack of transparency. The main objective was to promote the publication of articles and interviews which would then generate the need for further investigation and legal proceedings led by relevant public institutions.

Through support from PTI, 25 articles and 12 research documents related to transparency and corruption will be published. In August, PTI conducted a training course for 25 journalists representing 8 media organizations. They received assistance and technical training in investigative journalism and computer-assisted investigations, international conventions on corruption, the use of software tools related to open government, transparency, and the Law on Access to Information.

A follow-on training activity was carried out by Costa Rican journalist Giannina Segnini, who is highly regarded for her research and publications on corruption and transparency. The workshop was attended by national experts. As a result, four news stories were published related to transparency and corruption.

# RESUMEN EJECUTIVO

El contexto nacional durante este trimestre estuvo caracterizado por la reactivación parlamentaria y prácticas escandalosas en el seno del Organismo Legislativo; la dinámica de pronunciamientos, análisis y contrapropuestas producidas por amplios sectores de la sociedad respecto a las iniciativas presidenciales de reforma constitucional y por la repercusión pública de hechos de corrupción de alto impacto (de administraciones anteriores y de la actual) ventilados en el sistema de justicia y en los medios de comunicación.

En el ámbito del Congreso de la República, se destaca el "destrabe" de la virtual paralización parlamentaria que lo afectó durante el primer semestre del presente año como resultado de la confrontación entre la bancada oficialista y la opositora de LIDER (especialmente mediante el recurso de interminables interpelaciones a ministros) y rupturas de quórum, que imposibilitaron la discusión y aprobación de diversas iniciativas de ley.

En efecto, a finales del mes de julio se verificó el establecimiento de acuerdos entre bancadas que se tradujo en el cese de las interpelaciones, así como en el inicio de la discusión de algunas de las 42 iniciativas de ley que para dicha fecha contaban con el dictamen favorable de las distintas comisiones legislativas y se encontraban pendientes de tratamiento en el pleno del Congreso.

A pesar de los acuerdos obtenidos, se mantuvo un nivel considerable de divisionismo y de la continuidad de prácticas parlamentarias para obstaculizar la aprobación de leyes, como la iniciativa de Ley Penal contra el Enriquecimiento Ilícito (también llamada "Ley contra la Corrupción"), que ocasionó fuertes reacciones de las minorías parlamentarias, organizaciones de sociedad civil y medios de comunicación.

Deben destacarse las propuestas de reformas a la Constitución Política de la República presentadas ante el Congreso por el Organismo Ejecutivo en el mes de junio, las cuales ocasionaron diversas reacciones en sectores como el académico, indígena, empresarial, incluyendo a organizaciones de la sociedad civil y otros organismos del Estado como la Corte Suprema de Justicia, quienes presentaron una serie de contrapropuestas complementarias, de apoyo o desaprobación a los planteamientos presentados por el Organismo Ejecutivo; sobresaliendo el nivel de consenso generado entre los distintos sectores sociales de priorizar las reformas mediante la creación o modificación de la normativa ordinaria en lugar de la vía de las reformas constitucionales.

Como parte de estos planteos, amplios sectores insistieron en la necesidad y urgencia de abordaje de las reformas a la Ley Electoral y de Partidos Políticos a través de la Comisión Específica de Asuntos Electorales, la cual cuenta con varios años de debate en la sala legislativa y numerosos aportes del Tribunal Supremo Electoral y numerosos organizaciones sociales y académicas. Situación que se mantiene pendiente y vinculada a la dinámica de tratamiento de las propuestas de reforma constitucional.

Por otra parte, el proceso de aprobación de la iniciativa de Ley Penal contra el Enriquecimiento Ilícito se vio afectado por nuevas prácticas parlamentarias nada transparentes, como la provocación intencional de falta de quórum y el intento de alteración del objetivo principal de la iniciativa mediante la presentación de más de treinta enmiendas sin identificación y firmas irreconocibles de los diputados ponentes, quedando aprobados solamente 26 de los más de 46 artículos que conforman dicha iniciativa. Este accionar de numerosos diputados y varias bancadas fue altamente condenado por la opinión pública y varios sectores sociales,

dejando clara evidencia del interés por evitar la aprobación de la creación y aprobación de leyes en materia de transparencia y lucha contra la corrupción.

En este contexto adverso y en base al compromiso por el fortalecimiento institucional y la promoción de legislación en materia de transparencia y combate a la corrupción, el Proyecto de Transparencia e Integridad - PTI- de USAID continuó realizando acciones de apoyo directo al Congreso de la República, las que tuvieron como finalidad el incremento de su capacidad y efectividad en el proceso legislativo, así como su buen funcionamiento interno mediante el incremento de su eficacia y transparencia .

Los resultados de este soporte y asistencia técnica se tradujeron en la elaboración, debate y propuestas de reformas o enmiendas a la legislación existente en materia de transparencia y lucha contra la corrupción, principalmente de las iniciativas de ley asignadas a las Comisiones de Legislación y Puntos Constitucionales, la Específica de Asuntos Electorales, y la Extraordinaria de Apoyo a la Recaudación Tributaria, a las cuales se les brindó apoyo, generalmente como respuesta a requerimientos realizados por las mismas Comisiones, en el diseño, planteamiento y discusión de leyes como la de Contrataciones del Estado, la Ley contra la Corrupción, y las reformas a la Constitución Política de la República en su contenido relacionado con la transparencia y control del gasto público y reformas al sistema político.

Sumado a lo anterior, el PTI apoyó propuestas de cambios en el funcionamiento interno del Congreso, enfocadas en su mayoría a su transparencia, eficiencia y efectividad, lo cual se tradujo en el soporte técnico brindado a las propuestas de reformas de los procedimientos de contratación de personal y el sistema de toma de decisiones que se aplica en el Hemiciclo del Congreso; esto implicó la ayuda y asistencia técnica a la Segunda Vicepresidencia del Congreso en la elaboración de reformas a la Ley Orgánica de ese Organismo, Ley del Servicio Civil y manuales de Contratación, presentadas, en el primer caso, ante el Pleno del Congreso como una Iniciativa a principios del mes de septiembre. Asimismo el soporte técnico otorgado para la elaboración de un diagnóstico del sistema electrónico de control del Hemiciclo que generó importantes reacciones dentro del Congreso de la República ante la alarma por los altos niveles de inseguridad y falta de confiabilidad del mencionado sistema informático de dicho Organismo, lo cual implicó la conformación del Comité de Tecnología del Congreso de la República integrado por diversos miembros de la Junta Directiva y demás áreas internas, el cual tiene como objetivo principal la aplicación de las recomendaciones formuladas a través del diagnóstico del sistema electrónico presentado.

Otro de los aspectos que caracterizó el contexto nacional fue el énfasis que el Organismo Ejecutivo dio al seguimiento de actos de corrupción cometidos por funcionarios públicos pertenecientes a las anteriores administraciones, lo cual se tradujo en la creación de la Secretaría de Control y Transparencia -SECYT-, en febrero del presente año; y en la denominada Fuerza de Tarea contra la Corrupción, conformada por el Ministerio Público, Ministerio de Gobernación, la Secretaría de Control y Transparencia -SECYT-, entre otros, teniendo como objetivo principal la facilitación en la identificación y persecución de actos contra la corrupción.

Los señalamientos de actos de corrupción realizados por funcionarios públicos se convirtieron en una constante de la actual administración, sobresaliendo casos anteriores como la desviación de Q. 82.8 millones del Congreso de la República por parte del ex presidente de dicho organismo en el año 2008, el ex diputado Eduardo Meyer; o bien, casos que involucran a funcionarios actualmente ubicados en puestos públicos como el señalamiento por la malversación de Q. 26 millones del Fondo Nacional para la Paz por parte del actual diputado Edgar Ajcip durante el Gobierno de Óscar Berger; y la creación de empresas para malversar fondos de algunas municipalidades encabezadas por diversos alcaldes.

Ante esta problemática pocos han sido los avances que se han tenido, a tal punto que luego de iniciado el segundo semestre de gobierno, la lucha contra corrupción juntamente con la inseguridad y la justicia, continúan encabezando los principales desafíos a los cuales debe responder el actual gobierno, tomando en consideración el impacto negativo que estas problemáticas irresueltas han tenido sobre la percepción social del accionar gubernamental, que en tan solo seis meses de vigencia del actual gobierno, ha disminuido en un 13%[1] del apoyo social otorgado a inicios del presente año.

A lo anterior se han sumado las fuertes críticas por el débil funcionamiento de las instituciones relacionadas con la transparencia y la lucha contra la corrupción, y los señalamientos del actual gobierno por supuestas presiones realizadas para la renuncia de funcionarios públicos , tales como el Superintendente de Bancos y el Intendente de Verificación Especial, quienes presentaron su renuncia a principios del mes de julio desatando polémica debido a la importancia de estas instituciones en materia de investigación y supervisión del sistema financiero.

En este sentido, también sobresalen las críticas realizadas sobre el funcionamiento de la SECYT, ante la carencia de un accionar eficiente y técnico en el cumplimiento de sus funciones vinculadas a la transparencia y lucha contra la corrupción, debilidad que se agudiza ante la suma de nuevas funciones relacionadas con el seguimiento al uso de los recursos del Estado como resultado de la eliminación del Viceministerio de Transparencia Fiscal y Evaluación perteneciente anteriormente al Ministerio de Finanzas Públicas.

En el marco de esta situación, en cumplimiento de sus compromisos el PTI continuó impulsando durante este trimestre diversas acciones de apoyo a la Secretaría de Control y Transparencia- SECYT-, haciendo énfasis en la necesidad de su fortalecimiento en el papel asignado como la entidad nacional responsable en la lucha contra la corrupción y la transparencia a nivel nacional.

El apoyo del PTI a la SECYT inicia desde su creación y se orienta hacia el aumento de sus capacidades en el diseño, implementación y supervisión de medidas contra la corrupción, las acciones iniciadas incluyen:

- El apoyo para la elaboración de una política de transparencia, así como la asistencia en el fortalecimiento de su mecanismo para el manejo y seguimiento de denuncias de presuntos actos de corrupción en el Organismo.
- El fortalecimiento del personal perteneciente a dicha institución mediante la implementación de un proceso de capacitación en materia de convenciones internacionales contra la corrupción.

De manera complementaria al trabajo realizado con la SECYT, el PTI dio apoyo al Organismo Ejecutivo mediante el fortalecimiento de 28 Unidades de Información Pública pertenecientes a diversos Ministerios, Secretarías y Fondos Nacionales, a través de un proceso de capacitación que evidencia un aumento de conocimiento en un 87% en temas de transparencia, lucha contra la corrupción y acceso a la información pública; dando como resultado el aumento en la implementación de la Ley de Acceso a la Información Pública en cada institución capacitada.

Sumado a lo anterior y como muestra de la debilidad institucional que adolecen la mayoría de instituciones públicas, el Ministerio Público se caracterizó durante este trimestre por el enfrentamiento de diversos

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[1] Dato contenido en la *Encuesta Libre* publicada el 16 de julio 2012 por el medio de comunicación Prensa Libre, luego de los seis primeros meses de gobierno del General Otto Pérez Molina. Para mayor información ver: http://www.prensalibre.com/noticias/politica/Encuesta-Gobierno-Encuesta_Libre-Prodatos-julio-2012_PREFIL20120716_0002.pdf.

desafíos, principalmente en lo relacionado a su función investigativa en temas de corrupción vinculados en su mayoría a funcionarios públicos. Y es que la Fiscalía creada para esta finalidad (Fiscalía de Sección contra la Corrupción) ha producido un recambio casi total de su personal con jóvenes sin la suficiente preparación académica, desconocimiento de la institucionalidad pública y casi inexistente experiencia profesional, carece de los recursos técnicos y legales necesarios para combatir la corrupción. De igual manera, emprendió un proceso de restructuración de su sistema de gestión de casos, que se encuentra en proceso de implementación inicial y que ha incidido en una disminución de su actividad investigativa.

Todo lo anterior se agudiza ante la falta de figuras legales que permitan la correcta exposición de delitos de corrupción ante un juzgado, sumado a la débil coordinación y traslado de información de otras instituciones públicas vinculadas con este tema. De esa cuenta, la renuncia de funcionarios públicos que encabezan instituciones como la Superintendencia de Bancos, así como la negativa de la aprobación de normativas como la Ley contra la Corrupción, siguen generando un impacto altamente negativo que restringen el eficiente y completo funcionamiento que en materia de investigación está asignado al Ministerio Público.

Ante esta problemática, las autoridades del Ministerio Público han continuado manifestando sus obstáculos y desafíos, y han planteado la necesidad de obtener apoyo por parte de organismos del Estado como el Legislativo y Judicial en la agilización de procesos de fortalecimiento institucional que puedan traducirse en la aprobación de la normativa específica en materia de combate a la corrupción y transparencia, así como en la creación de juzgados especializados en esta temática. La respuesta ante estos desafíos y planteamientos continúa pendiente.

Como muestra de la importancia que posee el fortalecimiento del Ministerio Público en la lucha contra la corrupción y la transparencia, así como en la aceptación de la real existencia de los desafíos planteados en materia investigativa por esta institución, el PTI continuó otorgando apoyo y asistencia técnica al Ministerio Público con la finalidad de fortalecer sus mecanismos en materia de persecución de casos vinculados con la corrupción. Entre este apoyo se encuentra:

- Implementación de un programa de capacitación a funcionarios de la Fiscalía de Sección contra la Corrupción, con la finalidad de estandarizar las capacidades de su personal interno.
- Entrega de manuales y guías de aplicación que definieron los lineamientos generales en materia de investigación criminal de hechos vinculados con la corrupción.

Los resultados de este apoyo técnico y acompañamiento brindado por el PTI fueron evidentes en el litigio de cinco casos de corrupción vinculados a funcionarios públicos, en los que la asesoría técnica brindada por los expertos del PTI generaron importantes avances en la ordenación de la sucesión de hechos del caso, el planteamiento de la hipótesis criminal, así como en la elaboración y ejecución del respectivo plan de investigación,

De manera complementaria y ante la importancia que tiene para el Ministerio Público la eficiente coordinación con otras instituciones públicas relacionadas con la transparencia y combate a la corrupción, el PTI brindó apoyo técnico a la Contraloría General de Cuentas de la Nación con la finalidad de generar procesos de coordinación y sinergia entre ambas instituciones en la elaboración y fundamentación de casos de corrupción de funcionarios públicos registrados en los expedientes de la Contraloría y posteriormente trasladados al Ministerio Público. De esa cuenta y en el marco de una carta de entendimiento firmada en el mes de julio por la Contraloría, el PTI implementó un proceso de apoyo técnico a su área jurídica que

incrementó los niveles de desempeño en temas vinculados con la formulación de los delitos de corrupción, así como la revisión, traslado y formulación de demandas en materia de corrupción.

Por su parte, y como resultado de las anteriores características del contexto nacional, las Organizaciones de la Sociedad Civil continuaron desempeñando un papel determinante como generadoras de propuestas y opinión pública, mediante sus acciones de incidencia y auditoría social realizadas a las instituciones públicas.

En este sentido, sobresale el seguimiento realizado por diversas OSC a los procesos de selección y elección de funcionarios públicos, específicamente la elección del Director del Instituto Nacional de Ciencias Forenses -INACIF-, desarrollado durante este trimestre y en el que algunas OSC monitorearon el cumplimiento de los principios de idoneidad, transparencia y objetividad en el proceso de elección de su Director, así como en la presentación de denuncias y objeciones a la participación de algunos candidatos.

A lo anterior se suman las importantes intervenciones que las OSC representantes de varios sectores como el indígena, académico, mujeres y jóvenes, entre otros, realizaron a las propuestas de reforma e iniciativas de ley presentadas en el Congreso de la República tales como la Ley Electoral y de Partidos Políticos, la propuestas de reformas a la Constitución Pública de la República y la iniciativa de Ley contra la Corrupción. Todas estas propuestas e iniciativas fueron ampliamente debatidas por las OSC en los espacios de debate generados dentro del Congreso de la República, permitiendo la construcción de consensos entre las mismas, enfocando sus propuestas y demandas a la priorización de las reformas a la normativa ordinaria existente en sustitución de las reformas constitucionales, así como a la priorización, debate y aprobación de mecanismos que fomenten la transparencia y lucha contra la corrupción, contenidos en la Ley Electoral y de Partidos Políticos y en la Iniciativa de Ley contra la Corrupción.

Como parte del incremento y fortalecimiento de la participación de las OSC en procesos de auditoría social y acciones de incidencia, el PTI apoyó la participación de las mismas como demandantes ante las diversas instituciones públicas respecto al cumplimiento eficiente de sus funciones y fomento de la transparencia y la lucha contra la corrupción.

En este sentido sobresale el apoyo técnico brindado por el PTI a más de 12 OSC, que como muestra de la inconformidad por los pocos avances que en materia de producción legislativa en temas de transparencia y lucha contra la corrupción ha tenido durante este trimestre el Congreso de la República, manifestó su descontento y petición directa a dicho Organismo mediante la publicación de un comunicado de prensa solicitando la aprobación de la iniciativa de Ley contra la Corrupción.

El apoyo del PTI también se evidenció en el soporte y apoyo otorgado a OSC en la elaboración, discusión y presentación de propuestas técnicas en materia de legislación vinculadas con la transparencia y lucha contra la corrupción, las cuales fueron presentadas ante el Congreso de la República y Comisiones legislativas específicas, sobresaliendo en este sentido las propuestas de reforma a la Ley Electoral y de Partidos Políticos presentadas por diversos consorcios de OSC, en las que se hizo énfasis a la transparencia en el financiamiento de los partidos políticos y los mecanismos de control del Tribunal Supremo Electoral. Asimismo el apoyo otorgado a Organizaciones como el Centro de Investigaciones Económicas Nacionales -CIEN- y el Instituto Centroamericano de Finanzas Públicas -ICEFI- vinculado a la transparencia presupuestaria y al diagnóstico de los niveles de transparencia en el manejo de las finanzas públicas; todos ellos traducidos en la generación de recomendaciones específicas ampliamente difundidas por los medios de comunicación y presentadas a las instituciones gubernamentales correspondientes.

Los resultados del apoyo por parte del PTI a las acciones de auditoría e incidencia encabezadas por las OSC se tradujeron a su vez en planteamientos de reformas de los mecanismos y funcionamientos internos de algunas instituciones públicas, tal como se evidencia en los resultados obtenidos por:

- El apoyo brindado a la Organización de Acción Ciudadana, que durante este trimestre finalizó el acompañamiento otorgado a la Segunda Vicepresidencia del Organismo Legislativo en su propuesta de reforma a su Ley Orgánica, Ley del Servicio Civil y reglamentos, presentadas, en el caso de la primera, durante el mes de septiembre como una nueva Iniciativa de Ley a ser debatida en el Pleno del Congreso de la República.
- El cambio generado por el Movimiento Pro Justicia en el proceso de elección del Director del INACIF, que por primera vez aplicó los principios de transparencia, idoneidad, publicidad y objetividad contenidos en la Ley de Comisiones de Postulación.
- Fomento e incremento de las capacidades internas de cada OSC en el ejercicio de procesos de acompañamiento y monitoreo en el combate contra la corrupción Mediante el proceso de capacitación técnica a más de 10 OSC en el interior de la República en temáticas vinculadas con la transparencia, convenciones internacionales contra la corrupción y acceso a la información pública.
- Capacitación de más de 17 OSC que recibieron asistencia técnica y formación para la elaboración de planes estratégicos de comunicación y uso de herramientas de tecnología e información. Ambos procesos incrementaron las capacidades de las OSC en el impulso de acciones de incidencia y auditoría social más acertadas, específicamente en las temáticas vinculadas con la corrupción y la transparencia.

En el marco de este accionar conjunto de las OSC, sobresale el papel desempeñado por el Sector Privado, que a pesar de coincidir con las diversas OSC respecto a la priorización del abordaje en el Organismo Legislativo de las reformas a la normativa ordinaria, principalmente de la Ley Electoral y de Partidos Políticos, fue el único sector que manifestó públicamente su oposición a la reforma de la Constitución Política de la República, considerando su innecesaria modificación ante la existencia de otros mecanismos de fortalecimiento normativo más viables y menos conflictivos.

En materia de transparencia y lucha contra la corrupción este sector participó en el debate para la aprobación de las leyes contenidas en el paquete de transparencia, tales como la Ley contra la Corrupción. Y es que el apoyo brindado a esta normativa responde a intereses del sector privado vinculados con el combate a la corrupción en el manejo del gasto público, así como en la generación de un ambiente propicio que estimule la inversión económica en el país como resultado de las garantías de transparencia existentes en el manejo financiero y económico a nivel nacional.

El trabajo realizado por el PTI con el Sector Privado, a pesar de la falta de estrategias específicas y priorizadas por este sector relacionadas con la lucha contra la corrupción y el fomento de la transparencia, se basó principalmente en el apoyo para la generación de espacios de debate en relación a las propuestas de reformas a la Constitución Política de la República, lo cual propició la elaboración de planteamientos técnicos presentados ante el Organismo Ejecutivo respecto a la inviabilidad y necesaria sustitución de la discusión de esta propuesta por las reformas a la normativa ordinaria actualmente existente.

Como era de esperar, los principales acontecimientos políticos e institucionales referidos anteriormente, así como las acciones de incidencia y auditoría social realizadas por las OSC fueron ampliamente cubiertos por los distintos Medios de Comunicación, que a través de las diversas publicaciones hicieron énfasis en la

problemática de la corrupción, que juntamente con la inseguridad, criminalidad e inestabilidad institucional, ocuparon las primeras planas publicadas durante este trimestre.

En este sentido sobresalen los titulares, editoriales y columnas noticiosas vinculadas a la dinámica desarrollada en el Organismo Legislativo, en donde los continuos obstáculos y uso de prácticas parlamentarias que limitaron la aprobación de iniciativas como la Ley contra la Corrupción, sumado a los escándalos de corrupción realizados por funcionarios públicos, conllevaron a la publicación de opiniones que hacían énfasis en los mínimos esfuerzos que en materia de transparencia está realizando el actual gobierno.

Conjuntamente con lo anterior, se resaltó la inestabilidad institucional generada por los constantes señalamientos a funcionarios públicos, que aunado a la falta de resultados concretos en el cumplimiento de sus funciones asignadas, incrementaron la desconfianza y desaprobación por parte de la sociedad a la institucionalidad pública, aspecto que se agudizó ante el aumento de la conflictividad social en la que varios grupos sociales encabezaron distintas manifestaciones por la inseguridad, criminalidad, aumento del costo de la vida, y desacuerdos en diversas temáticas, principalmente en la relacionada con la educación.

Tomando en consideración la importancia que ejercen los medios de comunicación en la generación de información, así como en la promoción de la rendición de cuentas y control de la corrupción, el PTI impulsó un proceso de fortalecimiento y mejora de sus capacidades en materia investigativa, implementando un proceso de capacitación a periodistas de medios de comunicación escrita, televisiva, radial y virtual en temas como el periodismo investigativo aplicado a casos relacionados con temas de corrupción y falta de transparencia, teniendo como principal finalidad el fomento de la publicación de notas y reportajes altamente fundamentados y que puedan, de ser posible, generar posteriores procesos investigativos y judiciales encabezados por las instituciones públicas correspondientes.

De esa cuenta y teniendo como finalidad la publicación de 25 notas y 12 piezas de investigación vinculadas a la transparencia y lucha contra la corrupción, durante el mes de agosto se inició la capacitación de 25 periodistas pertenecientes a 8 medios de comunicación, que han recibido asistencia técnica y formación en temas como periodismo investigativo y asistido por computadora, las convenciones internacionales en materia de corrupción, el uso de herramientas informáticas vinculadas al Gobierno Abierto, la transparencia, la Ley de Acceso a la Información, entre otros.

Para lo cual se ha contado con la participación de expertos nacionales en cada tema, así como con la participación de la periodista costarricense Giannina Segnini, especializada en periodismo de investigación asistido por computadora, quien es altamente reconocida por sus investigaciones y publicaciones realizadas en materia de corrupción y transparencia, y que a su vez les ha dado asesoría técnica y acompañamiento cercano a las piezas de investigación elaboradas por los periodistas. Como resultado de este proceso, actualmente se han publicado 4 notas periodísticas relacionadas con la transparencia, la lucha contra la corrupción y demás temáticas abordadas durante las capacitaciones, que evidencian el trabajo y la formación técnica adquirida a partir del apoyo otorgado por el PTI.

# 1.0 NARRATIVE REPORTING

## 1.2 ACTIVITY REPORTING

### 1.2.1 SUB-IR 2.1: CITIZENS BETTER INFORMED AND CAPABLE TO OVERSEE AND FIGHT AGAINST CORRUPTION

Under this Sub-IR, the Transparency and Integrity Project (PTI) is facilitating access to technical and financial resources for civil society organizations (CSOs), media outlets, and the private sector to increase their capacity to fight against corruption.

The activities and tasks described under this section will be mentioned under other Lower-Level Results (LLRs). They are noted under this section to demonstrate the entirety of the work plan and each LLR result, and illustrate how civil society participation and capacity is being improved and strengthened through the development of several activities.

**LOWER-LEVEL RESULT 2.1.1: INCREASE AND STRENGTHEN PARTICIPATION OF CSOs IN WATCHDOG ACTIVITIES AND OVERSIGHT OF PUBLIC RESOURCES AND FUNCTIONS OF PUBLIC AUTHORITIES**

PTI continued to award sub-grants to implement activities under this LLR.

By the end of this reporting period, PTI had awarded 18 sub-grants totaling US$818,025.71to local organizations to engage CSOs in social auditing initiatives that detect and curb corruption. These are:

**A.- Center for National Economic Investigation (Centro de Investigaciones Económicas Nacionales -CIEN):**

During this quarter, as a continuation of the US$27,663.46 grant signed on February 10, 2012, CIEN developed the Guatemalan section of the 2011 edition of the Latin American Index on Budget Transparency[2] (Índice Latinoamericano de Transparencia Presupuestaria -ILTP). This included the quantitative assessment of budget transparency in Guatemala that produced recommendations for improvement, as well as advocated for principal actors to implement the recommended actions, as reported on in the previous quarter. As a result, the project made important progress towards its objective to advocate for improved transparency

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[2]The Latin American Index of Budget Transparency is an instrument used to measure the degree of transparency in national public spending and facilitates comparisons between countries over time. It updates existing knowledge on the budget process and the importance of transparency in this field, and identifies specific budget areas with less transparency so that governments can work toward concrete solutions.

throughout Guatemala´s national budget process.

CIEN reviewed the assessment findings and, in particular, the recommendations with relevant stakeholders and decided on a course of action to increase transparency in the design, approval, and execution of the public budget.  CIEN carried out the following activities:

- Distributed 400 copies of the ILTP annual report to important stakeholders including representatives of the Ministry of Finance, the Guatemala Central Bank, the Secretariat for Planning and Programming (SEGEPLAN by its acronym in Spanish), local universities, libraries, civil society organizations, think tanks, among others.

- Scheduled bilateral meetings with academia and think tanks specializing in financial, fiscal and transparency issues such as the Central American Institute for Fiscal Studies (Instituto Centroamericano de Estudios Fiscales -ICEFI),  the International Center for Human Rights Research (Centro Internacional para la Investigación en Derechos Humanos -CIIDH) and the local chapter for Transparency International (Acción Ciudadana -AC).  The meetings were organized in order to raise awareness regarding the ILTP scores and discuss activities that could contribute to future improvements in budgetary transparency.

- Organized a second meeting with the working group consisting of representatives from the Office of the Comptroller General (Contraloría General de Cuentas -CGC), the Office of the Human Rights Ombudsman (Procuraduría de Derechos Humanos PDH), the Secretariat for Control and Transparency (Secretaría de Control y Transparencia -SECYT), the Secretariat for Planning and Programming (Secretaría de Planificación y Programación de la Presidencia -Segeplan) and the National Congress to discuss issues pertaining to: a) floating debt and expenditure commitments; b) procurement and acquisitions; c) internal audit units; d) freedom on information legislation and e) information systems. CIEN then drafted a document to record the recommendations and proposals produced by the working group and summarized the findings produced through interviews and meetings with CSOs and research centers. **(Annex 1, part 1)**

In addition, CIEN, through a donation from the project, also coordinated efforts with the Secretariat for Control and Transparency (SECYT) in the Office of the Vice President. These efforts were as follows:

- Drafted a document on recommendations to improve the performance of the Internal Audit Units (Unidades de Auditoría Interna -UDAI) that operate within the Executive Branch (**Annex 2).** CIEN analyzed the operations of each unit and assessed the feasibility of having SECYT launch an orientation and coordinate to oversee the Units.  CIEN submitted the report to SECYT including specific descriptions of basic concepts and regulatory standards based on international practice and then incorporated them into specific recommendations for SECYT.

- Drafted a document on short-term results indicators for SECYT´s annual work plan **(Annex 1, part 2)**. These indicators were: a) communications and information technology; b) human resource management; c) finances; d) legal services; e) procurement and f) communications. SECYT proceeded to factor in the indicators as part of its work plan for the year.

The results of the diagnostic assessment and the activities carried out by CIEN had a significant impact, not only because SECYT used the information to create its work plan, but also because the findings were widely discussed in the media and in academia as part of the body of work produced by the working group.

**B. - Family and Friends against Crime and Kidnapping (*Familiares y amigos contra la Delincuencia y el Secuestro* -FADS), member of the ProJustice Movement (MPJ):**

As part of the US$64,001.80 grant signed on March 30, 2012 with FADS[3], these grant funds were used to advocat for comprehensive legal, political and administrative processes in the election of the new Director of the National Institute of Forensic Sciences (Instituto *Nacional de Ciencias Forenses de Guatemala* –INACIF), as was done with the election of the new human rights ombudsman (*Procurador de los Derechos Humanos* –PDH) last quarter. In addition to advocating for transparent election processes, MPJ used its prior experience in utilizing citizen oversight to conduct a parallel effort to promote reforms to the law on Nomination Committees.

The INACIF Board includes members of the Supreme Court of Justice (CSJ), the Ministry of the Interior (MinGob), the Public Ministry (MP), the Public Defense Institute (*Instituto de la Defensa Publica Penal* -IDPP), the Guatemalan Bar Association (*Colegio de Abogados y Notarios de Guatemala* -CANG), as well as the chairmen of the medical and pharmaceutical boards of Guatemala. All of the deliberations of the Board were governed by the INACIF charter and by the provisions stated in the Law on Nomination Committees to ensure that potential candidates were considered based on their professional and academic qualifications as well as their ethical backgrounds.

During the election process, MPJ filed a complaint against Sergio Lima Morales' candidacy due to his lack of ethics and professional qualifications. There were prior reports of illegal activities while working for the National Civilian Police. MPJ also reported a number of other complaints filed against Silvia Cristina Garcia Gonzalez and Miriam Ovalle for similar reasons. In the end, Dr. Jorge Nery Cabrera Cabrera was elected by the INACIF board and took office on July 18, 2012.



Presidenta de CSJ juramentando a nuevo director de INACIF

MPJ´s oversight efforts included defining criteria and structuring each of the hearings to more efficiently conduct the process. MPJ used monitoring techniques and media coverage, along with information and communication technology such as social networking websites to encourage citizen participation during the ongoing election process. From July 18 through August 18, the MPJ website received almost 1,000 hits (66.56% were new visitors located in Guatemala) along with hits from Mexico, United Sates and Canada. Media coverage in Guatemala included a comprehensive

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3FADS is the institution that provides administrative, financial, and managerial cohesion to Movimiento Projusticia (Pro-Justice Movement- MPJ). MPJ is a well-respected civil society alliance of several independent CSOs with a proactive track record on behalf of justice and human rights in Guatemala. The organizations in the MPJ alliance are: Myrna Mack Foundation, FADS--*Asociacion de Familiares y Amigos contra la Delicuencia y el Secuestro* (Association of Families and Friends Against Crime and Kidnapping), and *Agrupacion de Madres Angustiadas* (Anguished Mothers Group). For over a decade now, MPJ has been a continuous and strong force to gather public support and advocate on behalf of ensuring transparency in the election of government officials.

description and updates on both election processes mentioned earlier in this section, as well as frequent editorials and op-ed columns as events unfolded.

On a final note, MPJ continued its advocacy efforts to pass reforms to the Law on Nominations Committees. PTI support, since 2009, has enabled MPJ to monitor a significant number of public office elections. As a result of the continued support and leveraging of other resources, MPJ has been able to clearly identify significant gaps and obstacles in the legislation. With support from Congresswoman Nineth Montenegro, MPJ is redoubling efforts to promote necessary reforms. Over the course of this reporting period, one of MPJ´s primary areas of concentration was to meet with members of Congress, academia and the media to discuss issues with the reform process, as well as the particulars in promoting Bill 4471 **(Annex 3)** sponsored this past March by Congresswoman Montenegro. The bill was designed to promote greater transparency, objectivity, public disclosure and selection of the most qualified candidates to take public office. The most salient aspects of the proposed modifications address the following issues: conflict of interest, committee member no-shows during the process, campaign finance, application deadlines, qualification descriptions, and social auditing.

MPJ, in its effort to advocate for these reforms has forged alliances with members of Congress, working closely with the Legislative Committee and sought for further allies among party blocks. They are also networking with former members of Nomination Commissions to exchange experiences, gather best practices and join efforts with other CSOs to develop communication and awareness strategies and campaigns. The hope is to have these reforms passed and in place before electing the magistrates to the Supreme Electoral Tribunal in 2014. These reforms would ensure a proper legal framework was guiding the electoral process which will result in greater transparency, disclosure and integrity.

In a public event on July 27, 2012, MPJ discussed the proposed legislative reforms to the Law on Nomination Commissions in an effort to encourage dialogue of the proposed modifications and promote their passage.

Participants of this event included: Magistrate Luis Archila, candidate in 2009 to the Supreme Court and



presided over the Commission in 2010 to select candidates for Attorney General; Congressman Jose A. Arevalo, one of the legislators that voted in favor of passing the law and was later member of the Commission to elect the human rights ombudsman; Enrique Moller, a jurist that leads a group of experts overseeing nomination processes; delegates from the United Nations Office of the High Commissioner for Human Rights as permanent observers to implementation of the law, along with representatives from various social and media organizations. The event was broadcast live by Guatemala Visible.

Through these grant funds, MPJ accomplished the following:

- Applied the principles that govern the Law on Nomination Commissions in the elections for PDH and Director of INACIF as well as to apply technical tools and instruments that ensure the best possible review and evaluation of candidates and proposed work plans.

- Produced awareness campaigns that enhanced the political and technical credentials of the MPJ, enabling them to provide greater oversight to these as well as future elections; greater credibility for MPJ to lead discussions with members of the commissions and potential candidates to then consolidate results for the media, other candidates and interested parties from civil society.

- Developed a proposal on reforms to the Law on Nomination Commissions based on analysis of previous elections, the effects of the current legislation and lessons learned.

Dating back to the first oversight effort led by MPJ, it became obvious that the Law on Nomination Commissions fell short of meeting the need to increase transparency, disclosure and integrity in electing candidates to important public positions. PTI provided assistance to MPJ throughout this effort. The project is pleased to report the bill sponsored by Congresswoman Montenegro is the result of four different citizen oversight activities funded through PTI grants[4].

## C. - Accion Ciudadana (AC):

As part of the US$93,377.79 grant to Accion Ciudadana (AC) to promote a more transparent human resource management system in the National Congress, this quarter AC carried out the following activities[5]:

- Delivered legal inputs to develop a proposal to reform the charter legislation (*Ley Organica del Organismo Legislativo* -LOL) and the civil service law (*Ley del Servicio Civil del Organismo Legislativo* - LSCOL) in the legislative branch.

- Designed and conducted two working group sessions on July 6 and 13 to discuss the main issues regarding LOL and LSCOL reform. The working group was led by the President of AC, Manfredo Marroquin, and the AC Executive Director, Oscar Vasquez. Consultants hired by AC joined the working groups to present a diagnostic assessment of human resources in Congress together with proposed reforms to the LOL and the LSCOL and their corresponding regulations. The activities included the participation of the Second Vice President of Congress, Congresswoman Nineth Montenegro, and her advisors, along with advisors to various congressional committees, members of Congress and political party representatives (*Partido Unionista, Encuentro por Guatemala, Winaq*, among others). Participants also included representatives from the Congressional Permanent Unit for Technical Assistance (*Unidad Permanente de Asesoria Tecnica* -UPAT) and representatives from the national congressional labor unions (*Sindicato Nacional de Trabajadores del Organismo Legislativo* –STOL and *Sindicato de Trabajadores del Congreso de la Republica* -Sitracor); the congressional professional guild (*Asociacion de Profesionales del Congreso* -Aprocor); the international community (Netherlands Institute

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[4] a) Monitoring of the implementation of the Law on Nominating Committees in the election of Attorney General with special emphasis on the guiding principles of transparency, openness and objectivity signed on February 5, 2010 b) Monitoring the implementation of the Law on Nominating Committees in election processes Attorney General's Office Comptroller and Auditor General's Office with emphasis on the application of the guiding principles of transparency, openness, objectivity and search suitability signed on September 28, c) Advocacy for the implementation of the guiding principles of the Act Nominating Committees in the integration process of the Constitutional Court for 2011-2016 signed on February 3, 2011 d) Impact on the consolidation of legislative, political and administrative transparency and publicity signed on March 30, 2012

[5] The "status assessment" provided a clear understanding of the situation pertaining to human resource management in the National Congress and includes a proposal to modify current handbooks and prepare additional manuals. Unfortunately, AC failed to receive the deliverables due to non-compliance and technical shortfalls on the part of the consultant. Although the situation led to two products that failed to be delivered, the consequences were not significant because the Board of Directors of Congress indicated that their greatest areas of interest lay in the proposed reforms to the charter legislation and congressional civil service, as delivered.

for Multiparty Democracy –NIMD and USAID´s Transparency and Integrity Project (PTI) together with the media and civil society organizations.

- Produced a legislative proposal to reform the LOL and the LSCOL, based on the input and contributions from the working groups. Using a method specially designed by AC, the working group discussed, analyzed and later agreed upon the contents of the proposal during the sessions on July 16 and 20.

- Developed a proposal to reform the charter legislation for the legislative branch (Ley Organica del Organismo Legislativo -LOL) and regulations officially submitted on July 18 to the Board of Directors of Congress and presented it to the public on August 6. The proposal was sponsored by the following members of Congress: Nineth Montenegro, Christian Boussinot, Gudy Rivera, Oscar Chinchilla, Graciela Aquino, Baudilio Hichos, Estuardo Galdamez, Luis Pedro Alvarez, Manuel Barquin and Hector Lira. The proposal was submitted to the full assembly of Congress as bill 4541 on September 4, 2012. **(Annex 4)**

- Prepared a proposal to reform civil service legislation for Congress (LSCOL) and corresponding regulations that was publically presented on September 5. During the event, Congresswoman Montenegro publically acknowledged the support provided by AC and PTI to improve human resource management in the legislative branch and indicated that the bill on congressional civil service legislation would be reviewed by the Board and submitted for approval in the very near future. **(Annex 5)**



- Coordinated two public events, the first on August 6 to publicly present both reform proposals; the second on September 5 to publically present civil service reforms. The activities were attended by members of the Board of Directors of the National Congress, labor union representatives, civil society organizations and the media. The activity also provided an opportunity to distribute a CD describing the reform proposals to improve congressional human resource management. The CD developed by AC as part of their grant activities and was also delivered to the 16 political party leaders in Congress and the remaining members of the Board.



- Developed an action plan and submitted it to the Second Vice President of Congress as a proposal for suggested follow up to the proposed reforms to the LOL and the LSCOL. The action plan provides guidelines to support the process, optimize results and increase transparency in human resource management within the legislative branch. The action plan is designed to improve the consensus-building process and enhance critical thinking by stakeholders. Ongoing progress reports are used to identify possible courses of action to increase efficiency and transparency.

- Drafted general guidelines for an advocacy strategy to dovetail the process taking place within Congress in order to approve the proposed legislative reforms as described above. The document includes specific provisions taking into consideration the political context and identified potential allies within Congress to support the advocacy efforts.

In sum, the PTI grant implemented by AC was a two-pronged approach -- 1) to provide support to the Second Vice President of Congress as described above and 2) to create a more effective civil service program within Congress that includes improved human resource management.

The two legislative reform proposals (LOL and LSCOL) are the results of close coordination between AC and the Second Vice President of Congress. If the proposals are passed, the joint efforts will have institutional strengthening effects on the legislative branch and build on previous efforts to separate the political role from managerial duties as was the original intent of the LOL reforms back in 1998. The efforts will also increase transparency in human resource management and will contribute to improving the credibility of Congress and the congressional Board of Directors. This will result in overall improvements in the institution in relation to transparency and efficient operations.

One major success of this project was to bring together civil society, labor unions, members of Congress, consultants, the media and the general public to analyze and discuss a major issue.

### Activities to Foster Advocacy

In addition to the grants supporting CSOs to conduct social auditing, PTI has also designed a strategy to foster advocacy efforts among CSOs. The strategy paper entitled "Fostering Advocacy Efforts among CSOs" was developed in order to create ongoing opportunities for the exchange of reliable and quality information as it pertains to advocacy on behalf of transparency and anticorruption efforts, as reported last quarter. The CSO strategy put PTI in a position to provide direct assistance to create mechanisms, develop public policy and institutional decision making processes in favor of increased transparency in public

### D.- Central American Institute for Fiscal Research (*Instituto Centroamericano de Estudios Fiscales* -ICEFI):

PTI provided a grant to ICEFI in the amount of US$3,500 to accomplish the following:

- Publish the report entitled: "Guatemala: Fiscal Challenges Facing the New Administration and Diagnostic Assessment of Public Finances to March 2012." The report included an attachment on fiscal transparency analysis pertaining to such issues as mining royalties, trust funds, procurement and contracting and pending legislative bills. **(Annex 6)**
- Carry out a public forum on August 9 to discuss passing Bill 4461 -- a law pertaining to institutional strengthening to promote transparency and quality of public spending. The forum provided an opportunity to discuss some of the proposals submitted by members of Congress that have spearheaded coordination of technical aspects required to pass the bill. The activity also included discussions regarding the



Public Forum to discuss "Ley de Fortalecimiento de la institucionalidad para la transparencia y la calidad de gasto público"

results of congressional committee's efforts to share information with participants, opinion shapers and think tank representatives at the forum. As a result, the grant activities made a direct and tangible contribution by advocating for passage of the legislation.

Participants in the forum included members of Congress, congressional advisors, representatives from the media and academia. The event included presentations made by two senior economic analysts from ICEFI, Jonathan Mencos and Ricardo Barrientos, as well as presentations by three members of Congress: Carlos Barreda (*Partido Union Nacional de la Esperanz*a –UNE-), Pedro Muadi (*Partido Patriota* –PP-) and Hugo Moran (*Partido de Avanzada Nacional* –PAN-).

Participants also received copies of the assessment mentioned earlier, along with a press release issued by ICEFI advocating for Congress to pass the transparency legislation prior to voting to approve the 2013 national budget.

- Organized a public event on August 30 entitled "Reforms to Bank Secrecy Regulations for Tax Oversight." The purpose of the event was to analyze the obstacles in regulating bank confidentiality in regards to fiscal oversight. The event also provided an opportunity to discuss the need to strengthen the Guatemalan Tax Administration (SAT in Spanish) with more appropriate tools to conduct fiscal oversight and controls. The discussions addressed the respect for constitutional rights and the confidentiality of bank information in regards to the checks and balances intrinsic to the division of political powers.

Participants included members of Congress, academia, the media and civil society. Congressmen Edgar Ajcip (*Partido Libertad Democratica Renovada* –LIDER-), Luis Pedro Alvarez (*Encuentro por Guatemala* –EG-) and Carlos Barreda (*Unidad Nacional de la Esperanza* –UNE) made presentations covering their party platforms regarding bank confidentiality. Two senior economic analysts from ICEFI, Mynor Cabrera and Ricardo Barrientos, moderated the debate and



Debate on reforms to bank confidentiality regulations

summarized conclusions following the presentations.

To conclude, ICEFI distributed copies of its press release with recommendations for Congress to regulate bank confidentiality regarding fiscal oversight and controls. The event was covered by 15 mass media outlets, including press, radio and digital media.

- Organized the first forum on September 18 to analyze the proposal for 2013 national budget funding with particular emphasis on fiscal transparency. The forum designed to discuss the key objectives of the proposed budget for FY 2013 and conduct advocacy within the National Congress to increase

transparency. Mario Rolando Torres Marroquin (independent) and Jose Alejandro Arevalo (independent) both made presentations addressing the importance of the initiative 4559, that supports the approval of the 2013 budget, and the need for social investment and budget priorities. In closing, an ICEFI senior economic analyst, Ricardo Barrientos, remarked on the current debate regarding tax revenue targets, shifting priorities in public expenditures, regulations governing budget implementation and the political debate process to review, vote and approve the bill. Participants also included representatives from civil society, the media and academia.

By organizing the activities described above, PTI provided support to ICEFI to discuss and analyze current important issues regarding fiscal transparency and provide opportunities for students, academics, CSO representatives, legislators and congressional staffers to exchange ideas and provide input for stakeholders and decision makers as the date approaches to approve the 2013 national budget.

**E.- National Agency for Political Reform (*Convergencia Nacional por la Reforma Politica* - CONAREP):**

PTI approved a proposal submitted by Acción Ciudadana as a member of the CONAREP consortium, to carry out activities to advocate for reforms to the Law on Elections and Political Parties. More specifically, the grant is designed to address advocacy regarding political party financing and the oversight role of the Supreme Electoral Tribunal (*Tribunal Supremo Electoral* -TSE). (Further details are provided in the results narrative under SUB-IR 2.4 A more transparent political party financing system established and working).

**F.- URL-ASIES-USAC Consortium:**

Representing the URL-ASIES-USAC consortium, Rafael Landivar University (URL) submitted a proposal to the project to advocate for reforms to the Law on Elections and Political Parties, particularly as they pertain to political party finances and institutional strengthening of TSE to control and oversee political spending.

Given that the particulars of the last two grant proposals pertain specifically to PTI activities being implemented as part of a three-part joint effort for political reform coordinated through USAID, further details on these grant proposals are provided in this report under SUB IR 2.4 "Transparent System for Political Party Financing Established and Operating."

**Other Activities**

- **Discuss proposed constitutional reforms presented by the Executive Branch**

The process for constitutional reforms is one of the most important efforts undertaken by the Executive Branch and is widely considered to be a key aspect of increasing transparency. On July 5 PTI called a meeting to gather CSO counterparts. The discussion centered on exchanging opinions regarding the constitutional reform proposal, particularly the aspects pertaining to transparency. They also discussed exploring further



Meeting to analyze transparency issues in proposed constitutional reforms

opportunities to open debate and promote alliances among civil society to study the constitutional reforms with increased scrutiny on transparency issues.

Ten civil society organizations were represented: AC, ICEFI, URL, *Centro de Accion Legal Ambiental y Social* – CALAS, *Facultad Latinoamericana de Ciencias Sociales* –FLACSO, *Fundacion para el Desarrollo de Guatemala* – FUNDESA, *Grupo de Apoyo Mutuo* –GAM, DOSES Foundation, the ProJustice Movement –MPJ and the *Instituto de Investigacion y Analisis Independiente de Guatemala* –INAIG.

A recurring theme in the discussions was the importance of emphasizing transparency throughout the proposed constitutional reforms as the current proposal made very little reference to the issue. As a result, participants agreed that the first order of business would be to carefully review the content and then recommend ways in which transparency could be incorporated as a cross-cutting theme.

Participants also discussed the likelihood of passage, primarily as influenced by the power plays in Congress and possible public perception of a lack of legitimacy because of a poor citizen understanding of the subject. Although there is little optimism that the reforms will be passed, the participants agreed that the issues need to be debated regardless.

CSO representatives placed a high priority on modifying and strengthening routine regulations and standards already in place rather than going straight for constitutional reforms. To this end, the participants stressed the need to pass the Law on Elections and Political Parties as a key step forward to making significant changes prior to considering major constitutional reforms.

The discussion also focused on some of the stakeholders that have already spoken out against the proposal, particularly those in the private sector or in the Office of the Comptroller General. .

Lastly, participants discussed the process of constitutional reform as a window of opportunity for CSOs to promote the transparency agenda and discuss how the agenda can be promoted through existing institutional mechanisms, creating or modifying legislation, rather than undertaking a major reform process. The final discussions provided PTI with an excellent opportunity to promote alliances among several CSOs to continue debating and producing proposals in areas of shared interest to foster increased transparency and curb corruption in public administration.

- **Advocacy efforts to pass Anti-corruption Legislation**

Early in September 2012, the anti-corruption bill preventing and sanctioning illicit enrichment and establishing regulations that govern responsibility and liability (as discussed in the previous quarter) had made its way to the congressional floor for final approval. Unfortunately, approval was blocked and political parties threatened drastic amendments to the bill. The vote had been expected on August 28 with over one hundred legislators present to vote, but the leadership withdrew and the vote was postponed for a later date. On the appointed day, less than half of the membership was present and the vote was again postponed until September 4.

In light of the delays, several civil society organizations counterparts (Centro de Estudios de Guatemala – CEG-, Accion Ciudadana –AC- and the Pro Justice Movement –MPJ) decided to gather on the appointed date and, with PTI support, draft and publish a statement to publically demand that Congress convene to

vote on the bill. A total of 22 civil society organizations put their name on the statement. **(Annex 7)**

Combined efforts undertaken by CSOs and individual legislators was enough to motivate Congress to assemble, debate and pass a total of 20 articles of the proposed legislation. By the end of this quarter, Congress had yet to convene to vote on the remaining articles and a public battle is being waged to put pressure on the legislators that are filibustering or using other delay tactics.

- **CSO Capacity Building**

The project began implementing a program on July 17 specifically designed to train CSO representatives in preparing strategic communication plans and identifying and using information technology. The activity was developed for 12 CSOs, most of them PTI counterpart institutions, to work with their communication and information staff. Four different groups received the training as follows:

**1. Private sector:** *Fundacion para el Desarrollo de Guatemala* (FUNDESA) and *Centro de Investigaciones Economicas Nacionales* (CIEN).

**2. Human rights defenders:** *Grupo de Apoyo Mutuo* (GAM), *Asociacion para el Estudio y Promocion de la Seguridad en Democracia* (SEDEM), *Centro de Estudios de Guatemala* (CEG) and *Instituto de Investigacion y Analisis Independiente de Guatemala (*INAIG).

**3. Political reform organizations:** *Facultad Latinoamericana de Ciencias Sociales* (FLACSO), Asociacion *Desarrollo, Organizacion, Servicios y Estudios Socioculturales* (DOSES) and Accion Ciudadana (AC).

**4. Organizations under the Pro Justice Movement:** Familiares y Amigos contra la Delincuencia y el Secuestro (FADS), Madres Angustiada (MA) and the Myrna Mack Foundation (FMM).

The first phase of the training consisted of a workshop on developing strategic communication plans led by a PTI consultant from Uruguay, Gustavo Matias Ponce. The consultant is an expert on governmental and civil society strategic planning and designed the workshop into 12 sessions over three days for each distinct group of organizations. The sessions were tailored to the specific interests of each organization to improve communication objectives under a strategic approach for advocacy, social auditing and media use.

The workshop included sessions on public affairs, institutional image, corporate reputation, and CSO activities within a global communication strategy framework, agenda setting, agenda building, forming public opinion, communications plans, media agendas, among others.

Over the course of the training activities, the consultant used case studies, practical applications and group exercises to reinforce the content and provide an opportunity to apply everyday incidents to communication activities. The body of knowledge was recorded in a communication strategy document distributed to the participating organizations.

Following the workshop and building on the communication plans developed by each participating CSO, the consultant organized teleconferences on Google Groups to provide feedback to each CSO with targeted observations and recommendations for improvement.

The use of basic and key concepts to improve strategic communication in this initial phase of the approach was very well received by the group of 12 CSOs who scored their experience very favorably in terms of having gained new skills and insights into the process of strategic communication. (See Graphs 1 and 2, below.)



**Graph No. 1**
**Knowledge of Strategic Communications**
*(Pre-training evaluation)*



**Graph No. 2**
**Knowledge of Strategic Communications**
*(Post-training evaluation)*
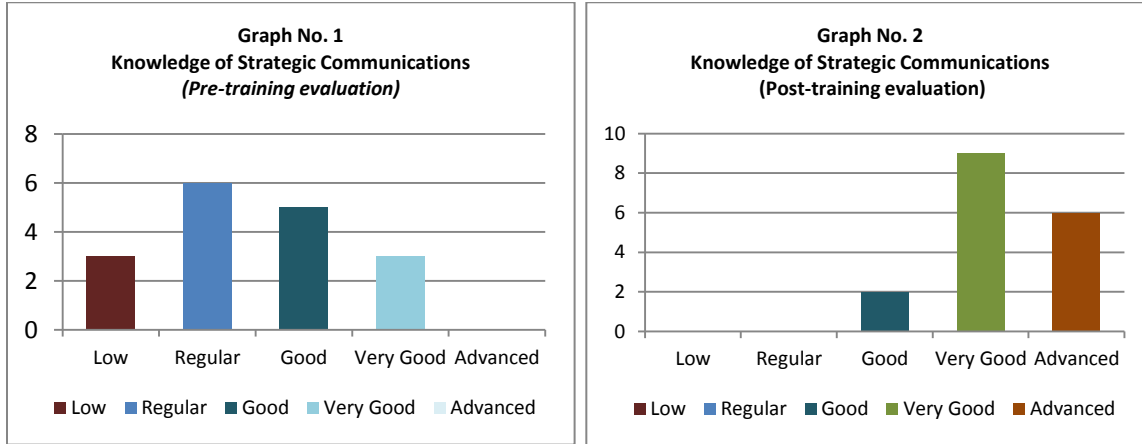
The CSOs also reported positive results based on the relevance of the training content in their institutional development as a means to attain short, medium and long-term goals (See Graphs 3 and 4.)



**Graph No. 3**
**Relevance of Strategic Communication of achieving Organizational Goals**
*(Pre-training evaluation)*



**Graph No. 4**
**Relevance of Strategic Communication of achieving Organizational Goals**
*(Post-training evaluation)*
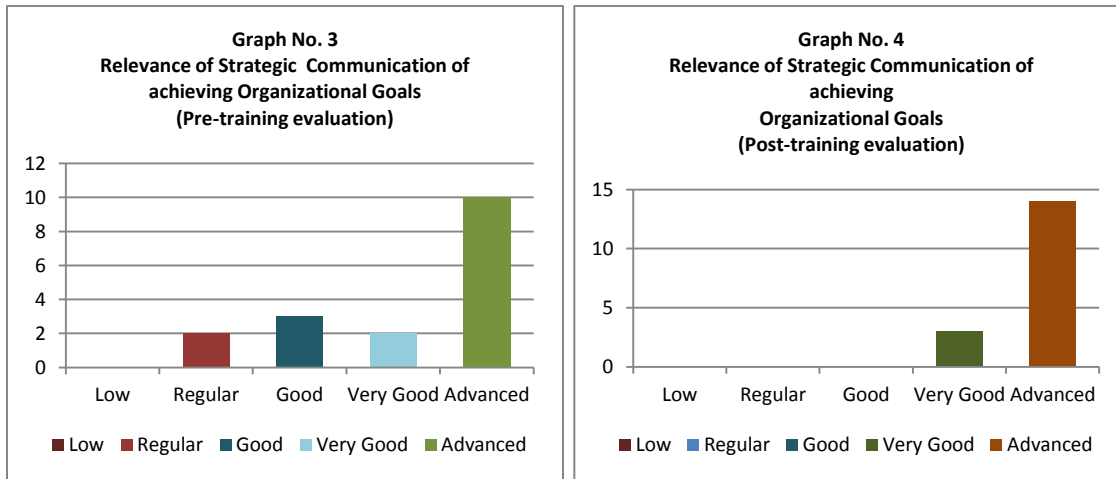
On August 20, PTI launched the second phase of the training developed by Juan Manuel Casanueva, a Mexican expert on capacity building, information technology and the development of electronic tools for use by civil society. His portion of the training focused on the use of new media, communication and information technology (CITs).

The CSOs gave positive feedback and interest in strengthening their knowledge base in communication and information techniques. There was participation from all of the representatives from the first group of 12 CSOs.

This phase focused on defining the individual communication objectives for each of the organizations based on their target audiences and intended messages. Furthermore, the sessions covered relevance and use of

new media tools such as *facebook*, Twitter, web pages, email, mobile apps, cloud computing, internet mapping and others.

Before the training many CSOs had little to no knowledge or familiarity with these communication and technology tools. They significantly increased their skill sets following phase two of the training. (See Graphs 5 and 6.) The CSOs have also gained awareness of the tools at their disposal to disseminate their message, as well as to increase advocacy, promote transparency and curb corruption through more assertive social auditing. (See Graph 7)



Graph No. 5
Webpage use
(Pre-training evaluation)



Graph No. 6
Webpage use
(Post-training evaluation)



Graph No. 7
Utility learned content for your organization
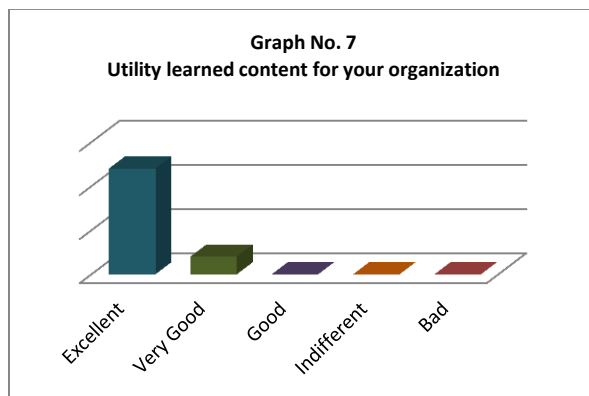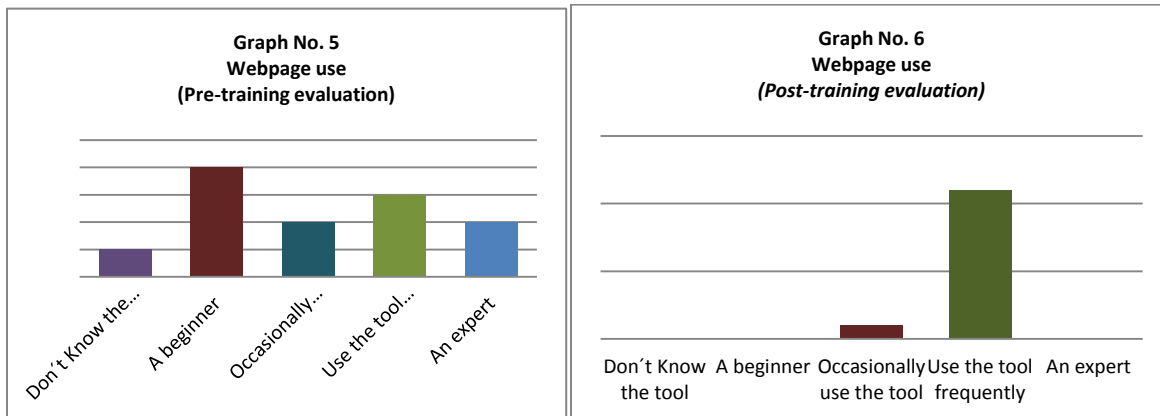
In conjunction with the training activities, the consultant also provided remote access tutoring on an individual basis to follow up on the strategic plans designed by each organization and to improve the use of communication and information technologies. The sessions provided an opportunity to reinforce learning and skills.

To leverage the very positive results obtained through the training and to pursue the recommendations submitted by the PTI consultant, the project is considering addressing other key issues in the areas of communication and technology in order to response to planning and management concerns within each of the civil society organizations.

PTI will add to the capacity building strategy for CSOs by planning an additional training activity for next quarter to address information safeguarding, website use, email, file management and the use of social networks. Table 1 below summarizes the activities planned for next quarter.

**Table 1 – Next Quarter Planning**

**LLR 2.1.1 Increase and Strengthen Participation of Civil Society Organizations in Watchdog Activities and Provide Oversight to Public Authorities and Resources**

| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dec |
| **Activity 1: Support CSO participation in activities that encourage transparency and anti-corruption.** | | | |
| Task 1: Use the PTI grant program to encourage CSOs to participate in social auditing or advocacy activities on behalf of transparency and anti-corruption efforts. The implementation strategy includes an appeal to the universe of CSOs that have been PTI strategic partners to submit grant proposals based on demand for public information as a tool for social auditing and the use of advocacy to promote transparency and curb corruption. The grant funds remaining in the pipeline will be allocated to strategic proposals that reflect an accurate understanding of the national context and relevant evaluations and will be offered, but not limited to, the following organizations: (a) the Pro Justice Movement to conduct advocacy and oversee the process to elect magistrates to the Supreme Electoral Tribunal, and (b) A Accion Ciudadana to establish a sub-chapter of Transparency International at the provincial or municipal level. | ▮ | ▮ | ▮ |
| Task 2: Encourage civil society organizations to create alliances and/or coalitions behind a common agenda in the face of increasing demands for transparency and the fight against corruption. | | ▮ | ▮ |
| Task 3: Implement training activities on the issues of anti-corruption and transparency specially designed to CSO representatives that include, but are not limited to aspects pertaining to the Freedom of Information Law as a tool for social auditing. | ▮ | ▮ | ▮ |
| Task 4: Expose CSO representatives to best practices and international experience by funding their participation in training activities or renowned international events including, but not limited to, those organized by Transparency International. | | ▮ | |
| **Activity 2: Build capacity and contribute to institutional strengthening for those CSOs receiving Project funding.** | | | |
| Task 1: Provide technical assistance for CSOs to develop grant proposals and increase their technical, financial and administrative capacity required for grant management in compliance with USAID regulations. | ▮ | ▮ | ▮ |

**LOWER – LEVEL RESULT 2.1.2: PRIVATE SECTOR MORE ACTIVE AND COMMITED WITH THE FIGHT AGAINST CORRUPTION**

As described in earlier reports, the Project continued to closely track the process unfolding behind the Executive Branch´s proposal to reform the constitution.

Building upon the significance of strengthening democratic institutions in Guatemala, PTI joined forces with an umbrella organization of private sector representatives known as the Technical Alliance to Support the Legislative Branch (*Alianza Tecnica de Apoyo al Organismo Legislativo* –ATAL). The alliance includes FUNDESA, CIEN, CACIF and the 20/20 Foundation in a joint effort to address the issues related to the proposed constitutional reforms (from the private sector perspective) with particular emphasis on reforms to promote transparency.

To support their efforts, PTI provided assistance for an initial series of discussions based on broad citizen participation and dialogue regarding the proposed reforms. The project studied the jurisprudence and research from comparative studies to ensure that the reforms are based on an accurate diagnostic assessment of the current situation and that the proposal includes recommended regulations that will increase transparency in Guatemala.

In an event held on July 10, both FUNDESA and CIEN (PTI strategic partners) as members of ATAL participated in activities to critique the proposed reforms. The debate contributed to the following results:

- Exchange of opinions among legal experts
- Highlighting the importance of advocating to amend the Constitution
- Fostering productive debate on the pros and cons of reforming the Constitution
- Defining capacity and knowledge required by target population (private sector) to constructively critique possible reforms to the Constitution

This activity included contributions from publically-acknowledged experts in the field such as Rodolfo Rorhmoser, Carlos Molina Mencos, Stuardo Ralon, Jose Quesada, Hugo Maul Figueroa, Alejandro Arenales, Gilberto Chacon, Gabriel Orellana and Milton Argueta. This group of experts includes lawyers and academics who are or have been part of the Constitutional Court, the Supreme Court and/or the 1985 National Constitutional Assembly responsible for developing the actual Constitution.

Maria Mercedes Escobar is continuing her consultancy from the previous quarter and is currently working on a diagnostic assessment to identify common ground between the transparency agendas of both the private and public sectors.

In its first draft, the diagnostic assessment included some exploratory consultations with stakeholders in the private sector to design and validate the investigation instruments and data collection. This initial step is meant to produce an overall view of the current status and components of the Guatemalan private sector as a whole, along with some of the key elements that could either reinforce or hamper progress on a combined

agenda with the public sector to combat corruption. The stakeholders will be interviewed and include individuals from industry, guilds and chambers, international and domestic banking, former public officials in the financial sector and other private interests. The interviews will provide an opportunity to gain insights and first hand impressions on success stories that could be replicated or expanded to other components of the Guatemalan private sector. Furthermore, the process may also point to future activities that would be useful to designing and implementing strategies to curb corruption in many facets of public and private business.

The second part of the assessment comprises field work to confirm the information on the roots of corruption, tolerance of the behavior and frontline measures that the private sector can undertake. Another series of interviews will produce feedback from the private sector regarding the transparency agenda, accountability, social oversight and the fight against corruption. The latter will also encompass a review of institutional websites in the private sector, interviews and surveys of relevant actors to measure their level of engagement on the subject as well as provide additional information.

In addition, the interviews with key stakeholders in the private sector and organization representatives will paint a picture of the entrepreneurial interests and communications among political and government sectors as they pertain to corruption. It will also include the types of strategies to be designed and implemented to combat the spread of corruption. Furthermore, the process will define the intended results, the factors that contribute to success or failure of joint efforts and document any remaining challenges.

It is important to note that the consultant´s deliverables were late according to the schedule in the PTI 2012 work plan. The consultant had trouble designing the methodology. The assessment was planned for completion this quarter. Nevertheless, PTI weighed the importance of the conclusions and recommendations from the diagnostic assessment against the scheduled deadline to evaluate the need to restructure the tasks pertaining to private sector activities against corruption. The project now expects delivery of the products next quarter.

On a final note, PTI reports that in follow up to progress over the course of previous quarters, the project has continued work to study and quantify the effects of corruption and its impact on the Guatemalan economy. This quarter, PTI selected key stakeholders and leaders in academia and economics to ascertain their willingness to lead discussions among representatives from previously selected organizations to contribute to and enrich the study.

The project met with the experts and collected their opinions on the issue. They shared a concern that the study might be a difficult undertaking due to the lack of successful methodologies that could be tailored to the Guatemalan context. This combined with an overall lack of experience in conducting this type of evaluation based on similar experiences in other areas. Also, the project approached officials from the Central American Institute for Fiscal Studies (Instituto Centroamericano de Estudios Fiscales –ICEFI) who described a previous attempt to conduct a similar study with questionable results.

In light of the above and based on recommendations from USAID on the matter, PTI opted to discontinue this activity. Rather, the project will develop the next annual work plan to redirect efforts toward the creation of alliances and provide support to projects designed by the private sector to promote transparency and curb corruption. To that end, PTI will join forces with organized business and private sector guilds or associations

such as FUNDESA, CIEN, the 20/20 Foundation and CACIF to carry out activities that create ownership among private businesses to promote transparency and join the fight against corruption. Table 2 summarizes the activities planned for next quarter.

**Table 2 – Next Quarter Planning**

**LLR 2.1.2: Private Sector more active and committed with the fight against corruption**

| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dec |
| **Activity 1:.Encourage the private sector to implement or fund projects aimed at curbing corruption and promoting transparency.** | | | |
| Task 1: Activities to promote transparency through private sector alliances including, but not limited to, raising awareness (conferences, fora, workshops, etc.) to engage actors in debate about transparency issues and the fight against corruption that include, but are not limited to re-establishing the watchdog organization on public spending (still under review) as proposed by the Executive Directors of CACIF. | | | |

***Training Activities***

- Continue implementing a training program designed for CSOs on transparency, anti-corruption and social auditing.

PTI continued work this quarter to implement a training program on transparency, anti-corruption, and access to public information as a tool for social auditing.  The program included participants representing civil society with interests in promoting citizen participation through social auditing efforts.

Over the reporting period, the project completed the training activities that benefitted a total of 562 individuals by increasing their knowledge base on the key issues by 69%.  Training evaluations revealed that participants had acquired the skills to prepare FOI requests as an essential tool to conduct social auditing.

The evaluation to confirm the increase in knowledge is a component of the teaching-learning method used by the project and is based on a pre-training survey and post-training evaluation using six questions[6]  to ascertain the increase in knowledge.

The training is summarized in the following table.

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[6]1. What is the link between transparency and democracy? 2. How do you define corruption? 3. Define social auditing. 4. Provide an example of how to conduct social auditing. 5. Describe access to public information.  6. Provide the requirements to file a request for public information.

| CSOs | Persons Trained (and pre- and post- training evaluations) |
|---|---|
| **National Integrity Network (*Red Nacional por la Integridad* -RNI) is an organization seeking to establish an inter-institutional space to discuss, program and coordinate efforts among organizations working to strengthen citizen participation among youth. The organization focuses on three areas: training, political advocacy and networking. In regard to training, RNI provides alternative learning opportunities for youth leaders on the basic concepts involved in citizen participation and politics.** | The Project trained a total of 180 individuals from RNI (102 F/78 M) in six separate training activities, as follows: 1. 50 young people in an activity in Mazatenango, Suchitepequez on May 30, 2012 and training evaluations revealed an increase of 67% in the knowledge base. 2. 35 young leaders were trained on May 31, 2012 in Retalhuleu, Retalhuleu. Training evaluations revealed an increase of 62% in the knowledge base. 3. Seven youths on the RNI board of directors were trained in Guatemala city on August 2, 2012 and training evaluations revealed an increase of 52% in the knowledge base. 4. 37 young leaders were trained on August 2, 2012 in San Pedro Sacatepequez, San Marcos and evaluation results revealed an increase of 67% in their knowledge base. 5. 22 young leaders were trained on August 8, 2012 in Quetzaltenango, Quetzaltenango and training results revealed that their knowledge base increased by 65%. 6. A total of 29 young persons were trained on August 9, 2012 in Totonicapan and training results revealed an increase in their knowledge base of 41%. <br><br> **RNI leadership draft requests for public information** |

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| **The Center for Research and Documentation on Guatemala´s Western Border Area (_Centro de Estudios y Documentacion de la Frontera Occidental de Guatemala_ -CEDFOG) is a CSO working on building cognitive capacity in the local population in Huehuetenango to raise awareness and promote debate and proposals on strategic relations to encourage transparency in public administration.  Their project on civil society involvement in transparency processes in Huehuetenango is designed to build capacity within the Social Auditing Commission and Departmental Development Council in that region.**<br><br>**The Commission and its support network are comprised of representatives of various sectors of society including civil society, public institutions, autonomous institutions, private organizations and non-government organizations, student groups and independent professionals working together to promote transparency and accountability in their communities..** | PTI trained a total of 60 members of the Social Auditing Commission from the Departmental Development Council in Huehuetenango and the corresponding support network (28 F/32 M).<br><br>The Project provided support for two training activities in Huehuetenango, Huehuetenango on June 20-21, 2012.<br><br>Training evaluations revealed that the participants increased their knowledge base by 65% and were also capable of submitting a request for public information.<br><br><br>**Support network works in the community on social auditing** |
| **The Guatemalan Civic Youth Association (_Asociacion de Jovenes Guatecivica_) is a CSO established to provide civic, political and social training.  The group fosters citizen representation at community levels and encourages a national identity based on citizenship and awareness of exercising rights and participation.  Similarly, the group promotes civic participation through social auditing and changes that encourage transparency in local communities.**<br><br>**Guatecivica is one of the organizations included in the Accion Ciudadana network and supports volunteerism in watchdog initiatives throughout Guatemala, as evidenced by their work during the recent rounds of national elections.** | PTI trained 100 members of the Association (49 F/51 M).<br><br>The training was divided into four sessions, as follows::<br>- Two sessions in Guatemala City on June 28 and August 30 to train 56 individuals.<br>- A third session on September 22 in Quetzaltenango, Quetzaltenango to train 19 individuals.<br>- The fourth session on September 29 Rio Hondo, Zacapa to train 25 individuals.<br><br>The training evaluation results revealed that participants increased their knowledge base by 75% and were capable of submitting a request for public information. |

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| **Accion por la Paz is a civil society organization headquartered in Quetzaltenango to work with technical and professional Young adults joining efforts to promote social, economic and political change in Guatemala.**<br><br>**Since 2007, members have developed and managed projects on academic and social issues in various locations in the western highlands. They currently implement a program for civil monitoring to increase citizen participation on city councils and vice versa. The program works to promote oversight of public administration in the city council of Quetzaltenango.**<br><br>**In addition to the orientation and handbooks being provided by the CSO, civic monitors are also participating in the PTI training activities.** | PTI trained 24 members of the CSO (8F/16M) in Quetzaltenango on July 5, 2012.<br><br>Training evaluations revealed that the group increased their knowledge base by 63% and were capable of filing a request for public information.<br><br><br><br>**Members of the *Accion por la Paz* CSO express opinions on the importance of having access to public information** |
| **The Women´s Democracy Network (WDN) Guatemala Country Chapter was launched in 2009 to empower aspiring women leaders through the exchange of best practices and capacity-building activities to ultimately shape the future of their nation's political framework.**<br><br>**In 2012, the Chapter launched a Women's Leadership School to increase the confidence of indigenous women throughout rural Guatemala to assume leadership positions in their communities and country. The three-day workshops provide a platform for students to share their background and knowledge as well as build their capacity as future leaders through sessions on gaining trust and attaining influence, team building and goal setting.**<br><br>**The PTI training component was included as an introductory session within the leadership training held in July and September, 2012.** | PTI trained a total of 42 members of the WDN (42 F/0 M).<br><br>The training was provided over two sessions, as follows:<br>- One session on July 6, 2012 in Quetzaltenango, Quetzaltenango benefitted 21 individuals.<br>- A second session on September 28, 2012 in Guatemala City benefitted 21 participants.<br><br>Training evaluations revealed that the group managed to increase its knowledge base by 77% and were capable of submitting a request to access public information.<br><br> |

| | |
|---|---|
| **The Riecken Foundation** works in impoverished communities in Guatemala and Honduras to increase democratic participation by encouraging reading and access to information as means to develop human capital in rural communities and the use of community libraries.<br><br>Their project on civil participation through Riecken libraries in Xela (Quetzaltenango) is intended to build capacity in three communities (San Carlos Sija, Huitan and Cabrican) regarding access and use of information and technology to increase participation in international and domestic debate on development. Again, the CSO included PTI training components as part of its teaching methodology.<br><br>Furthermore, the Riecken Foundation also requested PTI assistance to have an official from Accion Ciudadana, David Gaitan, lead the workshop. The Project approved the request and the joint effort resulted in a successful and productive workshop. | PTI trained 22 participants in the Riecken Foundation workshop (8F/14M) in Cabrican, Quetzaltenango on July 18, 2012.<br><br>Training evaluation results revealed that the group increased its knowledge base by 35% and were capable of filing a request for public information.<br><br><br><br>**In a joint effort with Accion Ciudadana, PTI trained members of the Riecken Foundation on access to public information issues.** |

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|---|---|
| **Galileo University – Chiquimula Campus opened in 2005 with majors in technology and business administration.  In 2007, the school opened a program on communications and design with a concentration on communications and power.** | As part of the course taught on communications and power, PTI trained a total of 37 students from the undergraduate program for communications and design (14F/23M). |
| **The school emphasizes the use of communicational theory for applications in citizen development, social auditing, transparency and access to information.** | The training took place over two sessions, as follows:<br>- The first included 15 students in Chiquimula, Chiquimula on July 28, 2012.<br>- The second included 22 students in Esquipulas, Chiquimula on September 29, 2012. |
| | Training evaluation results indicated that the students increased their knowledge base by 87% and are capable of filing public information requests. |
| **The Oxlajuj aj Departmental Council of Development Organizations is the product of technical and financial support provided in 2009 by the European development project entitled Tinamit.  The project provided assistance to civil society development groups working in Momostenango, Santa Maria Chiquimula, Santa Lucia la Reforma, San Andres Xecul and Totonicapán to produce advocacy at the departmental development council level in Totonicapán to create and strengthen dialogue mechanisms, communication and public policy in the province.**<br><br>**The Council includes representatives from the following organizations:**<br>- **San Miguel Association (ASOSAM) working on development and childhood early stimulation in Totonicapán.**<br>- **Cuxliquel, an organization working on childhood education and cultural sensitivity.**<br>- **CDRO, a local development organization with nationwide coverage offering access to microcredit.** | PTI trained 18 organizational representatives from Totonicapán (11 F/7M) on August 20, 2012.<br><br>Training evaluation results revealed that the group increased its knowledge base by 74% and the participants are capable of filing a request to access public information.<br><br><br>**Oxlajuj aj members delve into social auditing processes for use in their communities.** |

| | |
|---|---|
| **The Commission for Economics, Tourism, Environment and Natural Resources (***Comision de Fomento Economico, Turismo, Medio Ambiente y Recursos Naturales* **-COFETARN)** **was established on March 2, 2010 in San Pedro Sacatepequez, San Marcos to design projects in the areas of waste management, environmental and forestry protection..** **The Commission includes representatives from local municipalities and a variety of trade guilds and labor groups.** | PTI trained a total of 17 members of COFETARN (1F/17M) on September 20, 2012 in San Pedro Sacatepequez, San Marcos. Training evaluation results revealed that the group increased its knowledge base by 71% and is capable of filing a request for public information.  **COFETARN members trained in social auditing and transparency** |
| **College students majoring in communications at the School of Communication Sciences in San Carlos University, Guatemala** Following an approach based on cultural sensitivity, competitiveness and creativity the School confers a degree in communication sciences and offers a number of post-graduate programs.. **The study program offers courses that include one on problems facing rural communities in Guatemala II. PTI worked with university authorities to include a section on the Law on Access to Public Information as a cross-cutting theme in community development and the need for transparency in public administration. The Project will be scheduling workshops designed for a target audience from rural communities interested in using the tool for social auditing processes.** | PTI trained a total of 41 upperclassmen majoring in communication sciences. The training took place on September 26, 2012 in Guatemala City. Training evaluation results revealed that the group increased its knowledge base by 81% and is capable of filing a request to access public information.  **Students prepare for a hands-on activity using tools and skills acquired during the PTI training workshop.** |

Over the course of the upcoming reporting period, the project will continue to provide follow up to the training provided this quarter and will interview former participants and organization representatives to assess their progress on social auditing as a result of their training on access to information and transparency. Further, the Project continues its activities as planned, but will also assess the possibilities for replication or expansion of the training for other civil society groups working on social auditing.

## LOWER-LEVEL RESULT 2.1.3: MASS MEDIA PUBLISHES HIGH QUALITY INFORMATION TO CONTROL CORRUPTION AND PROMOTE ACCOUNTABILITY

As reported last quarter, PTI leveraged its previous success to design and launch a training course in August on "Transparency and Investigative Journalism." The course is designed to replicate and expand on a previous training activity for journalists that met with significant success.

This new effort is designed to add to the journalists' previous knowledge on transparency and anti-corruption issues, as well as to provide instruction on techniques for investigative reporting to expose corruption. The course seeks to include participants from local mass media (radio, television, print and digital) to write an article on the issues (at least one article by each participant) and also complete an investigative journalism assignment (one assignment carried out by teams of two). It is worth pointing out that the training is also contingent upon commitments by the media outlets to facilitate time and resources for the training participants to carry out the work and publish the final products.

The training will include on-site activities as well as distance learning. The project will provide follow up at regular intervals to monitor the tasks carried out by each participant based on a matrix previously designed for the purpose. The report will include a status update and will identify any obstacles to successful completion of the investigation. Journalists will receive feedback and suggestions to overcome the obstacles.

This particular training activity is designed for individuals currently working as journalists with at least two years of journalistic experience and with the support from their current employers. The training will cover the following subject areas:

- Investigative journalism: A new approach to reporting; tools to optimize the use of the internet and data management, among others.

- Computer-assisted reporting on hidden networks, data bases, primary data sources, analytical applications and self-led data analysis using Access and other programs.

- Transparency and the fight against corruption: conceptual framework on transparency and corruption, including international treaties and agreements, crimes in public administration, indexes and international and domestic scorecards to monitor transparency and corruption in Guatemala, freedom of information, etc..

- e-Government tools including orientation on financial and budget terminology, electronic portals for government sites, (i.e. *Guatecompras, Sistema Nacional de Inversion Publica -SNIP and Sistema Integrado de Administracion Financiera y Control -SIAF*).

The project organized an activity on July 17 to announce the training course to media outlets and journalists in Guatemala and also issued a press release regarding the upcoming activities. A total of 11 media outlets attended a presentation (three from print; four from radio; three from television, and one from the digital media). The PTI team gave participants a general description of the course content, methodology and requirements needed to participate and complete the training.



The Project invited media representatives to submit an application and propose a possible piece to investigate. As a result, PTI received a total of 31 applications which were screened by a review panel comprised of two PTI experts and the international consultant, Giannina Segnini. Following the initial evaluation, the panel selected 25 journalists representing the following media outlets.

- **TV** Guatevision, Telediario and Canal Antigua.
- **Radio** Radio Punto and Emisoras Unidas.
- **Print** El Periodico and Nuestro Diario
- **Digital** Plaza Publica

| Media Outlet | Total Participants | Male | Female |
|---|---|---|---|
| Guatevision | 6 | 1 | 5 |
| Telediario | 2 | 2 | |
| Canal Antigua | 2 | | 2 |
| Radio Punto | 1 | 1 | |
| Emisoras Unidas | 2 | 2 | |
| El Periodico | 5 | 2 | 3 |
| Nuestro Diario | 1 | | 1 |
| Plaza Publica | 6 | 4 | 2 |
| TOTAL | 25 | 11 | 14 |

The training course started on August 14 with a preliminary orientation and instruction began on August 16 following an official opening ceremony attended by USAID and US Embassy officials with opening remarks provided by the PTI's COP, Roberto Menendez.

The following section describes the seven training events carried out this quarter:

1. The investigative journalism course led by PTI international consultant Giannina Segnini[7] took place from August 16-19. The subjects covered included the conceptual framework behind investigative journalism, the skills and qualifications required for investigative journalism, identifying a potential investigation (including sources, scope, conceptual framework, proof and confirmation). Throughout the training, participants had opportunities to exchange experiences and consult with the expert on how to initiate an investigation and confirm a theory.



2. On August 16, PTI organized a dinner event to introduce the international consultant, Giannina Segnini, to media representatives and editorial management, including authorities from El Periodico, Plaza Publica, Nuestro Diario and Emisoras Unidas. The event provided an opportunity for the consultant to learn about the objectives and expected results from her training and share insight as to possible investigations, the need for follow up and the skill sets required by most journalists working in Guatemala.

3. Transparency workshop 1: Transparency and International Anti-corruption Treaties: taught by Ana Castro, PTI expert, on August 21. The workshop covered fundamentals on transparency and corruption, as well as provided an overview of the precepts in international treaties to which Guatemala is a member.

4. Transparency workshop 2: Access to Information: taught by Ana Castro, PTI expert, on August 28. The workshop covered access to information, background leading up to the Freedom of Information legislation, mechanisms to apply the law, legal recourse or appeal processes, etc.

5. Training in the use of tools for e-Government took place on September 11 and 18, taught by the Finance Ministry (MINFIN in Spanish). The training covered fundamental concepts on budgeting and terminology. In addition, participants learned practical ways to use government portals and websites, such as *Guatecompras* and SIAF. Furthermore, participants attending a third workshop to be held on October 9 will use hands-on exercises to search efficiently for information necessary for investigative journalism.

6. The second module on computer-assisted journalism from September 13-16, taught by Gianinna Segnini, covered examples of the techniques, reporting on hidden networks, analytical applications, data bases, primary data universe and self-led data analysis, among other issues. The module also included personalized attention for the investigative journalism pieces proposed by each team of reporters. At the time of this writing, the teams are progressing as expected to develop their articles.

7. Transparency workshop 3: Crimes in Public Administration: taught by PTI consultant Dr. Carlos Paz

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[7] Her credentials include a degree from the University of Costa Rica in Collective Communication Sciences and a Nieman Fellowship at Harvard University. She currently speaks on assisted journalism and investigative journalism all over Latin America. She is the editor for investigative journalism at the Costa Rican daily La Nacion.

on September 25. The training covered criminal investigations of corruption and participants were instructed on the various types of criminal activity in public service in Guatemala and related items and how to proceed with an effective investigation.

By the end of this quarter, journalists that participated in the trainings have produced four reports: two radio broadcasts and two television broadcasts (three of which already aired and the fourth is scheduled to air next quarter) **(Annex 8)**. Over the course of the upcoming quarter, participants plan to complete the remaining reporting requirements to complete the course, as well as the 12 investigation reports also required.

Furthermore, PTI will complete the transparency workshops and the project has invited CSO counterparts (Accion Ciudadana and CIEN) to provide presentations on some of the more important domestic and international indices and scorecards that cover access to information, corruption and budgetary transparency. The activity will also enable participants to meet with advisors working with the Congressional Special National Commission for Transparency and discuss proposals awaiting a vote in Congress that will contribute to increased transparency and the fight against corruption. Table 3 summarizes the activities planned for the next reporting period.

**Table 3 – Next Quarter Planning**
**LLR 2.1.3: Mass Media publishes high quality information to control corruption and promote accountability**

| Activity / Task | FY 2013 1st QTR Programming | | |
| --- | --- | --- | --- |
| | Oct | Nov | Dec |
| **Activity 1: Increase communication media capacity for investigative reporting**. | | | |
| Task 1: Conclude the training workshop for journalists on transparency and investigative journalism as well as on computer-assisted techniques/methodologies that go into investigative reporting to focus on exposing corruption. | | | |
| Task 2: Design and conduct the second phase of the training for journalists on more advanced capacity in media outlets for investigative journalism to expose cases of corruption, share lessons learned and build on recommendations produced during the first course on transparency and investigative journalism implemented in 2012. The preliminary course content would include activities to create closer links between journalists and potential sources such as experts, CSOs, public officials and employees, etc. Furthermore, the activity would be conducted in close cooperation with horizontal control agencies to foster working relationships between journalists and prosecutors to expose and report on cases of corruption. | | | |
| **Activity 2: Provide assistance for activities that produce information exchange mechanisms and outreach efforts to mainstream awareness of transparency and anti-corruption issues**. | | | |
| Task 1: Carry out outreach and awareness activities (conferences, forums, workshops, etc.) to foster public debate regarding transparency and anti-corruption issues in the media to maintain public interest in the topics. | | | |

## 1.2.2 SUB-IR 2.2: KEY EXECUTIVE BRANCH´S INSTITUTIONS strengthened and with increased capacity to oversee and implement anti-Corruption measures

PTI has been providing technical assistance to information units in the Executive Branch to implement the recently enacted Access to Information Law, strengthen the Executive Secretariat of the National Transparency and Anti-Corruption Commission, support GOG compliance with the IACC and UNCAC, and strengthen mechanisms for lodging allegations of corruption and administrative felonies.

**LOWER-LEVEL RESULT 2.2.1: FREEDOM OF INFORMATION (FOI) LAW WIDELY DISSEMINATED AND IMPLEMENTED BY THE EXECUTIVE BRANCH AND OTHER NATIONAL INSTITUTIONS**

This quarter PTI continued its institutional strengthening activities with a total of 28 Public Information Units (*Unidades de Informacion Publica* –UIPs in Spanish) in the Executive Branch. As a result, 341 public officials (UIP staff and counterparts) increased their knowledge base and skill sets. The training covered two of the four modules that make up the FOI implementation program specially designed by PTI as explained in the previous quarterly report and summarized below.

1. ***Module I: Transparency and Anti-Corruption:*** This module covered the concepts of corruption, definition of acts of corruption, degrees of corruption, definition of transparency and its relationship to access to information. The two-hour training was led by Ana Castro, the PTI Transparency and Access to Public Information Specialist.
2. ***Modulo II: Freedom of Access to Public Information in Guatemala:*** The module covered the contents of the FOI legislation, focusing on the principles, and provisions in the Law (Congressional Decree 57-2008). The two-hour training was also led by Ana Castro, the PTI Transparency and Access to Public Information Specialist.

The Project invited a total of 33 UIPs to participate in the training and 28 institutions responded (see table below). (The five institutions that declined to respond are the National Peace Fund, the Secretariat for Women, the National Youth Council, the Secretariat for Social Work and National Disaster Relief.)

The trainings spanned from June 21 through August 31 as summarized below.

| Item | Institution | Date | Training Participants | rease in Knowledge Base % (revealed by pre- and post- training evaluations)[8] |
|---|---|---|---|---|
| 1. | Secretariat for Science and Technology | | 6 | 95% |
| 2. | inistry of Agriculture, Livestock and Food | | 2 | 95% |
| 3. | National Development Fund | June 21 | 1 | 95% |
| 4. | Indigenous Development Fund | | 6 | 95% |
| 5. | Ministry of Economy | June 28 | 30 | 87% |
| 6. | Presidential Human Rights Commission | July 5 | 31 | 84% |
| 7. | Ministry of Public Finance | July 18 | 30 | 82% |
| 8. | Ministry of Government | July 19 | 30 | 78% |
| 9. | Presidential Secretariat for Planning and Programming | July 27 | 22 | 80% |
| 10. | Ministry of Energy and Mines | | 8 | 93% |
| 11. | inistry of Communications, Infrastructure and Housing | August 2 | 12 | 93% |
| 12. | Ministry of National Defense | | 8 | 88% |
| 13. | ecretariat for Security and Administrative Affairs | August 9 | 9 | 88% |
| 14. | cretariat for Nutritional and Food Security | | 8 | 89% |
| 15. | Secretariat for Agrarian Affairs | August 13 | 20 | 89% |
| 16. | Ministry of Culture and Sports | | 17 | 84% |
| 17. | Secretariat against Alcoholism, Drug Addiction and Illegal Drug Trafficking | August 22 | 2 | 84% |
| 18. | Ministry of Education | | 7 | 81% |
| 19. | Ministry of Health | August 23 | 11 | 81% |
| 20. | Secretariat for Peace | August 27 | 11 | 80% |
| 21. | Ministery of Labor | August 28 | 10 | 100% |
| 22. | Ministry of Foreign Relations | August 29 | 18 | 91% |
| 23. | Ministery of the Environment and Natural Resources | August 30 | 30 | 86% |
| 24. | Private Secretary to the President | | 1 | 85% |
| 25. | Secretary General to the President | | 1 | 85% |
| 26. | Secretariat for Control and Transparency | August 31 | 1 | 85% |
| 27. | Ministery of Social Development | | 5 | 85% |
| 28. | ffice of the Vice President of the Republic | | 4 | 85% |
| | Total  public servants trained | | 341 | Average: 87% |

[8]Percentage based on pre- and post- training evaluations.

The project conducted a pre and post-training evaluation was based on five questions[9] on key concepts. Based on the responses, the project concludes that the UIP training participants increased their knowledge base by 87% and were able to exchange experiences, share lessons learned and network with other the participants.

The training activities also revealed some less desirable practices to avoid such as the case of a public agency charging GTQ1.50 per photocopy and GTQ1.00 to load the information on a CD. These are direct violations of the provisions under Article 18 of the FOIL which ensures that the information should be provided at no charge.

Overall, the information exchanges among UIP staff and employees provided an opportunity to pinpoint strengths and weaknesses and contributed to building trust in the process while building a strategic professional network. To illustrate, the UIP in the Ministry of Social Development (recently established in January 2012) is quickly learning the procedures to implement the FOIL that has been in effect since April 2009 and is finding it useful to learn from the experiences of other agencies in complying with requests for public information.

Over the next quarter, PTI plans to complete the training program as planned (the third and fourth modules on classification of public information and personal data, respectively). To properly address these specialization issues, PTI will hire an external expert to lead the training for the 29 participating UIPs. Table 4 summarizes the activities planned for the next reporting period.

## Table 4- Next Quarter Planning
**LLR 2.2.1: Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions**

| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dic |
| **Activity 1: Strengthen Access to Information Units (UAIs) in the Executive Branch and other government agencies.** | | | |
| Task 1: Contract a consultant to provide UIP training for two areas: 1. Limits on access to public information, and 3. Personal Data. | | | |
| Task 2: Design and implement a UIP Strengthening Plan for 2012-2013, including, but not limited to: 1) design and implement institutional mechanisms to facilitate analysis and complete information requests, and 2) provide technical assistance to implement the mechanisms once designed. | | | |
| Task 3: Design a training program on access to information by transferring the training program (for expansion and replication) to competent agencies such as the INAP and PDH. | | | |
| Task 4: Contract a consultant to prepare a document to systematize the implementation process for the FOI Law in Guatemala, describing the process leading up to passage of the bill and including highlights and obstacles in the implementation process, including experiences and groundbreaking cases from the perspective of supply and demand for access to information as requested by CSOs and mass media regarding the practices, results and lessons learned throughout the process. | | | |

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[9]Questions: 1: Define C= M+D-T?; 2. Define can be reasonably justified in significant increases in the assets disclosed by a public official compared to legitimate income reports;  3. List two principles behind the right to access public information; 4: Describe an action that  represents petty corruption, and 5: Provide an example of one principle behind the right to access public information and identify the article in the FOI Law that pertains to that particular principle.

**LOWER-LEVEL RESULT 2.2.2: SUPPORT TO THE NATIONAL ANTICORRUPTION ENTITY PROVIDED AND KEY ANTI-CORRUPTION MEASURES IMPLEMENTED**

PTI has worked this quarter to organize meetings and follow up on the technical assistance given to SECYT. To this end, on July 5 the project met with the SECYT staff to discuss upcoming activities.

The meeting also provided an opportunity for SECYT to inform the project that at this point they did not identify a need for assistance to develop procedural manuals. Rather, the manuals were already being developed by SECYT for submission to the Office of the Comptroller General and SECYT would perhaps require assistance in the medium term to make changes or revisions.

To follow up on the meeting described above, PTI scheduled a second meeting on July 12 to define the scope and objectives to develop the transparency policy.  Over the following weeks, PTI provided assistance to draft the terms of reference to hire a consultant and completed the process on September 10.  Over the next reporting period, PTI will work with SECYT to evaluate and select the consultant to carry out the task.

In an effort to design an institutional communications strategy, PTI submitted draft terms of reference for review by the SECYT's technical team to hire a consultant to carry the task.  The project team participated in a meeting on July 18 with SECYT staff and the Director of Social Communication in the Office of the Vice President to discuss the assistance.  The Director, Karen Cardona, conveyed the fact that the President's Office will take the lead on designing a communications strategy and has already hired a consultant for the task. They requested PTI support the implementation of the strategy, under the auspices of SECYT.  By the end of this quarter, PTI had yet to receive an official request to do so.

This quarter the project also coordinated efforts with SECYT to organize two training sessions on international anti-corruption treaties (see Lower-Level Result 2.2.3: International Anti-corruption Treaties disseminated and implementation by the GoG strengthened).

On August 14, PTI also met with Mr. Valenzuela, from SECYT's Legal Counsel, to review the needs and the scope of project assistance regarding follow up mechanisms to the anti-corruption treaties.  The meeting provided an opportunity to reiterate the request for PTI support, as follows:
  - Assistance to develop a national transparency and anti-corruption policy
  - Provide follow up on the international anti-corruption treaties
  - Implement an action plan for the Open Government Partnership

Regarding the request for PTI to provide assistance to the Office of Citizen Services and Case Follow Up, the project met on August 21 with Ana Pineda, head of that office, to identify their needs in order to strengthen their ability to receive reports and follow up on allegations of corruption within the Executive Branch. As a result of the meeting, PTI offered assistance to carry out the following:


- Develop a protocol to guide procedures for an individual in public service to file a complaint of corruption through the mechanisms provided in the Guatemalan legal framework
- Develop a protocol to guide procedures on how SECYT should respond to allegations of corruption filed by either a public official or a private citizen.

Further information regarding this activity is provided under Lower-Level Result 2.2.4: Mechanisms to pursue complaints of corruption established and working in key GoG institutions.

In order to create an official structure for the assistance PTI is providing to SECYT, the Project will prepare a draft letter of understanding next quarter to describe the assistance to date and make provisions for future assistance until 2014.

*Rapid Response Fund request*

As reported last quarter, received a request on April 30 from the Ministry of the Interior (MINGOB in Spanish) to channel support through PTI to contract the services of a consulting company to conduct an institutional assessment of centralized operations and provide recommendations to build institutional capacity in the Ministry. After many consultations and as approved by the Ministry authorities, PTI submitted the documents for USAID approval on June 26 and received the Mission approval on July 6. As agreed with MINGOB, PTI published the request for proposals on July 9 and on July 16. **(Annex 9)**

PTI worked last quarter to review the proposals and request clarifications. An evaluation committee convened on August 1 (the committee included Maria Alexandra Figueredo, Director for International Cooperation and Juan Mario Cervantes from the Ministry of Government, together with the PTI COP and Deputy COP). Unfortunately, the project was forced to terminate the process when one of the MINGOB officials indicated a specific request from Minister Lopez Bonilla to ensure that the consultancy was intended to obtain BASC certification instead of an ISO certification. This required a change to the terms of reference.

Due to this miscommunication and in response to PTI´s requests for clarification, MINGOB submitted a document on August 3 requesting PTI to void the previous request for quotes and begin a new process that included the need for BASC certification. As a result, PTI responded on August 8 to the request from the Ministry reporting that the request for quotes had been cancelled and the project simultaneously requested a meeting to discuss the technical and financial implications of a new process. On August 13, PTI published an official notice in the newspaper to void the request for quotes and issued a written notification to each of the companies that had already submitted letters of interest.

On September 11, the PTI COP organized a meeting with the Minister, the Director for International Cooperation and the USAID COTR, Carla Aguilar, to discuss the ramifications of the cancellation. The Minister apologized for the inconveniences and reiterated the Ministry´s interest in conducting a diagnostic assessment of the institution. To further the process, the Minister appointed Jorge Welmann as the contact point and requested the Director for International Cooperation organize a technical coordination meeting with PTI staff. By the end of this quarter and despite USAID´s reminders to the Ministry, the project has yet to receive a meeting request.

Table 5 summarizes the activities planned for the next reporting period.

## Table 5 - Next Quarter Planning

## LLR 2.2.2: Support to the National Anticorruption Entity provided and Key Anticorruption measures implemented

| Activity / Task | FY 2013 1st Quarter Programming | | |
|---|---|---|---|
| | Oct | Nov | Dic |
| **Activity 1: Promote development and implementation of anti-corruption measures within the Executive Branch.** | | | |
| **Task 1:** Prepare and sign a letter of understanding with SECYT summarizing USAID assistance through PTI and detailing the commitments assumed by the Secretariat to ensure the success of the activities. | | | |
| **Task 2**: Provide technical assistance to SECYT to develop a national anti-corruption policy by hiring an international consultant to conduct a needs assessment and situational diagnostic in preparation for a transparency and anti-corruption policy for the Government of Guatemala. | | | |
| **Task 3:** Expose SECYT staff responsible for leading and implementing activities to increase transparency and curb corruption to international best practices and experiences by financing their participation in international events and training workshops organized by acknowledged experts in the field, including but not limited to, Transparency International. | | | |

## LOWER-LEVEL RESULT 2.2.3: INTERNATIONAL ANTI-CORRUPTION TREATIES DISSEMINATED AND IMPLEMENTATION BY THE GOG STRENGTHENED

On July 4, the Government of Guatemala appointed Veronica Taracena as Secretary for Control and Transparency, the Senior Expert for the Follow-up Mechanism for the Implementation of the Inter-American Convention against Corruption (ICAC). As a result, the project organized a training program for the entire SECYT staff with two main objectives. They are as follows:

1. Increase SECYT technical knowledge regarding international anti-corruption treaties and their follow up mechanisms.

2. Strengthen the support team required to fulfill the responsibilities for the Secretary´s new role as Senior Expert to ICAC.

**Evaluation Results**

6% Initial evaluation
90% Final evaluation
86% Acquired knowledge
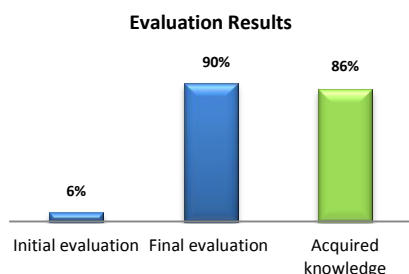
The project organized two training sessions on August 7 and 8 for 21 officials employed by SECYT. The training focused on SECYT's role in complying and following up on international treaties and obligations, particularly as it pertains to the role of the Senior Expert. The project evaluated the participants prior to the training, as well as upon completion, to assess their acquired knowledge. As a result of the evaluations, the project concluded that participants increased their knowledge by 84%.

The project provided assistance for Ms. Taracena to attend the regular meeting of the ICAC Committee of Experts in Washington, D.C. from Septmber 10-14. At the meeting, Guatemala committed to delivering its response to the *Questionnaire on Provisions of the Convention selected for Review within the framework of the Fourth Round and for Follow up on the Recommendations from the First Round* by November 2012. Over the next quarter PTI will provide support to the Secretary in completing the questionnaire and will provide training for individuals responsible for responding to the questions.

*Special activity*

Executive Order No. 518-2006 dated October 16, 2006 officially established the Public Ministry as the highest central authority for the United Nations Convention Against Corruption (UNCAC) responsible for processing requests for legal assistance, as well as following up and tracking pending responses from the relevant authorities. As a result of the Executive Order, the Public Ministry is designated as a key actor in GOG compliance with international anti-corruption treaties.

In light of the above, PTI engaged with the Ministry to discuss training and institutional strengthening processes designed to standardize the skill sets of prosecutors and Ministry staff responsible for investigating and prosecuting acts of corruption committed by individuals in public office.

To that end, PTI organized a training program from July 3 through September 13, 2012 to benefit prosecutors and staff from the Anti-Corruption Prosecutor Unit to increase their knowledge regarding international agreements and the fight against corruption in Guatemala. The training provided the Public Ministry staff with the knowledge required to comply with their government mandate regarding oversight and compliance with the provisions of the UNCAC.

To confirm the results of the training program for prosecutors working in anti-corruption activities, PTI is preparing to hold a final exam in October. For further details, see Lower-level result 2.3.2: Mechanisms to pursue corruption cases are established and functioning in the Anti-corruption Unit of the Attorney General´s Office.

Table 6 summarizes the activities planned for the next reporting period.

## Table 6 – Next Quarter Planning

## LLR 2.2.3: International Anticorruption Treaties disseminated and implementation by GoG strengthened

| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dic |
| **Activity 1:Support GoG efforts to comply with international anti-corruption treaties**. | | | |
| **Task 1:** Train at least 25 government officials on anti-corruption issues, particularly as they pertain to international treaties**. | | | |
| **Task 2:** Provide technical assistance and support to the inter-institutional mechanisms established to follow up on compliance with international anti-corruption treaties.. | | | |

**LOWER-LEVEL RESULT 2.2.4: MECHANISMS TO PURSUE "COMPLAINTS OF CORRUPTION" ESTABLISHED AND WORKING IN KEY GOG INSTITUTIONS**

PTI organized a meeting on August 21 with Ana Pineda, Director of the Office of Citizen Services and Case Follow up, to present draft terms of reference designed to develop the protocols for guidelines regarding public servants´ duty to report acts of corruption through existing mechanisms in compliance with the Guatemalan legal framework and SECYT´s role in response to allegations of corruption reported by government officials and/or private citizens. Ms. Pineda confirmed her office´s need and requested the project add three additional components to the TORs, as follows:

- A deliverable on a diagnostic assessment of SECYT´s scope to receive and track cases of alleged corruption within the Executive Branch;

- Train up to 50 government employees selected by SECYT on how to present allegations of corruption against public officials based on the protocol once it is completed

- Train SECYT staff on the contents of the protocol to receive and process allegations of corruption addressed to SECYT.

The project developed the TORs as requested and received Ms. Pineda´s approval on September 7 to proceed with the selection and hiring process. PTI plans to continue this effort over the next quarter as summarized below in Table 7.

<p align="center"><strong>Table 7 – Next Quarter Planning</strong></p>

<p align="center"><strong>LLR 2.2.4: Mechanisms to pursue allegations of corruption established and working in key GoG institutions</strong></p>

| Activity / Task | FY 2013 1st QTR Programming | | |
| --- | --- | --- | --- |
| | Oct | Nov | Dic |
| **Activity 1: Strengthen existing mechanisms and units to pursue allegations of corruption.** | | | |
| **Task 1:** Design a protocol for public servants and institutions to use in receiving and following up on allegations of corruption. | | | |

## 1.2.3 SUB- IR 2.3: A more active role of key oversight entities promoted

PTI focused its technical assistance this quarter on institutional strengthening activities for the National Congress, the Public Ministry and the Office of the Comptroller General to ensure that these key entities increase their capacity and effectiveness in providing oversight and avoiding corruption according to their constitutional mandates.

**LOWER-LEVEL RESULT 2.3.1: REGULATORY FRAMEWORK AND AD HOC LEGISLATION TO COMBAT CORRUPTION IS PROMOTED BY THE CONGRESS IN PERFORMING ITS OVERSIGHT ROLE**

As political party confrontations in Congress subsided toward the end of the previous reporting period, the project poised to take advantage of progress on the legislative agenda to engage legislators and discuss the proposals commonly referred to as the "transparency package." The legislation was sponsored by the Executive Branch as two separate bills (4461 for the Draft Law on Institutional Strengthening for Transparency and Quality in Public Investment and 4462 for the Law on Transparency Strengthening and Quality in Public Spending).

The project noted progress particularly on Bills 4462 and 4450 (known as the Illicit Enrichment Law) which was approved by the Congressional Committee on Legislation and Constitutional Issues chaired by Congressman Oliverio Garcia Rodas. The Committee´s favorable ruling on the proposal to combat private and public corruption is a strong indication that the advocacy efforts promoted by PTI/USAID to increase transparency and curb corruption are bearing fruit. The encouraging results can be attributed to PTI assistance to the technical working group in debating and reviewing the bill in collaboration with civil society.

The current Congress (2012-2016) has submitted a number of requests for project assistance, as follows:

- Technical assistance for the congressional committees on transparency, integrity, legislation and constitutional affairs, as well as for the committee on tax collection to discuss proposals to strengthen transparency and curb corruption, particularly as this pertains to the "Transparency Package" submitted by the Executive Branch.

  In addition, the Committee on Legislation and Constitutional Affairs also requested PTI assistance to review the proposals for constitutional reform, particularly as they pertain to transparency and political reform. These bills were also submitted by the Executive Branch in June and presented to Congress in August.

  The Commission also requested PTI assistance to analyze and discuss the framework legislation for trafficking in persons, the regional treaty on arrest warrants and the framework legislation on anti-corruption and transparency submitted by the Security and Justice Committee for the Forum of Presidents of Congressional Branches in Central America and the Caribbean (*Comision de Seguridad y Justicia del Foro de Presidentes de Poderes Legislativos de Centroamerica y la Cuenca del Caribe -FOPREL*).

- Technical assistance to develop proposals to improve efficiency and transparency within Congress, as well as to develop an information management handbook as a tool conducive to mechanisms that will enable Congress to report on its activities to the general public. Both improvements comprise a reference framework for PTI assistance, particularly to promote transparency and curb corruption. At the same time, the mechanisms promote institutional change within Congress through regulations, procedures, technology, etc.

- Support to increase transparency in human resource management in Congress by modifications to the charter legislation, the Civil Service Law and regulations as they pertain

to a specific request submitted by Congresswoman Nineth Montenegro, Second Vice President of Congress.

**A.- Support to congressional committees responsible for reviewing Executive Branch proposals on transparency and the fight against corruption (4461 and 4462):**

- **Support to the Congressional Committee on Legislation and Constitutional Issues**

As the result of the conditions in Congress that hampered progress on approving transparency and anti-corruption legislation as reported in previous quarters, the project redoubled its efforts this period to track the legislative agenda to pass the Law on Illicit Enrichment, and provided direct support to the Congressional Committee on Legislation and Constitutional Issues to facilitate civil society participation in the debate and push for approval of the Bill. The efforts were also attributable to public opinion pressure and frustration in seeing Congress fail to pass the bill on June 20, 2012 due to alleged technical difficulties with the voting board.

Efforts to expedite passage of the law as a national priority fell short. On the contrary, the bill was subjected to additional review to approve the law after three votes on the floor, article review and final revisions—subjecting the legislation to major modifications that are difficult to push through or alterations to the very nature of the original proposal.

By the end of this quarter, the bill has been through three reviews, as required, and discussed article by article. Nevertheless, after reviewing and approving 26 of the articles with only one modification pertaining to punishment by incarceration for public officials that neglect to provide an integrity statement, the process was suspended when Congressman Oliverio Garcia Rodas (*Partido Patriota*) presented a motion to discuss the constitutional reforms submitted by the Executive Branch. A total of 91 members of Congress seconded the motion. At that point, the review of each article was interrupted, together with a final review of the bill.

It is important to mention that the bill was amended 26 times, 23 of which were unauthorized, due to the fact that the signatures are illegible. Furthermore, the LIDER party representatives also presented a proposal to modify the bill by adding a new article pertaining to tax evasion. The situation led Congress to set up a special committee of political party leadership and chaired by Congressman Manuel Barquin (GANA) to debate the amendments to the bill. The Committee issued a one-week deadline for proponents of the modifications to acknowledge their signatures and no one stepped forward. As a result, all of the amendments were rejected and Congress is preparing to reschedule the debate on the floor.

PTI continues to follow the events closely and has met with the Chair of the Congressional Committee on Legislation and Constitutional Issues to offer support in passing the Law on Illicit Enrichment through advocacy efforts and coordination with civil society pressuring Congress to pass the bill as evidenced in recent press releases published on September 4, 2012 (see Annex 7).

PTI joined civil society organizations, the media and the international donor community in attending a public event on September 6, 2012 presided by Congressman Oliverio Garcia Rodas as Chair of the Committee on Legislation and Constitutional Affairs to present the proposed constitutional reform package.

The project also received a request on July 19 from the Committee for technical assistance to develop a white paper for the third working meeting of the Security and Justice Committee for the Forum of Presidents of Congressional Branches in Central America and the Caribbean (*Comision de Seguridad y Justicia del Foro de Presidentes de Poderes Legislativos de Centroamerica y la Cuenca del Caribe -FOPREL*). The Forum is comprised of Honduras, Panama, Mexico, El Salvador, Nicaragua, Costa Rica, Dominican Republic, Belize and Guatemala, including permanent observers from the Republic of China, the Central American Parliament and the Latin American Parliament **(Annex 10)**.

The working meeting will be held in Guatemala on November 22-24.

- **Project support to the Special Commission on Tax Collection**

As initially reported last quarter, Congressman Alvaro Gonzalez Ricci, Chair of the Special Commission on Tax Collection, requested PTI assistance on September 11 to draft new legislation on public procurement and contracting **(Annex 11)**.

In response to the request, PTI met with the congressman on September 26 to discuss the scope of his proposal to address the fact that current regulations are too weak and ineffective. To illustrate the lack of compliance and inappropriate application of the principles of open bidding, he used the following example: **(Annex 12).** The case is an example of non-compliance and little qualitative or quantitative transparency.

To have an actual effect on increasing transparency, the Commission Chair asked PTI for technical assistance to carry out the following:

- Hire a consultant to compile proposals that have been submitted to Congress and any other proposals that may have been developed by institutions and/or civil society
- Hire a consultant specializing in legislative procedures to draft the bill
- Organize an international event (ideally on December 9 to commemorate international anti-corruption day) to present interested parties and civil society with the proposal and draft legislation

By the end of this quarter, PTI has scheduled meetings with the Commission to plan the entire process leading up to presenting the bill and the scope of PTI's technical assistance.

**B.- Support to the National Congress to strengthen mechanisms that improve effectiveness and transparency in carrying out constitutional mandates:**

In response to overwhelming public opinion in Guatemala regarding the lack of transparency in Congress, both among individual legislators (based on qualifications and integrity of members and their staffs) as well as in the institution as a whole (regulations, procedures, performance and common practices that are unlawful or unethical), together with those that are political in nature, PTI successfully engaged stakeholders to advocate for legislative procedures that are more transparent and that minimize possibilities for corruption, as summarized below.

**Technical assistance to develop proposals to improve effectiveness and transparency on the congressional floor (full assembly) and to develop an information management handbook**

As reported last quarter, project activities to provide input to Congress regarding implementing internal mechanisms and measures to increase effectiveness and transparency are political, legislative and administrative matters. PTI funded a systems management expert, Maria Mercedes Zaghi in July and August **(Annex 13)** to perform a diagnostic assessment of Congress.

The consultant compiled her findings into a risk assessment matrix together with a set of recommendations to correct weaknesses in the electronic system currently used in Congress. The risk matrix describes specific situations that occur in daily operations and proposes a list of measures to address the weaknesses.

Furthermore, her specific findings and potential strengths as compiled in the matrix led to the development of five possible scenarios to be presented to the congressional board of directors to decide next steps. These may include considering a comparative analysis of the scenarios and cost-benefit analysis, operational feasibility, risk level and time frames.

The consultant also delivered technical recommendations for Board review which include an action plan for immediate implementation and a technology plan for the medium and long term. Furthermore, the recommendations include phased-in implementation (priority projects, medium-term efforts and long term plans), as well as estimated timelines to implement the immediate action plan followed by the medium-term efforts and the long-term activities. The consultant also provided targeted suggestions to design and implement the technology plan in regard to infrastructure, networks, information policies, staffing, safeguards and management.

The PTI COP met with the congressional leadership on September 3 to present the results of the diagnostic assessment. As a result of the presentation, the project received a phone call to report that the Board had decided to set up a special committee to implement the technology plan.

The project is pleased to report that, as a direct result of PTI assistance and expertise, Congress sent written notice on September 25 to confirm what was stated by telephone and provide to the names of the individuals making up the technology commission. They are: Oscar Stuardo Chinchilla Guzman, Third Vice President; Christian Jacques Boussinot Nuila, Second Secretary; Jose Luis Mijangos Contreras, General Director; Ana Isabel Antillon, Legislative Director, and Hinmer Brando Rodriguez Ruano, Director of the IT Unit **(Annex 14)**.

It is also important to point out that the technology plan design will be carried out by an ad hoc consultancy to assist Congress in implementing the recommendations. Furthermore, the project is prepared to provide technical support to reform the congressional charter legislation and internal procedures to ensure that they are consistent and compatible with the changes implemented to information and technology systems.

- **Technical Assistance to develop proposals to improve sessions on the Floor in general, and the voting procedures in particular, and produce an information management handbook as a tool to improve efficiency and transparency in Congress**

Last quarter PTI hired Dr. Victor Valverth. In the second part of the consultancy, he delivered preliminary results **(Annex 15)** on the situational assessment. His recommendations were as follows:

- Provide Congress with a reliable system to control attendance (technical issue) and ensure appropriate operations of the electronic voting system to track and disclose voting records

- Design an agile electronic voting system (technical issue) that can be tailored to current voting patterns on the Floor

- Review the voting record system without infringing upon the rights on legislators to vote freely and protecting minority blocks

- Limit periods for filibustering while protecting interests and ensuring free and open debate to produce domestic legislation

- Review process to propose and present amendments, as well as conditioned voting (legal issue). This requires legal reform to change debate procedures and amendment votes, as well as conditioned votes

- Strengthen the procedure to draft legislation and avoid constitutional violations (legal reform)

- Regulate appeals processes, primarily as they pertain to prioritizing congressional hearings over legislative operations.

As a result of these recommendations, the project team organized a series of exploratory consultations on the proposals with congressional authorities to validate and progress on their possible implementation and develop an awareness strategy regarding the political decisions required for each issue.

**C.- Support to the Second Vice President of Congress for more transparent human resource management:**

During this quarter, the project continued providing support to the Second Vice president of Congress in the following:

- The initiative to approve reforms to Decree Number 63-94 – Organic Legislative Law, presented to Congress on 4 September 2012 by Representatives Nineth Montenegro, Christian Boussinot and Gudy Rivera.

  PTI supported six roundtable discussions to address the initiative and its contents. The last roundtable was held on 13 July 2012.

  In addition, PTI supported the work of two experts to revise the proposal -- Rodolfo Rohrmoser, expert in constitutional law, and Luis Fernández, expert in labor law, in order to guarantee that the final initiative was in line with both the Guatemalan constitution and national labor laws.

- Through a donation to Accion Ciudadana, PTI supported the initiative to approve reforms to Decree 44-86, Civil Service Law of the Legislative Branch. Additional detail on this grant activity is reported under Lower-level Result 2.1.1: Increase and strengthen participation of CSO in watchdog activities and oversight of public resources and functions of public authorities

Table 8 summarizes the activities planned for next quarter.

**Table 8 – Next Quarter Planning**

**LLR 2.3.1 Regulatory framework and ad hoc legislation to combat corruption is promoted by the Congress in performing its oversight role**

| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dic |
| **Activity 1: Promote bills that foster transparency and curb corruption within the National Congress**. | | | |
| **Task 1:** Provide technical assistance to build and increase capacity to assess, rule, propose and sponsor legislative proposals that curb corruption and promote transparency within the following congressional committees: (a) Special National Commission on Transparency; (b) Integrity; (c) Legislation and Constitutional Issues, and (d) Tax Collection. | ░ | ░ | |
| **Task 2:** Coordinate efforts wtih the USAID CEPPS Project and implementing partners, including NDI, to provide support to the Legislation and Constitutional Issues Committee to analyze the constitutional reform bill submitted by the Executive. | ░ | ░ | |
| **Activity 2:** Provide institutional strengthening assistance for the National Congress. | | | |
| **Task 1.** With USAID/Guatemala guidance, coordinate efforts with the USAID CEPPS Project and implementing partners, including NDI, to provide technical assistance as follows: a) evaluate the legislative measures, policies or administrative procedures that could be implemented to improve efficiency and transparency in Congress; b) develop proposals to reform regulations, laws or management provisions within Congress, and c) develop an information management handbook detailing steps to disseminate legislative activity. | ░ | ░ | ░ |
| **Task 2:** Provide technical assistance to develop and implement IT plans that would increase transparency and efficiency in Congress. | | | |
| **Activity 3:** Provide support in the use of technical assistance and information exchange mechanisms among the States party to international treaties ratified by Guatemala (UNCAC and IACC) that includes, but is not limited to, organizing regional conferences and workshops on developing and implementing mechanisms to prevent, detect, investigate and prosecute corruption. | | | |
| **Task 1:** Provide support to analyze and discuss Guatemala´s anti-corruption and transparency proposal for the Security and Justice Committee for the Forum of Presidents of Congressional Branches in Central America and the Caribbean (FOPREL) as a member of the Citizen Security and Administration of Justice Inter-parliamentary Commission (CISCAJ). | ░ | ░ | ░ |

## LOWER-LEVEL RESULT 2.3.2: MECHANISMS TO PURSUE CORRUPTION CASES ARE ESTABLISHED AND FUNCTIONING IN THE ANTI-CORRUPTION UNIT OF THE ATTORNEY GENERAL'S OFFICE

As reported last period, the Letter of Understanding signed between the Public Ministry and USAID/Guatemala on April 25 launched PTI technical assistance and support to develop measures and mechanisms to improve criminal investigation and prosecution of criminal corruption. The project has made the following progress this period:

- PTI developed a preliminary training plan for the Anti-Corruption Prosecutor's Unit to ensure uniform and standardized practices as well as to strengthen Unit personnel to investigate acts of corruption committed by public servants and successfully prosecute them. The training plan was approved by the Ministry and includes the following:

- Concepts behind acts of corruption in public service, as well as their appropriate investigation based on evidence collection and selection. Presentations and explanations regarding international anti-corruption treaties, the hierarchy of regulations, constitutional and legal applications to guide investigation and prosecution, as well as the constitutional mandates for oversight and accountability, crime theory, criminal sentencing for acts of corruption in Guatemala, internal and external audits, forensic audits, criminal investigation, planning a criminal investigation, initial crime theories, evidence theory, case theory and indictments.

  - Opportunities for practical exercises, as well as investigation and evidence collection and selection.

  - Allow participants to acquire competencies to complete an investigation on allegations of corruption in public service.

  - Enable participants to complete an effective investigation and criminal prosecution in cases of corruption in public service **(Annex 16)**.

- The project training activity took place from July 3 through September 13, led by two PTI international experts, Ivan Meini and Rene Fonseca joined by PTI's Anticorruption and Institutional Strengthening Specialists, Dr. Luis Felipe Saenz Merida and Carlos Paz. The project has scheduled the final training evaluations for early October. PTI plans to continue to provide follow up assistance to training participants to ensure improved performance as well as to ascertain the impact the training had on the Public Ministry in general. To that end, PTI plans to conduct a second evaluation for January 2013 to determine if further training is required or to consider expanding the training material, as necessary.

- The project met with Public Ministry officials to present the two procedural handbooks for use by the staff in the Anti-Corruption Prosecutors Unit. The handbooks were developed as part of the training program under the institutional strengthening component for the Public Ministry. The handbooks include:

  - Practical Handbook for Criminal Investigation of Corruption, as developed by Dr. Ivan Meini, around key concepts such as case development, preliminary theories and criminal investigation. He is expected to complete this handbook in mid-November.

  - Practical Handbook on Introduction to Forensic Auditing **(Annex 17)** as developed by Dr. Rene Fonseca Borja to build capacity in the anti-corruption unit on managing and applying horizontal controls, internal and external government audits and forensic auditing as tools for investigation and evidence gathering.

- PTI provided training to the Anti-Corruption Prosecutors Unit to improve processes for criminal trial proceedings, particularly in oral and public hearings.

- The project reviewed the results of a diagnostic assessment carried out by the Public Ministry regarding investigation of drug-trafficking and transnational crime cases. As a result of PTI's review process, the technical team confirmed significant findings, but also found weaknesses and

information gaps that could affect the strengthening process for the anti-corruption unit. To remedy the situation, the project received Public Ministry approval to take advantage of the training program described above to gather additional human resource information and qualifications to better evaluate performance and tailor the contents of the training activities to fulfill its current needs.

- o As mentioned earlier, PTI will conduct a second evaluation in the first quarter of 2013 and will also assess other aspects of the Anti-corruption Prosecutor Unit performance to dovetail those results with the findings from the human resource assessment. Together, both exercises will reveal a more complete picture of the strengths and performance of the Unit based on resources assigned to the Unit, staffing (investigators, analysts, auditors, etc.), infrastructure, IT (SICOMP) and the effective application of General Instructions 1-2006 as they pertain to Unit operations.

- PTI has leveraged the technical assistance on criminal investigation and prosecution as described above to provide additional assistance in prosecuting the Maskana[10] case; specifically in presenting evidence. The project team scheduled three meetings with the lead prosecutor, as well as the final meeting that included CICIG personnel that assisted in the investigation. As a result, PTI was successful in identifying weaknesses in building the case that could be resolved prior to trial and deliberations. Despite an agreement to schedule a fourth meeting, the Attorney General unexpectedly transferred the case to CICIG and effectively excluded PTI from further involvement on the case.

- Authorities in the Anti-Corruption Prosecutors Unit received the Attorney General's approval to officially submit a request on July 26 to the project asking for technical support to investigate and prosecute five cases. PTI provided assistance to: a) review the timeline and sequence of events; b) plan the investigations; c) develop preliminary theories, and d) provide guidance throughout the investigations **(Annex 18)**. The five cases are summarized below.

  - o Case File M0001-2010-19528 pertaining to the National Youth Council (*Consejo Nacional de la Juventud* -CONJUVE) alleging that former officials (including a current member of Congress from the LIDER political party, Julia Maldonado) misappropriated funds from an EC grant in excess of GTQ4,000,000.00.
  - o Case File MP001-2012-33266 pertaining to charges against the mayor of Taxisco for mismanagement of public funds in 15 infrastructure projects.
  - o Case File MP001-2012-65516 pertaining to charges against the mayor of Chinique for payroll mismanagement and bounced checks.
  - o Case File MP001-2012-120524 pertaining to charges against the mayor of Santa Cruz Barrillas for misrepresenting costs on public infrastructure projects.
  - o Case File MP001-2012-93407 pertaining to charges against the mayor of San Raymundo for illegal contracts with shadow companies.

PTI began providing assistance as requested and reviewed the first of the case files, organized coordination meetings and provided technical guidance to the Prosecutor Unit regarding the timelines and events prior to

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[10] The Maskana case involved allegations of corruption against the former Minister of Government, Raul Velasquez, among others, charged with embezzling GT40 million in funds for fueling expenditures for National Police vehicles.

developing the investigation plan **(Annex 19)**. Furthermore, the project is taking advantage of the assistance to continue to build capacity and improve performance in the Unit. The PTI technical team is tailoring the assistance for practical applications as required by the staff, enabling them to use new-found skill sets more effectively and allowing PTI to identify opportunities for future expansion or replication.

In similar fashion, the Project is calling on the expertise of the international consultants, Dr. Ivan Meini and Carlos Paz to develop a proposal for a criminal investigation protocol for cases of corruption. The Project will present the proposal to Public Ministry authorities in November 2012.

To complete activities under this component, PTI also worked to develop an inter-institutional communications protocol for the Public Ministry and the Office of the Comptroller General to improve coordination and case referrals. As part of the effort, PTI worked with the Public Ministry to gather data on institutional perceptions regarding the Comptroller General and to conduct a similar process at the Comptroller General´s versus the Public Ministry. PTI plans to complete the process in November and then work with both institutions to develop technical proposals to overcome communication and operational obstacles. The process will also provide opportunities to build consensus and design effective communication strategies for greater synergies to increase transparency and curb corruption. PTI will also follow up with both institutions to ensure the measures are appropriately implemented for sustained improvement in both institutions as planned. Table 9 summarizes the activities planned for next quarter.

<div align="center">

**Table 9 – Next Quarter Planning**

**LLR 2.3.2 Mechanisms to pursue corruption cases are established and functioning in the Anti-corruption Unit of the Attorney General´s Office**

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| Activity / Task | FY 2013 1st QTR Programming | | |
|---|---|---|---|
| | Oct | Nov | Dic |
| **Activity 1:** Strengthen the Anti-corruption Unit in the Public Ministry. | | | |
| **Task 1**: Develop and implement an ongoing training program with technical assistance (workshops) on the International Convention Against Organized Crime. | ▓ | ▓ | ▓ |
| **Task 2:** Provide technical assistance and support on pre-selected cases as required by the Attorney General. | ▓ | ▓ | ▓ |
| **Task 3:** Design and implement a preliminary protocol for criminal investigation of corruption cases. | ▓ | ▓ | |
| **Task 4:** Develop a proposed organizational and operational structure for the Anti-Corruption Prosecutor Unit. | | | |
| **Task 5:** Design and implement improvements to the Public Ministry SICOMP case management and information system. | | | |
| **Task 6:** Provide assistance to prepare and implement communication and coordination protocols between the Public Ministry and the Office of the Comptroller General to increase transparency and curb corruption, avoid duplication of efforts and have a greater impact in achieving the objectives of the State. | ▓ | ▓ | |
| **Task 7:** Expose Public Ministry officials to best practices and international experience by funding their participation in training or international events that include, but are not limited to, those organized by Transparency International. | | ▓ | |

**LOWER-LEVEL RESULT 2.3.3: OFFICE OF THE COMPTROLLER GENERAL (CGC) IMPROVES ITS PERFORMANCE IN SELECTED AREAS OF INTERVENTION**

As reported previously, PTI has been working with the Office of the Comptroller General since late last year to develop an overall strengthening plan which includes a diagnostic assessment of the framework and government control regulations that govern the institution´s performance and responsibility for internal and external audits. PTI reported significant progress in January, but was recently notified by the CGC of its intent to reduce the scope of the agreement to merely the technical assistance and training for criminal prosecution.

As a result of the request, PTI will focus technical assistance to the CGC as follows:

- Develop guidelines to file charges pertaining to accounting issues/descrepancies

- Provide technical assistance for allegations of corruption, including crime and evidence theory and procedures to file charges

- Foster increased coordination among the CGC, the Public Ministry and the Accounts Tribunal to process cases of corruption.

Based on the above, the Comptroller General signed an LOU on July 11 to outline PTI support to the CGC to strengthen its judiciary capacity **(Annex 20)**.

By the end of this quarter, the project reports that notwithstanding the LOU, the CGC has demonstrated limited progress in complying with agreements.  In certain instances, progress has come to a complete standstill **(Annex 21)**. Nevertheless, the CGC reacted favorably to PTI efforts in late September to continue implementing activities as follows:

- The project is coordinating efforts with CGC to develop a training program on crimes committed by public servants and provide conceptual frameworks, knowledge and skill sets for CGC personnel (attorneys, auditors and support staff), particularly in the area of filing charges of corruption with the Public Ministry. PTI plans to schedule the training in November 2012, led by international experts and PTI technical staff, Dr. Ivan Meini, Carlos Paz and Dr. Luis Felipe Saenz Merida.

- As described in the previous section, the project compiled data on CGC staff perceptions regarding the Public Ministry and will complement this information with findings from the training activities that PTI organized for the Anti-Corruption Prosecutor Unit.  As a result, PTI will be well positioned to assess and propose effective communication strategies that respond to the needs of both institutions. When both institutions improve communications, the result will be a more synergistic effect to increase transparency and curb corruption.

- Upon receiving CGC approval, PTI will review the guidelines developed by CGC to present allegations of accounting issues/discrepancies and file charges as appropriate.

Table 10 summarizes the activities planned for next quarter

## Table 10 – Next Quarter Planning

### LLR 2.3.3 Comptroller General improves its performance in selected areas of intervention

| Activity / Task | FY 2013 1st QTR Programming | | |
| --- | --- | --- | --- |
| | Oct | Nov | Dic |
| **Activity 1:** Strengthen the audit units in the Office of the Comptroller General. (CGC). | | | |
| **Task 1**: Design a joint training plan for personnel from the Legal Affairs Department and selected audit staff to improve judiciary prosecution management in the CGC, particularly in the following areas: constitutional law and institutional mandates, applying criminal theory to cases of corruption, criminal prosecution (preparatory phase) and evidence theory. | ▓ | ▓ | |
| **Task 2**: Develop and implement a model for audit reports tailored to Public Ministry requirements. | ▓ | ▓ | ▓ |
| **Task 3**: Provide assistance to develop and implement communication instructions and protocols between the Public Ministry and the CGC to promote transparency and curb corruption and optimize performance of each institution as a result of increased coordination, avoiding duplication of efforts and creating a greater impact in achieving the objectives of the State. | ▓ | ▓ | ▓ |

## SUB IR 2.4: A MORE TRANSPARENT POLITICAL PARTY FINANCING SYSTEM ESTABLISHED AND WORKING

In consideration of the proposed reforms and the specific role PTI plays within the overall USAID strategy[11], the project opted to provide assistance for a broader and more specific debate for civil society to discuss LEPP reforms at the regional and local level, as well as to include TSE participation based on recent election experiences, best practices and improved TSE efficiency and performance.

To this end, PTI worked this quarter to complete activities with two consortia that bring together the most proactive civil society organizations with experience in electoral issues and election oversight:  CONAREP and URL-USAC-Asies.

As described earlier in this report, the project activities are structured as part of the advocacy activities detailed under Sub-IR 2.1, LLR 2.1.  In that section, the support provided through Accion Ciudadana was described -- as an agent for the National Organization for Political Reform (*Convergencia Nacional por la Reforma Política* -CONAREP), and to Rafael Landivar University (URL) representing the URL-USAC-ASIES consortium.

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[11]As described in earlier reports, the PTI work plan includes coordination with other USAID contractors and the international donor community to foster and encourage dialogue that will raise awareness and gather conceptual and methodological inputs for reforming the Law on Elections and Political Parties. As a result of USAID input last quarter to define the scope of work for several projects that optimize and leverage the impact of a coordinated effort to promote political party reform, PTI and other projects are now working on: a) NDI  is responsible for building capacity among the congressmen and women that make up the Congressional Committee for Electoral Reform and providing technical assistance to enable the Committee to analyze and prepare proposed modifications to the Law on Elections and Political Parties; b) The International Foundation for Electoral Systems (IFES) is responsible for technical assistance and support to the Supreme Electoral Tribunal to define the objectives and design a proposal for the National Congress that will enable the two institutions to build consensus around specific modifications and reforms, and c) The Project is responsible for supporting CSO advocacy efforts to raise awareness and create opportunities to publicly debate the proposals, with particular emphasis on the following: more transparent political party financing and greater capacity in the Supreme Electoral Tribunal to improve its role in conducting oversight and imposing sanctions.

**A.- Advocacy Efforts by the National Organization for Political Reform (Convergencia Nacional por la Reforma Politica -CONAREP):**

Representing CONAREP, *Accion Ciudadana* (AC) was an active participant in each and every one of the activities sponsored by the CEAE to analyze and propose financial, oversight and accountability reforms for political parties as presented earlier this year on May 16.

To continue enriching and disseminating the proposed reforms, PTI provided financial assistance through an in-kind grant to AC to organize nation-wide activities in July. The purpose of the activities was to present the reform proposal for political party financing, oversight and accountability in Guatemala and ensure that the general public was aware of what was being discussed in Guatemala City. Furthermore, AC used the opportunities to validate their proposal with local citizens coming from a different perspective and political reality than those in previous CEAE activities **(Annex 22)**.

This quarter, AC organized five activities in five provincial capitals (one per region: (Coban-Alta Verapaz, Chiquimula-Chiquimula, Huehuetenango-Huehuetenango, Retalhuleu-Retalhuleu and Santa Elena-Peten) to bring together local and regional CSOs and constituents interested in LEPP reform proposals. AC also invited all of the members of the Congressional CEAE representing their districts to attend the meetings and share their opinions.

**Coban, Alta Verapaz**

PTI organized the first town hall meeting on July 18 in Coban. The location provided coverage to invite participants from the northern region of Guatemala. The project joined forces with two CSOs (ADP Verapaz and the Alta Verapaz and Baja Verapaz Peace Observatory) to extend invitations. A total of 52 individuals representing 17 organizations participated in the meeting and will play an important role in ensuring that the discussions spread at the grass roots of their groups.

**Chiquimula, Chiquimula**

The project scheduled the second town hall meeting on July 20 in Chiquimula to provide coverage over the eastern region of the country including Izabal, Jalapa, Zacapa and El Progreso. PTI coordinated with a local CSO (DEMOS Chiquimula, also a member of CONAREP) to issue invitations and participate as one of the panel discussion members. The Project also contacted other CSOs (COMUDISA in Santo Tomas de Castilla and a co-op organization in Jalapa "*El Recuerdo*" to participate in the event. A total of 46 individuals from 12 organizations attended.

**Huehuetenango, Huehuetenango**

The third activity took place in Huehuetenango on July 25 to provide coverage for the northwestern part of the country. The event included participants from Accion Ciudadana from Totonicapán and Quiche, as well as from other CSOs. The project coordinated efforts with a local youth leadership group through PROPAZ (another CONAREP member organization) to issue invitations. The event was attended by a majority of younger adults, 37 individuals representing 12 CSOs, as well as three political party representatives and two people from mass media outlets.

**Retalhuleu, Retalhuleu**

The fourth event was scheduled on July 27 in Retalhuleu to cover the western region of Guatemala, including the provinces of Quetzaltenango and Sololá. The project worked through the National Women´s Forum in Retalhuleu to issue invitations and the event was attended by a majority of adults over 40, 34 individuals representing 16 CSOs along with three people from the media.

**Santa Elena, Peten**

The final event took place on August 3 in the most remote area of Guatemala, Petén. A region many times excluded from mainstream debate and advocacy efforts, often stated by participants. PTI joined efforts with the Peace Accord Follow-Up Task Force to issue invitations. A total of 52 individuals from 15 CSOs attended along with two community authorities and one political party representative.

The town hall meetings provided opportunities to discuss the issues at hand, mainly campaign and political party financing, indirect finance contributions, sanctions, number of legislators in Congress, civic committees, district parties, political parties, governorships and re-election restrictions, as well as reforms to the Supreme Electoral Tribunal, among others.

The Project reports the following conclusions from the process:

- In addition to allowing people from each region in the country to express their concerns regarding election system reforms, participants provided feedback, validated, and enriched the Accion Ciudadana/CONAREP proposal regarding political financing.

- Project staff noted that the overriding concern of the participants throughout pertained to increasing public financing of political parties, especially in regard to indirect financing under a proposed public subsidy for campaign ads. Although most participants came around to agreeing with possible subsidies as proposed, most objected to it on principle based on more pressing issues among national budget priorities. This point was widely debated and linked back to the costs of corruption affecting the country once elected officials must reciprocate with their private and undisclosed campaign and party financiers after they take public office.

- Participants discussed the importance of regulations and enforcement regarding financing and the provisions of the Law on Elections and Political Parties in general. The participants were interested in hearing about new sanctions (i.e. restricting media space during the campaign as a sanction for prior violations), but expressed general outrage as to how political parties remain in impunity and how sanctions need to be real and severe.

- Participants also expressed concerns regarding other aspects of the elections such as displeasure with performance in Congress, their representation through legislators, political party performance and a need to establish civic committees to address local issues affecting their constituencies (such as trucking people to polling places, electing outsiders to local office or to represent congressional districts, increasing women´s participation and LEPP reforms). As a result, participants successfully addressed the issues of greatest concern and validated the CONAREP proposals, as planned.

In sum, the project considered the meetings a worthwhile exercise to share and debate important issues, while developing a more comprehensive understanding of civil society´s perceptions from all over the country. The remarks clearly revealed displeasure with the election system and the current representation in Congress. The results will enrich the efforts in Congress to address the urgent need to reform LEPP.

Upon completing the round of meetings, Accion Ciudadana documented the process to share findings with the congressional committee.

On a final note, PTI also provided assistance to organize a press conference hosted by CONAREP on September 26 to present their position on LEPP reform. The activity provided an opportunity to inform the media on the urgent need to debate LEPP reform, present the CEAE proposal and demand additional public discussion and open dialogue with CSOs to disseminate and build consensus on the LEPP reform proposal. As a result, the issues received broad media coverage toward the end of this reporting period.

**B.- Advocacy Efforts by the USAC-URL-ASIES Consortium:**

To continue supporting advocacy efforts on LEPP reform, the project made progress through the in-kind grant to Rafael Landivar University (URL in Spanish) as the representative of a consortium comprised of the University together with the national San Carlos University (USAC) and a think tank, ASIES.

PTI's assistance to the consortium focused on advocacy activities to encourage public debate within civil society, academia and technical and operational personnel in TSE, as well as with mass media outlets. The following summarizes the activities this quarter:

- The project provided assistance to organize an event on July 18 entitled "Political Party Operations: Seeking Effectiveness." This activity was designed to open dialogue and debate among civil society and political-election institutions to analyze political party financing, transparency and financing criteria (not only as it pertains to economic funds, but also to political organization training for members and ongoing activities).
  The activity included a panel discussion among Marvin Pol, Accion Ciudadana, Jose Carlos Sanabria, ASIES and Maria Eugenia Villagran, President of the Supreme Electoral Tribunal. The panel member representing Accion Ciudadana described the key points from the CONAREP reform proposal. The President of TSE presented the legal framework for public and private financing and pointed out the weaknesses in Guatemala, as follows:

  o lack of accountability;
  o weak and minimal sanctions;
  o large investments in election campaigns, no cap on finance spending, and
  o extremely weak institutional structures within political parties.

  Conclusions rested on the fact that public financing requires much more profound debate as to what is desirable and feasible, calling for more discussions among the Congressional Committee for Electoral Affairs, TSE and CSOs with expertise in the area. A second conclusion was the urgent need to strengthen the TSE as an institution by



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building capacity to sanction political organizations violating LEPP provisions for political and campaign financing.

- The Project organized an event on August 13 entitled "Optimizing Control and Accountability in Political Parties" to include CSOs and political/electoral institutions in the debate on political party oversight and accountability in managing funds. The activity included a panel discussions led by Carlos Giron, TSE Auditor, Cristhians Castillo, USAC-URL-ASIES Consortium and Alvaro Pop, Naleb´.

The TSE auditor described the need to strengthen the Electoral Audit department as illustrated by the lessons learned during recent national elections, including: a) most political parties neglect to present reports in a timely manner as required because the sanctions are rarely enforced; b) the Electoral Audit department has no real authority to compel political parties to reveal their contributors; c) political parties do not reveal all of their financial sources and in-kind resources, aggravated by the fact that the Electoral Auditors lack legal grounds to demand full disclosure; and d)there are numerous gaps in the legal framework and institutional weaknesses that lead to poor oversight and effective controls.

The Consortium representative also described reforms to the LEPP must be made in a timely manner regarding legal standardization. The Consortium proposals are key to democratic processes regarding political party strengthening, which should not merely address party financing issues, but also membership activities to increase democratic representation.

On a final note, Alvaro Pop described the electoral – political system as in decline attributable to cronyism and political favoritism to obtain votes. Corruption is a key element contributing to less transparency as political parties manipulate voters, buy votes, etc. As a result, the proposals put forth by the Indigenous Watchdog Mission (*Mision de Observacion Indigena*) were directed toward democratizing political parties and the use of primaries to elect candidates to mayoral, congressional, presidential and vice-presidential office to produce clear and authentic leadership.



The event concluded on two final notes. First, the point than horizontal controls and accountability are essential for political party oversight and requires much debate. Second, there is an urgent need to strengthen the electoral audit role.

Table 11 summarizes the activities for next quarter.

**Table 11 - Planning for Next Quarter**

**SUB IR 2.4: A more transparent political party financing system established**

**And working**

| Activity / Task | FY 2013 1st QTR Programming | | |
| --- | --- | --- | --- |
| | Oct | Nov | Dec |
| **Activity 1:** Strengthen CSO capacity to promote and advocate on the issues pertaining to political party and election controls and financing as part of the LEPP reform process. | | | |
| Task 1: In close coordination with the USAID CEPPS Project and implementing partners, including the NDI, IRI and IFES, and according to USAID/Guatemala guidance, the Project will provide technical assistance and support for advocacy activities among CSOs to promote and advocate the issues pertaining to political party and election controls and financing as part of the LEPP reform process. PTI will continue to assist CONAREP and the URL-USAC-ASIES consortium as the two most vigorous groups among civil society with expertise in the matter and the most appropriate for promoting reforms to political party financing and building capacity within TSE to enforce accountability. The advocacy strategies will enable reform processes to be disseminated, discussed and reviewed through opportunities for open debate among stakeholders that include, but are not limited to, the magistrates and authorities from TSE and congressional members on the Electoral Affairs Committee. | | | |

# 2.0 SUB-GRANT PROGRAM

The sub-grants program was established to advance activities that lead to the achievement of LLRs. To date, eighteen sub-grants have been awarded, and executed for a total amount of US$818,025.71 to local CSOs. The main objective of funding these activities is to empower Guatemalan citizens to make positive changes in their communities and raise citizens' awareness of efforts to combat corruption and promote transparency. Please refer to **Section 2, under LLR 2.1: "Citizens Better informed and capable to oversee and fight against corruption"** to find summary of major activities carried out under the grants component during this reporting period.

| | Grantee | Grant No. | Title of Activity | Period of Performance | | Budgeted Amount | Estimated Month Expense October*1 | Expense to Date | Remaining Balance |
|---|---|---|---|---|---|---|---|---|---|
| | | | | Starting Date | Finalizing Date | | | | |
| 1 | Acción Ciudadana | PTI 001 | Access to Information | January 4, 2010 | December, 2010 | $102,239.83 | $0.00 | $102,200.57 | $39.26 |
| 2 | Fundación DESC | PTI 002 | Corruption Networks Diagnosis / Methodology | February 22, 2010 | Agust 30, 2010 | $34,490.76 | $0.00 | $34,490.76 | $0.00 |
| 3 | FADS | PTI 003 | Attorney General Election Process | February 5, 2010 | March 27, 2011 | $72,530.81 | $0.00 | $72,954.15 | -$423.34 |
| 4 | CEG | PTI 004 | Transparency Legislative Agenda | January 1, 2010 | June 15, 2011 | $76,890.51 | $0.00 | $76,068.21 | $0.00 |
| 5 | Acción Ciudadana | PT 005 | 2010 Access to Information Index | June 28, 2010 | December, 2010 | $29,654.84 | $0.00 | $29,654.83 | $0.01 |
| 6 | Acción Ciudadana | PTI 006 | ICAC Shadow Report | June 28, 2010 | June 1, 2011 | $27,772.31 | $0.00 | $27,772.28 | $0.03 |
| 7 | Pro Justicia | PTI 007 | AG and CG Election Processes | September 28, 2010 | March 27, 2011 | $55,539.79 | $0.00 | $55,539.79 | $0.00 |
| 8 | Vital Voices | PTI 008 | Political Mentorship | November 15, 2010 | July 15, 2011 | $85,554.63 | $0.00 | $85,554.63 | $0.00 |
| 9 | GAM | PTI 009 | Access to Information | February 22, 2011 | July 21, 2011 | $34,343.13 | $0.00 | $33,917.95 | $0.00 |
| 10 | FUNDESA | PTI 010 | Financial Transparency Index | April 26, 2011 | July 15, 2011 | $21,077.40 | $0.00 | $21,077.28 | $0.00 |
| 11 | FUNDES | PTI 011 | Emerging Private Sec Activities | May 19, 2011 | July 15, 2011 | $26,268.05 | $0.00 | $26,268.05 | $0.00 |
| 12 | CIEN | PTI 012 | Access to Information Training Course | April 15, 2011 | July 15, 2011 | $31,065.77 | $0.00 | $31,065.77 | $0.00 |
| 13 | FADS | PTI 013 | Constitutional Court Conformation | February 3, 2011 | July 15, 2011 | $45,385.90 | $0.00 | $45,385.90 | $0.00 |
| 14 | CEG | PTI 014 | Increase transparency in Guatemala through the promotion and advancement of the Transparency Legislative Agenda. | November 16, 2011 | February 29, 2012 | $28,400.99 | $0.00 | $27,942.29 | $458.70 |
| 15 | Acción Ciudadana | PTI 015 | Independent report with other NGOs of evaluation of the Fourth Round to be presented before the MESISIC | November 21, 2011 | February 29, 2012 | $19,799.12 | $0.00 | $15,650.76 | $4,148.35 |
| 16 | CIEN | PTI 016 | American Index of Budget Transparency | February 10, 2012 | August 10, 2012 | $27,663.46 | $1,901.87 | $23,320.65 | $2,440.94 |
| 17 | MPJ | PTI 017 | Advocacy/incidence project in favor of the consolidation of legal, political and administrative process that derive in the application of transparency, integrity and publicity matters guiding principles of the Nominating Committees law | March 30, 2012 | July 30, 2012 | $64,001.80 | $7,116.34 | $54,340.14 | $2,545.32 |
| 18 | Acción Ciudadana | PTI 018 | Carry out a project to promote transparency in public administration, particularly within the National Congress, by encouraging social auditing processes and developing instruments, advocacy efforts and specific proposals for greater efficiency and transparency in congressional management and operations on a day-to-day basis. | May 11, 2012 | September 11, 2012 | $93,377.78 | $4,838.77 | $54,821.69 | $33,717.32 |
| | Totals | | | | | $876,056.88 | $13,856.98 | $818,025.71 | $42,926.59 |

# 3.0 RAPID RESPONSE FUND

PTI Rapid Response Fund (RRF) mechanism is designed as a flexible tool to provide technical assistance, training, and commodities in response to unanticipated opportunities and/or crises, which impact PTI implementation throughout the life of the project. The RRF will provide targeted in-kind and financial support.

As stipulated in the Mission Statement, all activities to be financed by the RRF contribute to the achievement of the objectives of the program as specified in the Sub-Intermediate Results (Sub-IRs) and serve to strengthen the inter-institutional relationship of program stakeholders. To date, seven awards have been executed for a total of US US$199,443.31.

Please refer to **Section 2** to find the detailed description of awards that were active during the reporting period.

| Grantee | Grant No. | Title of Activity | Period of Performance | | Budgeted Amount | Estimated Month Expense October 2012*1 | Expense to Date | Remaining Balance |
|---|---|---|---|---|---|---|---|---|
| | | | Starting Date | Finalizing Date | | | | |
| Movimiento Pro Justicia | 001 | Monitoring plan for the election | January 4, 2010 | December, 2010 | $15,687.50 | $0.00 | $12,712.39 | $2,975.11 |
| FLACSO | 002 | DPI | February 22, 2010 | Agust 30, 2010 | $99,272.02 | $0.00 | $99,222.84 | $49.18 |
| Movimiento Pro Justicia | 003 | Attorney General Election Process | February 5, 2010 | March 27, 2011 | $3,140.00 | $0.00 | $3,136.97 | $3.03 |
| Movimiento Pro Justicia | 004 | Communications campaing CC | January 1, 2010 | June 15, 2011 | $50,000.00 | $0.00 | $48,332.40 | $1,667.60 |
| Vice-Presidencia | 005 | Assist the GoG Commission in the development of a Comprehensive Strategy Plan for the Presidential Commission against Money and other Asset Laundering and Terrorism Financing in Guatemala | August 20,2010 | February, 2011 | $8,444.80 | $0.00 | $5,781.58 | $2,663.22 |
| Oficina de Control y Transparencia de la Vicepresidente Electa | 006 | Support and unanticipated activity with the newly elected Vice President's Office | December 19, 2011 | March 31, 2012 | $15,000.00 | $0.00 | $12,252.43 | $2,747.57 |
| Oficina de Control y Transparencia de la Vicepresidente Electa | 007 | Increase award amendment support and unanticipated activity with the newly elected Vice President´s Office | January 4, 2012 | March 31, 2012 | $8,815.00 | $0.00 | $7,562.42 | $1,252.58 |
| Support MINGOB | 008 | Strengthening the democratic Guatemalan | July 8, 2012 | July 12, 2012 | $4,750.00 | $0.00 | $4,675.20 | $74.80 |
| Colloquium on Constitutional Reforms | 009 | Strengthening the democratic Guatemalan | July 8, 2012 | July 12, 2012 | $849.67 | $0.00 | $593.19 | $256.48 |
| Promotes of the Anti-Corruption Law | 010 | Support press release that promotes the approbation of the Anti-Corruption Law | August 30,2010 | September 15, 2012 | $5,025.55 | $0.00 | $5,173.89 | -$148.34 |
| | | | | | | | | |
| | | | | | | | | |
| | | | | Totals | $210,984.54 | $0.00 | $199,443.31 | $11,541.23 |

# 4.0   GENDER SECTION

There were no specific activities planned and/or carried out under any Sub-IR or LLR for this crosscutting theme during quarter.

# 5.0  TRAINING

## 5.1 GOVERNMENT OFFICIALS

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. |
| Definition: | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

| Training Events | | | | | |
|---|---|---|---|---|---|
| 01 | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- National Secretary of Science and Technology; Ministry of Agriculture, Livestock, and Food, National Development Fund, Indigenous Development Fund. | | | |
| | **Start  Dates:** | June 21 | **End Date:** June 21 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 15 | **No. of Male Participants** 6 | **No. of Female Participants** | 7 |
| | **Estimated Cost** | **Q. 2,329.82 (US$ 293.42)**<br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 155.32  (US$ 19.56)**<br><br>*exchange rate 7.94 |

| | Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|---|
| | Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. |
| | Definition: | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

| Training Events | | | | | |
|---|---|---|---|---|---|
| **02** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Ministry of Economy | | | |
| | **Start Dates:** | June 28 | **End Date:** June 28 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total No. of Participants** | 30 | **No. of Male Participants** 11 | **No. of Female Participants** | 19 |
| | **Estimated Cost** | **Q. 4,217.48 (US$ 531.19)**<br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 140.58 (US$ 17.70)**<br><br>*exchange rate 7.94 |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | |
| **Definition:** | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Events** | | | | | |
|---|---|---|---|---|---|
| **03** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-  Presidential Human Rights Commission | | | |
| | **Start  Dates:** | July 05 | **End Date:** July 05 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 31 | **No. of Male Participants** 07 | **No. of Female Participants** | 27 |
| | **Estimated Cost** | **Q. 4,756.04 (US$ 598.99)**  *exchange rate 7.94 | | **Estimated Cost per person** | **Q. 153.42  (US$ 19.32)**  *exchange rate 7.94 |

| Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|
| Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. | | | | |
| Definition: | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Events** | | | | | |
| **04** | Name of Training Program | Transparency, fight against corruption and access to public information. | | | | |
| | Field of Study | Transparency, anticorruption, access to public information. | | | | |
| | Relationship to T.O. Objectives | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | |
| | Offered By: | Transparency and Integrity Project | | | | |
| | Directed To: | Human resource of Access to Information Units -coordinators and network-  Ministry of Public Finance | | | | |
| | Start  Dates: | July 18 | End Date: | July 18 | Total No. of Training hrs. | 6 hrs. |
| | Total  No. of Participants | 30 | No. of Male Participants | 15 | No. of Female Participants | 15 |
| | Estimated Cost | **Q. 4,482.86 (US$ 564.59)** *exchange rate 7.94 | | Estimated Cost per person | **Q. 149.42  (US$ 18.81)** *exchange rate 7.94 | |

| | | | | | |
|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | | | | |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Events** | | | | | |
| **05** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Ministry of Interior | | | |
| | **Start Dates:** | July 19 | **End Date:** | July 19 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total No. of Participants** | 30 | **No. of Male Participants** | 21 | **No. of Female Participants** | 9 |
| | **Estimated Cost** | **Q. 4,341.43 (US$ 546.78)**<br><br>*exchange rate 7.94 | **Estimated Cost per person** | **Q. 144.71 (US$ 18.23)**<br><br>*exchange rate 7.94 |

| | Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|---|
| | Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. | | | | |
| | Definition: | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Events** | | | | | | |
| **06** | Name of Training Program | Transparency, fight against corruption and access to public information. | | | | |
| | Field of Study | Transparency, anticorruption, access to public information. | | | | |
| | Relationship to T.O. Objectives | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | |
| | Offered By: | Transparency and Integrity Project | | | | |
| | Directed To: | Human resource of Access to Information Units -coordinators and network- Secretariat of Planning and Programming of the Presidency | | | | |
| | Start Dates: | July 27 | End Date: | July 27 | Total No. of Training hrs. | 6 hrs. |
| | Total No. of Participants | 22 | No. of Male Participants | 8 | No. of Female Participants | 14 |
| | Estimated Cost | **Q. 3,056.50 (US$ 394.95)** *exchange rate 7.94 | | | Estimated Cost per person | **Q. 101.88 (US$ 12.83)** *exchange rate 7.94 |

| | Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|---|
| | Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. | | | | |
| | Definition: | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Events** | | | | | | |
| **07** | Name of Training Program | Transparency, fight against corruption and access to public information. | | | | |
| | Field of Study | Transparency, anticorruption, access to public information. | | | | |
| | Relationship to T.O. Objectives | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | |
| | Offered By: | Transparency and Integrity Project | | | | |
| | Directed To: | Human resource of Access to Information Units -coordinators and network- Ministry of Energy and Mine, Ministry of Communication, Living and Infraestructure. | | | | |
| | Start Dates: | August 2 | End Date: | August 2 | Total No. of Training hrs. | 6 hrs. |

| Total No. of Participants | 20 | No. of Male Participants | 6 | No. of Female Participants | 14 |
|---|---|---|---|---|---|
| Estimated Cost | **Q. 3,271.43 (US$ 412.01)**<br><br>*exchange rate 7.94 | | | Estimated Cost per person | **Q. 163.57 (US$ 20.60)**<br><br>*exchange rate 7.94 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. |
| Definition: | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Events**

| | Name of Training Program | International Anticorruption Conventions | | | | |
|---|---|---|---|---|---|---|
| **08** | Field of Study | International Anticorruption Conventions | | | | |
| | Relationship to T.O. Objectives | Lower Level Result 2.2.3 Number of GoG officials receiving project supported anti-corruption training specifically related to areas of intervention derived from International Anti-Corruption Treaties | | | | |
| | Offered By: | Transparency and Integrity Project | | | | |
| | Directed To: | Secretary of Control and Transparency | | | | |
| | Start Dates: | August 7 | End Date: | August 8 | Total No. of Training hrs. | 6 hrs. |
| | Total No. of Participants | 21 | No. of Male Participants | 12 | No. of Female Participants | 9 |
| | Estimated Cost | **Q. 3,058.63 (US$ 382.21 )**<br><br>*exchange rate 7.94 | | | Estimated Cost per person | **Q. 145.64 (US$ 18.34 )**<br><br>*exchange rate 7.94 |

| | | | | | |
|---|---|---|---|---|---|
| **Element:** | | GJD 2.4 - Anti-corruption Reforms | | | |
| **Indicator Title:** | | Number of Government Officials receiving USG-supported anti-corruption training. | | | |
| **Definition:** | | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | |
| **Training Events** | | | | | |
| **08** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-   Ministry of Defense, Secretary of Administrative and Security Affairs | | | |
| | **Start  Dates:** | August 9 | **End Date:** | August 9 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 17 | **No. of Male Participants** | 7 | **No. of Female Participants** | 10 |
| | **Estimated Cost** | **Q. 2, 405.72(US$ 302.98)** <br><br> *exchange rate 7.94 | | **Estimated Cost per person** | **Q. 141.51 (US$ 17.82)** <br><br> *exchange rate 7.94 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | | |
| | **Indicator Title:** | Number of Government Officials receiving USG -supported anti-corruption training. | | | | | |
| | **Definition:** | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | | |

| | **Training Events** |
|---|---|

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **09** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Secretary for Food and Nutrition Security, Secretary of Agriculture Affairs | | | | | |
| | **Start  Dates:** | August 13 | **End Date:** | August 13 | **Total No. of Training hrs.** | 6 hrs. | |
| | **Total  No. of Participants** | 29 | **No. of Male Participants** | 6 | **No. of Female Participants** | 23 | |
| | **Estimated Cost** | **Q. 4, 209.68 (US$ 530.19)**  *exchange rate 7.94 | | | **Estimated Cost per person** | **Q. 145.16 (US$ 18.28)**  *exchange rate 7.94 | |

| | | | | | |
|---|---|---|---|---|---|
| **Element:** | | GJD 2.4 - Anti-corruption Reforms | | | |
| **Indicator Title:** | | Number of Government Officials receiving USG-supported anti-corruption training. | | | |
| **Definition:** | | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | |
| **Training Events** | | | | | |
| **10** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-   Ministry of Culture and Sports, Secretariat against Alcoholism, Drug Abuse and Illicit Trafficking | | | |
| | **Start  Dates:** | August 22 | **End Date:** | August 22 | **Total No. of Training hrs.** 6 hrs. |
| | **Total  No. of Participants** | 19 | **No. of Male Participants** | 7 | **No. of Female Participants** 12 |
| | **Estimated Cost** | **Q. 3,068.96 (US$ 386.52)** *exchange rate 7.94 | | **Estimated Cost per person** | **Q. 161.52 (US$ 20.34)** *exchange rate 7.94 |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Events** | | | | | |
|---|---|---|---|---|---|
| **11** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Ministry of Education, Ministry of Health | | | |
| | **Start Dates:** | August 23 | **End Date:** August 23 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total No. of Participants** | 18 | **No. of Male Participants** 3 | **No. of Female Participants** | 15 |
| | **Estimated Cost** | **Q. 4,121.68 (US$ 519.10)** <br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 228.98 (US$ 28.83)** <br><br>*exchange rate 7.94 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Events**

| | | | | | | |
|---|---|---|---|---|---|---|
| **12** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-   Secretary for Peace | | | | |
| | **Start  Dates:** | August 27 | **End Date:** | August 27 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 11 | **No. of Male Participants** | 5 | **No. of Female Participants** | 6 |
| | **Estimated Cost** | **Q. 2, 605.23(US$ 341.00)** *exchange rate 7.94 | | | **Estimated Cost per person** | **Q. 236.84 (US$ 29.83)** *exchange rate 7.94 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | | | | | |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | | |
| **Training Events** | | | | | | |

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|---|---|---|---|---|---|---|
| **13** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-   Ministry of Labor and Social Welfare | | | | |
| | **Start  Dates:** | August 28 | **End Date:** | August 28 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 11 | **No. of Male Participants** | 4 | **No. of Female Participants** | 7 |
| | **Estimated Cost** | **Q. 3,702.29 (US$ 466.28)**<br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 336.57 (US$ 42.38)**<br><br>*exchange rate 7.94 | |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Events** | | | | | |
|---|---|---|---|---|---|
| **14** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Ministry of External Affairs | | | |
| | **Start Dates:** | August 29 | **End Date:** August 29 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total No. of Participants** | 18 | **No. of Male Participants** 5 | **No. of Female Participants** | 13 |
| | **Estimated Cost** | **Q. 5,294.36 (US$ 666.80)** <br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 294.13 (US$ 37.04)** <br><br>*exchange rate 7.94 |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | |
| **Definition:** | People must be from government.  Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Events** | | | | | |
|---|---|---|---|---|---|
| **15** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1  Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network-   Ministry of Environment and Natural Resources | | | |
| | **Start  Dates:** | August 30 | **End Date:** August 30 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total  No. of Participants** | 31 | **No. of Male Participants** 15 | **No. of Female Participants** | 16 |
| | **Estimated Cost** | **Q. 2,535.5 (US$ 319.33)**<br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 81.79 (US$ 10.30)**<br><br>*exchange rate 7.94 |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of Government Officials receiving USG-supported anti-corruption training. | |
| **Definition:** | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Events** | | | | | |
|---|---|---|---|---|---|
| **16** | **Name of Training Program** | Transparency, fight against corruption and access to public information. | | | |
| | **Field of Study** | Transparency, anticorruption, access to public information. | | | |
| | **Relationship to T.O. Objectives** | Lower Level Result 2.2.1 Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Human resource of Access to Information Units -coordinators and network- Ministry of Social Development, General Secretary of the Presidency, Private Secretary of the Presidency, Secretary of Control and Transparency, Vice-presidency of the Republic. | | | |
| | **Start Dates:** | August 31 | **End Date:** August 31 | **Total No. of Training hrs.** | 6 hrs. |
| | **Total No. of Participants** | 12 | **No. of Male Participants** 8 | **No. of Female Participants** | 4 |
| | **Estimated Cost** | **Q. 3,312.53 (US$ 417.19)**<br><br>*exchange rate 7.94 | | **Estimated Cost per person** | **Q. 276.04 (US$ 34.76)**<br><br>*exchange rate 7.94 |

| | Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|---|
| | Indicator Title: | Number of Government Officials receiving USG-supported anti-corruption training. | | | | |
| | Definition: | People must be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| | **Training Events** | | | | | |
| **17** | Name of Training Program | International Anticorruption Conventions | | | | |
| | Field of Study | International Anticorruption Conventions | | | | |
| | Relationship to T.O. Objectives | Lower Level Result 2.2.3 Number of GoG officials receiving project supported anti-corruption training specifically related to areas of intervention derived from International Anti-Corruption Treaties | | | | |
| | Offered By: | Transparency and Integrity Project | | | | |
| | Directed To: | Secretary of Control and Transparency | | | | |
| | Start Dates: | July 3 | End Date: | July 12 | Total No. of Training hrs. | 15 hrs. |
| | Total No. of Participants | 32 | No. of Male Participants | 21 | No. of Female Participants | 11 |
| | Estimated Cost | **Q. 8,498.22 (US$ 1,070.30)** <br><br> *exchange rate 7.94 | | | Estimated Cost per person | **Q. 265.57 (US$ 33.45 )** <br><br> *exchange rate 7.94 |

## 5.2 PEOPLE AFFILIATED WITH NON – GOVERNMENTAL ORGANIZATIONS

| Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Event** | | | | | |
| **01** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Members of National Integrity Network –Mazatenango, Suchitepéquez | | | |
| | **Start Dates:** | Mayo 30 | **End Date:** | Mayo 30 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 50 | **No. of Male Participants** | 31 | **No. of Female Participants** | 19 |
| | **Estimated Cost** | **Q 6,969.50 (US$ 899.3)** *exchange rate 7.75 | | **Estimated Cost per person** | **Q 139.31 (US$ 17.98)** *exchange rate 7.75 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Event**

<table>
<tr><td rowspan="9">02</td><td>Name of Training Program</td><td colspan="4">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td>Field of Study</td><td colspan="4">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td>Relationship to T.O. Objectives</td><td colspan="4">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td>Offered By:</td><td colspan="4">Transparency and Integrity Project</td></tr>
<tr><td>Directed To:</td><td colspan="4">Members of National Integrity Network –Retalhuleu</td></tr>
<tr><td>Start Dates:</td><td>Mayo 31</td><td>End Date:</td><td>Mayo 31</td><td>Total No. of Training hrs.</td></tr>
<tr><td></td><td></td><td></td><td></td><td>5 hours</td></tr>
<tr><td>Total No. of Participants</td><td>35</td><td>No. of Male Participants</td><td>16</td><td>No. of Female Participants</td></tr>
<tr><td></td><td></td><td></td><td></td><td>19</td></tr>
</table>

| | Estimated Cost | Q 5,858.19 (US$ 755.89 )<br><br>*exchange rate 7.75 | Estimated Cost per person | Q 167.37 (US$ 21.59)<br><br>*exchange rate 7.75 |
|---|---|---|---|---|

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

| Training Event | | | | | | |
|---|---|---|---|---|---|---|
| **03** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | El Centro de Estudios y Documentación de la Frontera Occidental de Guatemala – CEDFOG-, Comisión de Auditoría Social del Concejo Departamental de Desarrollo de Huehuetenango y su Red de Apoyo | | | | |
| | **Start Dates:** | June 20 | **End Date:** | June 20 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 19 | **No. of Male Participants** | 10 | **No. of Female Participants** | 9 |
| | **Estimated Cost** | **Q 3,200.69 (US$ 412.99)**<br><br>*exchange rate 7.75 | | | **Estimated Cost per person** | **Q 168.45 (US$ 21.73)**<br><br>*exchange rate 7.75 |

| Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |

**Training Event**

| | | | | | | |
|---|---|---|---|---|---|---|
| **04** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | El Centro de Estudios y Documentación de la Frontera Occidental de Guatemala – CEDFOG-, Comisión de Auditoría Social del Concejo Departamental de Desarrollo de Huehuetenango y su Red de Apoyo | | | | |
| | **Start Dates:** | June 21 | **End Date:** | June 21 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 41 | **No. of Male Participants** | 22 | **No. of Female Participants** | 19 |
| | **Estimated Cost** | Q 4,978.86 (US$ 899.3) *exchange rate 7.75 | | | **Estimated Cost per person** | Q 121.43 (US$ 15.66) *exchange rate 7.75 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Event**

<table>
<tr><td rowspan="9">05</td><td>Name of Training Program</td><td colspan="5">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td>Field of Study</td><td colspan="5">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td>Relationship to T.O. Objectives</td><td colspan="5">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td>Offered By:</td><td colspan="5">Transparency and Integrity Project</td></tr>
<tr><td>Directed To:</td><td colspan="5">Youth Association Guatecivica</td></tr>
<tr><td>Start Dates:</td><td>June 28</td><td>End Date:</td><td>June 28</td><td>Total No. of Training hrs.</td><td>5 hours</td></tr>
<tr><td>Total No. of Participants</td><td>25</td><td>No. of Male Participants</td><td>18</td><td>No. of Female Participants</td><td>07</td></tr>
<tr><td>Estimated Cost</td><td colspan="3">Q 4,978.86 (US$ 899.30)<br><br>*exchange rate 7.75</td><td>Estimated Cost per person</td><td>Q 199.15 (US$ 25.69)<br><br>*exchange rate 7.75</td></tr>
</table>

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Event**

<table>
<tr><td rowspan="9">06</td><td><strong>Name of Training Program</strong></td><td colspan="5">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td><strong>Field of Study</strong></td><td colspan="5">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td><strong>Relationship to T.O. Objectives</strong></td><td colspan="5">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1  Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td><strong>Offered By:</strong></td><td colspan="5">Transparency and Integrity Project</td></tr>
<tr><td><strong>Directed To:</strong></td><td colspan="5">Association for Peace</td></tr>
<tr><td><strong>Start Dates:</strong></td><td>July 5</td><td><strong>End Date:</strong></td><td>July 5</td><td><strong>Total No. of Training hrs.</strong></td><td>5 hours</td></tr>
<tr><td><strong>Total No. of Participants</strong></td><td>24</td><td><strong>No. of Male Participants</strong></td><td>16</td><td><strong>No. of Female Participants</strong></td><td>8</td></tr>
<tr><td><strong>Estimated Cost</strong></td><td colspan="3"><strong>Q 6,191.00  (US$ 798.83)</strong><br><br>*exchange rate 7.75</td><td><strong>Estimated Cost per person</strong></td><td><strong>Q  257.95  (US$ 33.28)</strong><br><br>*exchange rate 7.75</td></tr>
</table>

| | | | | | | |
|---|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | | |

| | | |
|---|---|---|
| **Training Event** | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **07** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | The Women´s Democracy Network –WDN- Guatemala Country Chapter | | | | |
| | **Start Dates:** | July 6 | **End Date:** | July 6 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 21 | **No. of Male Participants** | 0 | **No. of Female Participants** | 21 |
| | **Estimated Cost** | **Q 10,942.00 (US$ 1,411.87)** *exchange rate 7.75 | | **Estimated Cost per person** | **Q 521.04 (US$ 67.23)** *exchange rate 7.75 | |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Event** | | | | | |
|---|---|---|---|---|---|
| **08** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Riecken Foundation | | | |
| | **Start Dates:** | July 18 | **End Date:** July 18 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 22 | **No. of Male Participants** 14 | **No. of Female Participants** | 8 |
| | **Estimated Cost** | Q 3,444 (US$ 444.39)<br><br>*exchange rate 7.75 | | **Estimated Cost per person** | Q 156.54 (US$ 20.19)<br><br>*exchange rate 7.75 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | | |

| **Training Event** | | | | | | |
|---|---|---|---|---|---|---|
| **09** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | Galileo University - Chiquimula | | | | |
| | **Start Dates:** | July 28 | **End Date:** | July 28 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 15 | **No. of Male Participants** | 10 | **No. of Female Participants** | 05 |
| | **Estimated Cost** | Q 3151.28 (US$ 406.62) *exchange rate 7.75 | | **Estimated Cost per person** | Q 210.08 (US$ 27.10) *exchange rate 7.75 | |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Event**

<table>
<tr><td rowspan="9">10</td><td>Name of Training Program</td><td colspan="5">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td>Field of Study</td><td colspan="5">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td>Relationship to T.O. Objectives</td><td colspan="5">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td>Offered By:</td><td colspan="5">Transparency and Integrity Project</td></tr>
<tr><td>Directed To:</td><td colspan="5">Galileo University - Esquipulas</td></tr>
<tr><td>Start Dates:</td><td>July 29</td><td>End Date:</td><td>July 29</td><td>Total No. of Training hrs.</td><td>5 hours</td></tr>
<tr><td>Total No. of Participants</td><td>22</td><td>No. of Male Participants</td><td>13</td><td>No. of Female Participants</td><td>09</td></tr>
<tr><td>Estimated Cost</td><td colspan="3">Q 4206.38 (US$ 542.76)<br><br>*exchange rate 7.75</td><td>Estimated Cost per person</td><td>Q 191.19 (US$ 24.67)<br><br>*exchange rate 7.75</td></tr>
</table>

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Event** | | | | | |
|---|---|---|---|---|---|
| **11** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Members of National Integrity Network | | | |
| | **Start Dates:** | August 2 | **End Date:** August 2 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 07 | **No. of Male Participants** 04 | **No. of Female Participants** | 03 |
| | **Estimated Cost** | Q 204 (US$ 26.32) *exchange rate 7.75 | | **Estimated Cost per person** | Q 29.14 (US$ 3.76) *exchange rate 7.75 |

| | | | | | |
|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |

| **Training Event** | | | | | |
|---|---|---|---|---|---|
| **12** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1  Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Members of National Integrity Network –San Marcos | | | |
| | **Start Dates:** | August 7 | **End Date:** August 7 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 37 | **No. of Male Participants** 23 | **No. of Female Participants** | 14 |
| | **Estimated Cost** | Q 4962.24 (US$ 640.29)<br><br>*exchange rate 7.75 | | **Estimated Cost per person** | Q 134.11  (US$ 17.30)<br><br>*exchange rate 7.75 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

**Training Event**

<table>
<tr><td rowspan="9">13</td><td><b>Name of Training Program</b></td><td colspan="5">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td><b>Field of Study</b></td><td colspan="5">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td><b>Relationship to T.O. Objectives</b></td><td colspan="5">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1   Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td><b>Offered By:</b></td><td colspan="5">Transparency and Integrity Project</td></tr>
<tr><td><b>Directed To:</b></td><td colspan="5">Members of National Integrity Network – Quetzaltenango</td></tr>
<tr><td><b>Start Dates:</b></td><td>August 8</td><td><b>End Date:</b></td><td>August 8</td><td><b>Total No. of Training hrs.</b></td><td>5 hours</td></tr>
<tr><td><b>Total No. of Participants</b></td><td>22</td><td><b>No. of Male Participants</b></td><td>08</td><td><b>No. of Female Participants</b></td><td>14</td></tr>
<tr><td><b>Estimated Cost</b></td><td colspan="3"><b>Q 6442.24  (US$ 831.26)</b><br><br><b>*exchange rate 7.75</b></td><td><b>Estimated Cost per person</b></td><td><b>Q 292.82  (US$ 37.78)</b><br><br><b>*exchange rate 7.75</b></td></tr>
</table>

| Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |

| Training Event | | | | | | |
|---|---|---|---|---|---|---|
| **14** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1  Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | Members of National Integrity Network –Totonicapan | | | | |
| | **Start Dates:** | August 9 | **End Date:** | August 9 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 29 | **No. of Male Participants** | 07 | **No. of Female Participants** | 22 |
| | **Estimated Cost** | Q 4962.24  (US$ 640.29)  *exchange rate 7.75 | | **Estimated Cost per person** | Q  171.11  (US$ 22.07)  *exchange rate 7.75 | |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Event** | | | | | |
|---|---|---|---|---|---|
| **15** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Oxlajuj aj | | | |
| | **Start Dates:** | August 20 | **End Date:** August 20 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 18 | **No. of Male Participants** 7 | **No. of Female Participants** | 11 |
| | **Estimated Cost** | Q 4,118.88  (US$ 531.46) *exchange rate 7.75 | | **Estimated Cost per person** | Q  228.82  (US$ 29.52) *exchange rate 7.75 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | | | | | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | | |

**Training Event**

| | | | | | | |
|---|---|---|---|---|---|---|
| **16** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | Youth Association Guatecivica | | | | |
| | **Start Dates:** | August 30 | **End Date:** | August 30 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 31 | **No. of Male Participants** | 18 | **No. of Female Participants** | 13 |
| | **Estimated Cost** | Q 7,783.50 (US$ 1004.00) *exchange rate 7.75 | | **Estimated Cost per person** | Q 251.08 (US$ 32.39) *exchange rate 7.75 | |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

**Training Event**

<table>
<tr><td rowspan="11">17</td><td><b>Name of Training Program</b></td><td colspan="5">Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises.</td></tr>
<tr><td><b>Field of Study</b></td><td colspan="5">Transparency, Social Auditing, and Access to Public Information.</td></tr>
<tr><td><b>Relationship to T.O. Objectives</b></td><td colspan="5">SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption.<br><br>LLR 2.1.1   Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities.</td></tr>
<tr><td><b>Offered By:</b></td><td colspan="5">Transparency and Integrity Project</td></tr>
<tr><td><b>Directed To:</b></td><td colspan="5">Youth Association Guatecivica</td></tr>
<tr><td><b>Start Dates:</b></td><td>Sept.  22</td><td><b>End Date:</b></td><td>Sept. 22</td><td><b>Total No. of Training hrs.</b></td><td>5 hours</td></tr>
<tr><td><b>Total No. of Participants</b></td><td>19</td><td><b>No. of Male Participants</b></td><td>05</td><td><b>No. of Female Participants</b></td><td>14</td></tr>
<tr><td><b>Estimated Cost</b></td><td colspan="2"><b>Q 6,078.88  (US$ 784.37)</b><br><br>*exchange rate 7.75</td><td><b>Estimated Cost per person</b></td><td colspan="2"><b>Q  319.94  (US$ 41.28)</b><br><br>*exchange rate 7.75</td></tr>
</table>

| Element: | GJD 2.4 - Anti-corruption Reforms | | | | |
|---|---|---|---|---|---|
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Event** | | | | | |
| **18** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Youth Association Guatecivica | | | |
| | **Start Dates:** | Sept. 29 | **End Date:** Sept. 29 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 25 | **No. of Male Participants** 10 | **No. of Female Participants** | 15 |
| | **Estimated Cost** | **Q 6.367.96  (US$ 821.67)** *exchange rate 7.75 | | **Estimated Cost per person** | **Q 254.71  (US$ 32.86)** *exchange rate 7.75 |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Element:** | | GJD 2.4 - Anti-corruption Reforms | | | | |
| **Indicator Title:** | | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | | | | |
| **Definition:** | | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | | | | |
| **Training Event** | | | | | | |
| **19** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | | |
| | **Offered By:** | Transparency and Integrity Project | | | | |
| | **Directed To:** | COFETAR San Marcos | | | | |
| | **Start Dates:** | Sept. 20 | **End Date:** | Sept. 20 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 19 | **No. of Male Participants** | 18 | **No. of Female Participants** | 1 |
| | **Estimated Cost** | Q 4,258 (US$ 549.41)  *exchange rate 7.75 | | | **Estimated Cost per person** | Q 224.10 (US$ 28.91)  *exchange rate 7.75 |

| | | |
|---|---|---|
| **Element:** | GJD 2.4 - Anti-corruption Reforms | |
| **Indicator Title:** | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. | |
| **Definition:** | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. | |

| **Training Event** | | | | | |
|---|---|---|---|---|---|
| **20** | **Name of Training Program** | Transparency, Social Auditing, and the use of the Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Transparency, Social Auditing, and Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Women´s Democracy Network –WDN- Guatemala Country Chapter | | | |
| | **Start Dates:** | Sept. 28 | **End Date:** Sept. 28 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 21 | **No. of Male Participants** 0 | **No. of Female Participants** | 21 |
| | **Estimated Cost** | Q 6,486.08 (US$ 836.91) *exchange rate 7.75 | | **Estimated Cost per person** | Q 308.86 (US$ 39.85) *exchange rate 7.75 |

| Element: | GJD 2.4 - Anti-corruption Reforms |
|---|---|
| Indicator Title: | Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training. |
| Definition: | People may not be from government. Training refers to all training or educational events whether short-term or long-term, in country or abroad. |

| Training Event | | | | | |
|---|---|---|---|---|---|
| **21** * | **Name of Training Program** | Access to Public Information as a tool to conduct social auditing exercises. | | | |
| | **Field of Study** | Access to Public Information. | | | |
| | **Relationship to T.O. Objectives** | SUB-IR 2.1 Citizens better informed and capable to oversee and fight against corruption. LLR 2.1.1 Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities. | | | |
| | **Offered By:** | Transparency and Integrity Project | | | |
| | **Directed To:** | Tenth Semester Students (night shift) of the Bachelor of Communication Studies, School of Communication Sciences, University of San Carlos of Guatemala. | | | |
| | **Start Dates:** | Sept. 26 | **End Date:** Sept. 26 | **Total No. of Training hrs.** | 5 hours |
| | **Total No. of Participants** | 41 | **No. of Male Participants** 24 | **No. of Female Participants** | 17 |
| | **Estimated Cost** | Q.6,590.18 (US$ 850.34) *exchange rate 7.75 | | **Estimated Cost per person** | Q 160.73 (US$ 20.74) *exchange rate 7.75 |

# 6.0  SHORT-TERM TECHNICAL ASSISTANCE

## 6.1    SHORT-TERM TECHNICAL ASSISTANCE (CONSULTANTS)

| Consultant/Specialist | Description of Consultancy/Technical Assistance | Date |
|---|---|---|
| Ana Eliza Corado | Study the archiving and recordkeeping situation in the Vice-Presidency, develop a recordkeeping policies and procedures manual, assist the Vice-Presidency in the implementation of the procedures manual in reference. | September 20, 2010 – July 31, 2011 |
| Maria de los Angeles Monzón | Implementation of a reflection circle for columnists, and actualization program for journalists to promote Transparency and Anticorruption matters vis a vis current political situation in Guatemala. | November 9, 2010 – August 31, 2011 |
| Alejandro Sanchez Garrido | To provide support and assistance to the Congress of the Republic of Guatemala. | November 12, 2010 – July 31, 2011 |
| Luis Felipe Saenz | Design and implement a training module in banking procedures, and asset identification and recuperation according to Guatemala´s legislation for the Anticorruption Unit of the Attorney General's Office. | November 15, 2010 – February 9, 2011 |
| Carlos Patricio Rodriguez | Assist the GoG Commission in the development of a Comprehensive Strategy Plan for the Presidential Commission against Money and other Asset Laundering and Terrorism Financing in Guatemala; and a National diagnostic risk assessment in terms of money and other asset laundering and financing terrorism in Guatemala. The evaluation must assess government institutions and consider preventive | February 28, – June 8, 2011 |

| | | |
|---|---|---|
| | measures to restrict money laundering through political party funding and campaign financing. | |
| Rashid Alquijay | Assist the PTI in designing and implementing a transparency/anticorruption training program directed to Civil Society Organizations, that includes but will not be limited to the application of the Access to Public Information Law as a tool to conduct social auditing activities. | May - September 2012 |
| María Mercedes Estrada | Develop assessment to identify shared agendas among different groups within the private sector and the public sector to address corruption. The assessment shall include a number of recommendations to bring greater synergies within these two sectors to curb corruption. | May - September 2012 |
| Carlos Paz | Assist the Attorney General´s Office with the identification, development, and implementation of measures and mechanisms to improve criminal investigation and prosecution, specifically to corruption related crimes. | May - October 2012 |
| Claudia Cabrera | Assist the PTI in the design and implementation of journalist training on investigative journalism aimed to expose corruption cases through media outlets. | May - October 2012 |
| María Mercedes Zaghi | Assist the PTI in the development of an assessment of the electronic system (a.k.a electronic voting board) that reelects parliamentary activities that take place in the hemicycle (parliament floor) to recommend actions to improve effectiveness and transparency of the institution. | July – September 2012 |

| | | |
|---|---|---|
| Victor Valverth | Assist the PTI in: (1) Developing proposals to improve dynamics of parliamentary sessions, specifically regarding the voting system, as well as (2) Developing an Information Management Manual in order to increase the transparency and effectiveness of the Institution. | July – September 2012 |
| Eva Sazo | Assist the PTI in developing instructional manuals regarding: (1) the preparation of grant proposals, and (2) administrative-financial management of sub-awards according to USAIDs regulations. | July – September 2012 |
| Justo Pérez | Assist Acción Ciudadana in the design, and implementation of advocacy / incidence activities regarding AC / CONAREP proposal for the reform of the Elections and Political Parties Law, specifically regarding political party finance, audit and control. | July – September 2012 |
| Luis Fernandez | Assist Congress Representative, Nineth Montenegro in the development and revision of proposals to modify the charter legislation for the National Congress and reforms to the Civil Service Act, as necessary. The consultant will be in charge of emitting legal opinion with emphasis in Labor perspective. | July – September 2012 |
| Roberto Rorhmoser | Assist Congress Representative, Nineth Montenegro in the development and revision of proposals to modify the charter legislation for the National Congress and reforms to the Civil Service Act, as necessary. The consultant will be in charge of emitting legal opinion with emphasis in Constitutional perspective. | July – September 2012 |

| Mauricio Benard | Assist the PTI in providing technical assistance to the Legislative. Specifically, Mr. Bernard will facilitate processes and activities carried out within the Legislative, including but not limited to motivate and improve conditions for legislative production, as well as for the development and implementation of transparency and anticorruption measures that strengthen the institution. | July – September 2012 |

## 6.2    SHORT-TERM TECHNICAL ASSISTANCE (USN CONSULTANT)

| Consultant/Specialist | Description of Consultancy/Technical Assistance | Date |
|---|---|---|
| Marcus Catsam | Assist the PTI (Transparency and Integrity Project) in fulfilling approved Monitoring and Evaluation Plan, and contractual monitoring and evaluation reporting obligations | December 2011 – December 2012 |
| Rene Fonseca Borja | To provide strategic direction, training and assistance to the development fraud detection investigations, keeping in mind best international practices and applying them to national regulations, in order to improve the ability to detect corruption. | December 2011 – December 2012 |

## 6.0 SHORT-TERM TECHNICAL ASSISTANCE / INTERNATIONAL SUBCONTRACTS (CONSULTANTS)

| Consultant/Specialist | Description of Consultancy/Technical Assistance | Date |
|---|---|---|
| Juan Carlos Casanueva | Assist the PTI in the design and implementation of a training program directed to Civil Society Organizations with the objective of increasing their knowledge and skills to use the new information and communication technologies (ICTs) as a tool and channel for the promotion and dissemination of Transparency and Anticorruption advocacy initiatives. | July – September 2012 |
| Matías Ponce | Assist the PTI in the design and implementation of a training program directed to Civil Society Organizations with the objective of increasing their knowledge and skills to develop strategic communications plans. | July – September 2012 |

## 6.4    SHORT-TERM TECHNICAL ASSISTANCE (HOME OFFICE)

| Consultant/Specialist | Description of Consultancy/Technical Assistance | Date |
|---|---|---|
| Alexandra Forrester | Acting DCOP until the new DCOP and Financial Manager can be hired and assist in the overall staffing transition. | September 24 – 30, 2012 |

# 7.0 MONITORING AND EVALUATION EFFORTS

**SUB IR 2.1:** Citizens better informed and capable to oversee and fight against corruption

**Indicator:** Number of concrete changes in government processes resulting from social audit activities.

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | **Target** | **Actual** | |
| 0 (2009) | 5 | 5 | 0 |

TPI achieved the target for this indicator in FY12.

1] The Human Rights Commission of the Guatemalan Congress applies the principles of public transparency in the selection of the Guatemalan Human Rights Ombudsman (PDH, in Spanish) *[1 change]*

Between March and June, PTI supported Movimiento Pro Justicia to conduct advocacy activities in support of a transparent selection process for Guatemala's new Human Rights Ombudsman (PDH). MPJ accompanied the Congressional Human Rights Commission in all of its meetings leading up the selection process and provided them with 4 documents to support the selection process: (1) List of Key competencies / job description for the ideal candidate for the Human Rights Commissioner position (including items included in the Constitution as well as additional points): Expertise in human rights, constitutional law and Public Administration, recognized professional ethics, recognized professionalism, minimum academic and professional qualifications, administrative competency, leadership, information management capacity, record of operational excellency and high-level communication skills; (2) Proposed evaluation criteria and scale (based on the criteria described above); (3) Interview Guide and interview evaluation tool; and (4) Proposed instrument to evaluate the work plan of the selected candidate. MPJ also undertook strategic communication campaigns (on radio and television) as well as development and public distribution of analytical documents meant to inform the general public and exert pressure on the Congressional plenary to make their final selection in as transparent a manner as possible. Congress ultimately selected Jorge de León Duque as the new PDH. The other candidates- José Córdova and Elizabeth Palencia- each received 13 votes. In comparison with past selection process, this selection process was considered to be much more transparent than previous processes. The changes law in the Law on Selection Processes (passed in 2009 with support from MPJ) enabled civil society to get involved in the selection process because now the Human Rights Commission is required by law to allow civil society into their sessions and to participate actively in the process. This platform enabled civil society to get more involved in the selection process.

2] Creation of the technical working group in the National Commission for Transparency of the Guatemalan Congress (CENT) *[1 change]*

In November 2011, PTI provided CEG with a donation of $28,400.99 to promote and advocate for a transparency-focused legislative agenda. Within the framework of the agreement with PTI, CEG provided

two training sessions for new members of Congress: (1)"Transparency, Anti-Corruption, International Recommendations and the Pending Legislative Agenda" on February 1, with the participation of 11 congress people and 13 advisors from across 8 political parties (PATRIOTA, UNE, CREO, PAN, WINAQ, EG, LIDER e Independents); and (2) "Parliamentary Functions for Transparency and Administrative Control: Oversight Institutions and the Role of Legislators" on February 29, with the participation of seven Congressional representatives and 15 congressional advisors. Through the donation CEG also provided technical assistance to the National Commission for Transparency of the Guatemalan Congress (CENT) in the promotion of the legislative agenda in favor of transparency and anti-corruption efforts, including the promotion and creation of the *technical working group* of the CENT to support the legislative agenda for anti-corruption and transparency efforts. The working group makes an important contribution to legislative efforts. First, the working group brings together all the congressional advisors of the members of the CENT, representatives from PTI, CEG and other CSOs to generate dialogue and consensus. Second, given that most of the members of the CENT are new representatives to Congress, the working group was a good opportunity to bring them up to speed on prior progress and challenges in the transparency legislative agenda.

3] The Board of Directors of the National Institute of Forensic Science (INACIF) applies the principles of transparency and objectivity in the selection of the new INACIF Director *[1 change]*

Within the framework of the social audit of the selection process of the INACIF Director conducted by MPJ between March and July, MPJ conducted several advocacy activities, including: (1) the development of an advocacy plan to support greater transparency in the selection process; (2) the design of technical inputs for the INACIF Board of Directors, including: the ideal professional requirements of the Director position, a scale and grading system for rating candidates (including academic, professional, ethical and personal criteria) and an interview guide linked to the scoring tool; (3) participation in all meetings and public forums regarding the selection process in order to provide written monitoring reports for dissemination to the media; (4) public awareness campaigns regarding the process and outcomes via their webpage as well as through social media such as Facebook. MPJ played an important role in the selection process, as the majority of their inputs were used in the selection process (especially the interview guide and scoring tool). This process was the first time that the INACIF Director has been selected through a transparent and public process.

4] Reform to the Law on Selection Committees is presented as a bill before Congress *[1 change]*

During the last three years, MPJ has played an active role in the legislative reform process. With support from PTI, MPJ has monitored several high-level appointment and selection processes (Constitutional Court, Attorney General, Comptroller General and the INACIF Director). These efforts provided the opportunity to identify several existing gaps in the current law regarding selection process for government appointees. Within this context, MPJ worked with Congresswoman Nineth Montenegro (from the Encuentro por Guatemala political party) to present a proposal to improve selection processes and make them more transparent and public. Congresswoman Montenegro subsequently presented the reforms as a bill before the Guatemalan Congress (Bill 4471). The most salient aspects of the proposed modifications address the following issues: (a) conflict of interest, (b) committee member no-shows during the process, (c) campaign finance, (d) application deadlines, (e) qualification descriptions, and (f) social auditing. MPJ also developed an advocacy agenda regarding the proposed reforms, through which they identified key "allies" and champions within the Congress, conducted consultations with members of past selection committees to document best practices, and developed a communications strategy. As part of this process, MPJ sponsored a public forum on July 27 to discuss the most relevant/pressing aspects of the legal reform bill.

5] Reform proposals to the Organic Law of the Legislative (LOL) Body were presented as a bill before the Guatemalan Congress *[1 change]*

Within the framework of the donation that PTI provided for Accion Ciudadana to conduct social audtis of the human resource process within the Congress, AC provided technical inputs for a proposal to reform the LOL and Civil Service Law of the Legislative Branch (LSCOL). To achieve this, AC sponsored two working

sessions (6 and 13 July) to encourage dialogue regarding legislative reforms. AC hired two consultants to present both a situation analysis of current human resource management practices in the Congress and a reform proposal to the LOL and LSCOL. Using the inputs from these work sessions, Acción Ciudadana finalized the proposals, which were subsequently discussed and agreed upon in two additional work sessions (16 and 20 July). Congressional representatives Nineth Montenegro, Christian Boussinot, Gudy Rivera, Oscar Chinchilla, Graciela Aquino, Baudilio Hichos, Estuardo Galdámez, Luis Pedro Álvarez, Manuel Barquín y Héctor Lira presented the bill formally on September 4th as bill 4541. If approved, this law will increase efficiency and improve human resource management functions in Congress by establishing a clear separation between administrative and political functions. This will also increase transparency in human resources management in Congress.

**LLR 2.1.1**: **Increase and strengthen participation of Civil Society Organizations in watchdog and social auditing activities and oversight of public resources and functions of public authorities**

**Indicator:** Number of Social Auditing Activities carried out with project support

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 5 | 5 | 0 |

PTI achieved the target for this indicator in FY12.

1] Report of the MESISIC Committee of Experts *(1 social auditing activity)*

Starting from the very first round of evaluations, Acción Ciudadana has led the independent civil society evaluation process of the MESISIC in Guatemala, completing independent reports in the first round in 2005, in the second round in 2008 and in the third round 2010. During the nineteenth meeting of the Committee of Experts, Guatemala volunteered to submit to a fourth round evaluation. Given Acción Ciudadana's previous experience as well as the organization's capacity to lead participatory processes and establish consensus among civil society actors, PTI supported their leadership of the fourth round evaluation through a donation of Q. 151,463.23 (approximately $20,000). In early December 2011, Acción Ciudadana brought together five civil society organizations[12] to analyze Guatemala's progress on the ICAC based on the methodology established by the MESICIC Secretariat. These organizations were selected because they expressed interest in participating in the independent reporting process. Partners conducted an "audit" of key government oversight agencies based on their importance in anti-corruption efforts, including the Comptroller General's Office, The Guatemalan Congress, the Anti-Corruption Prosecution Office of the Attorney General and the Tax Superintendent's Office. Acción Ciudadana compiled the results of the evaluation of recommendations in a report that was validated by civil society partners. Acción Ciudadana shared the results of the evaluation with the government offices included in the evaluation and presented the results in a public forum, to which civil society, civil servants, communication media, the international community and citizens were invited.

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[12] Centro de Estudios de Guatemala CEG; Fundación Myrna Mack y la Red Nacional por la Integridad; Grupo de Apoyo Mutuo (GAM) and Guatemala Visible.

2] <u>Social Audit of the Human Rights Commission and the Plenary of the Guatemalan Congress in the selection of the new Human Rights Commissioner</u> *(1 social auditing activity)*

The Human Rights Commissioner is a position established by the Guatemalan Congress to defend the Human Rights established in the Universal Declaration of Human Rights as well as other International Human Rights instruments ratified and signed by the Government of Guatemala. To support the process of selection of the new Ombudsman PTI provided a grant of US$64,001.80 to MPJ to conduct advocacy to ensure transparency, integrity and public awareness as guiding principles in the selection of the Human Rights Ombudsman (PDH). Between March and June 2012 Movimiento Pro Justicia, conducted a social audit of the selection process of the PDH as well as advocacy to ensure application of the principles of transparency, including the design and implementation of a communication strategy. MPJ provided the Congressional Human Rights Commission with a copy of the ideal profile of the PDH, an interview guide and evaluation instrument to support transparency and integrity in the selection process. To promote public transparency in the selection process, MPJ also sponsored three public dialogues, wrote three analytical bulletins and used social media platforms to communicate with the public.

3] <u>Social Audit of the selection process for the Director of the National Institute of Forensic Science (INACIF)</u> *[1 social auditing activity]*

INACIF was established in September 2006 to ensure that the state had the capacity to identify and use valid evidence in judicial proceedings based on state-of-the-art technical, scientific and criminal investigation methods. INACIF began operations in July 2007. The law that regulates INACIF establishes that the Board of Directors is responsible for selecting the institution's Director for a five-year term with the option of one reelection period. The Board is made up of the President of the Supreme Court, The Minister of the Interior, the Attorney General, the Director of the Institute of Public Defense, President of the National Medical Board, President of the Chemical and Pharmaceutical Board and the President of the Guatemalan Bar Association. To ensure compliance with the Law on Selection Committees, PTI provided FADS (Movimiento Pro Justicia)[13] with a donation of US$64,001.80 to conduct advocacy to ensure transparency, integrity and public awareness in the selection of the INACIF Director. MPJ worked closely with the Board of Directors to raise their consciousness regarding the importance of a transparent selection process. MPJ also provided technical inputs to the Board to support the selection process (ideal profile of the Director, interview guide and scoring/ranking instrument). Subsequently the Board adopted the interview guide and scoring instrument as key inputs in the selection process. MPJ accompanied the selection process through public monitoring and use of their webpage and social networks such as Facebook. After using the instruments provided by MPJ, the Board of Directors selected Doctor Jorge Nery Cabrera Cabrera as the new Director of INACIF. He assumed the post on July 18, 2012.

4] <u>Finalization of the Guatemalan portion of the Latin American Budget Transparency Index</u> *[1 social auditing activity]*

The Latin American Budget Transparency Index is an instrument used to measure the degree of transparency in national public spending and facilitates comparisons between countries over time. It updates existing knowledge on the budget process and the importance of transparency in this field, and identifies specific budget areas with less transparency so that governments can work toward concrete solutions. PTI provided a donation of $64,001.80 to the Centro de Investigaciones Económicas Nacionales (CIEN) in August to complete Guatemala's portion of the Index. The project was part of a regional initiative coordinated by the Mexican organization FUNDAR, in which CSOs from Venezuela, Mexico, Ecuador, Costa Rica and

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[13] FADS is the institution that provides administrative, financial, and managerial cohesion to Movimiento Projusticia (Pro-Justice Movement- MPJ). The organizations in the MPJ alliance are: Myrna Mack Foundation, FADS-- Asociación de Familiares y Amigos contra la Delicuencia y el Secuestro (Association of Families and Friends Against Crime and Kidnapping), and Agrupacion de Madres Angustiadas (Anguished Mothers Group).

Guatemala participated. Through the donation, CIEN completed quantitative analysis of budget transparency[14], formulated concrete recommendations to improve budget transparency and conducted advocacy to ensure adoption of the recommendations by relevant Guatemalan institutions. In 2011 Guatemala scored 44 out of a possible 100 points, a fact that puts Guatemala significantly below the minimum requirement for a passing score of at least 60 points. In comparison with other Latin American countries, Guatemala ranked next to last, surpassing only Venezuela (22 points). Guatemala´s score has remained at the same level since the previous evaluation in 2009. Guatemala´s highest scores for the Index were for the variables assessing: public information access; reliability and quality of budget information, and local government responsibilities. The lowest scores were on the variables assessing: internal audit evaluation; spending impact and performance evaluations; budget control processes, and the presentation of timely information. CIEN used these findings to generate dialogue and reflection and to promote concrete actions to improve transparency in public budgeting. CIEN's work under the PTI donation had an important impact because: (1) it was used by the SECYT; (2) it was widely discussed in the media; and (3) it was used to establish concrete recommendations for follow-up through working groups.

5] Social Audit of the human resource management process in the national Congress *[1 social auditing activity]*

A strong civil service system is a key pillar of a functioning state. In Guatemala the civil service system is obsolete, and this has facilitated its systematic abuse, undermining the development and legitimacy of Guatemala's incipient democracy. As a result of gaps in the system, public servants have been able to use the civil service system to extract personal gain through political favor and nepotism. As a result, the number of people who work in Congress has increased year after year, as political favor leads to indiscriminate hiring of advisors and other support staff. This has led to exorbitant salary and honorarium costs. Within this context the President of the Congress requested support from Nineth Montenegro (Second Vice president of the Congress) to support increased transparency in human resource management within the National Congress. To support this process, representative Montenegro requested help from Acción Ciudadana. In May 2012, PTI provided AC with a grant of $93,377.79 to conduct a social audit of current human resource practices in the National Congress and to establish concrete proposals for improvement. As a result of the donation, AC provided key inputs for a proposal for reform of the Organic Law of the Legislative Branch (LOL) and the Civil Service Law of the Legislative Branch (LSCOL), which was subsequently presented before Congress. (See description under SubIR2.1 for more details regarding the concrete results of the social auditing process.) Finally, AC developed an advocacy strategy to support approval of the LOL and LSCOL.

**Indicator:** Number of civil society organizations receiving USG assistance engaged in advocacy interventions

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
| --- | --- | --- | --- |
| | Target | Actual | |
| 0 [2011] | 3 | 6 | +3 |

PTI *surpassed* the target for this indicator in FY12

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[14] The quantitative methodology was standardardized across participating countries to ensure comparability across the region.

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1] <u>Support to Acción Ciudadana (on behalf of CONAREP) for advocacy regarding political party finance and oversight reform</u> *[1 CSO]*

Beginning in May of this year the Commission on Electoral Issues (CEAE) sponsored 4 public forums aimed at opening space for civil society to express concerns and proposals regarding the electoral process. Although the activity opened an important space for civil society actors, the focus was limited to civil society actors within Guatemala City and did not include the Supreme Electoral Tribunal, the key actor in organizing and ensuring free and fair elections. Therefore, to contribute to a wider consultation process, PTI decided to open the dialogue process to civil society at the local and regional levels and encouraged the TSE to provide concrete reform proposals based on its recent experience in the elections of 2011. To achieve this aim, PTI provided Acción Ciudadana with a donation of $13,729.04 to share the inputs from the forums conducted by CEAE and to present and validate clear reform proposals across five regions of the country. With PTI support, AC conducted five forums, bringing together 221 people, 90 CSOs and 5 media organizations across five departments. Acción Ciudadana took on this task on behalf of CONAREP, a consortium of over 20 CSOs.[15] Once the dialogue process was complete, AC compiled the results of the experience and submitted it to the CEAE so that they gain an increased understanding of civil society concerns regarding the electoral process (and outcomes) from across a wider swath of the country. On September 26, CONAREP also held a press conference to share its position regarding LEPP, its interest in seeing the process move forward as quickly as possible, and to demand that the CEAE take the concerns of civil society into account as the reform process moves forward.

**Table 1: Departments, CSOs and people**

| Department | No. of people | No. of Organizations |
| --- | --- | --- |
| Chiquimula | 46 | 12 CSOs |
| Coban | 52 | 17 CSOs |
| Huehuetenango | 37 | 12 CSOs<br><br>2 medios |
| Retalhuleu | 34 | 16 CSOs<br><br>3 medios |
| Peten | 52 | 15 CSOs |

2] <u>Support for the Rafael Landívar University (in representation of the URL-ASIES-USAC Consortium) to conduct advocacy regarding electoral reform and the role of the TSE</u> *[1 CSO]*

The Rafael Landivar University (URL), the University of San Carlos (USAC) and the Association of Investigation and Social Studies (ASIES) work in consortium to strengthen the political-electoral apparatus to achieve open and transparent electoral reform. The consortium has signed a memorandum of understanding (MoU) with the TSE in this regard. PTI provided URL with a donation of $6339.87 to promote dialogue between civil society and Guatemala's political/electoral institutions. Through this activity, URL seeks to establish healthy debate regarding political party financing and oversight. In this vein, URL supported two public forums: (1) *"How to look for effectiveness in Political Party Financing"; and "Optimization of control and oversight of political parties."*

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[15] CONAREP includes the Latin American School of Social Sciences (FLASCO), the Central American Institute for Political Studies (INCEP), the Association for Development, Organization and Social Studies (DOSES) the Central American Institute for Social Democratic Research (DEMOS), the National Network for Maya Youth Organizations (RENOJ), the More Women, Better Politics Organization and the 212 Group. One of its prime objectives is to promote effective oversight of political party financing during the campaign cycle as well as in periods of routine political activity.

3] Support for the Instituto Centroamericano de Estudios Fiscales (ICEFI) in the presentation regarding fiscal transparency in Guatemala *[1 CSO]*

ICEFI submitted a proposal for project support for events to raise awareness and conduct advocacy in support of fiscal transparency. ICEFI is a research center specializing in fiscal policy in Central America, both at the individual country level, as well as at the regional level. ICEFI produces analysis, publications and technical studies and carries out its work independent of current political administrations, partisan politics and free of the influence of any other organization. The Institute also offers consultancies and training programs on fiscal policy for the legislative and executive branches, as well as for political and social organizations operating in the region. As part of a comprehensive and long-term approach, ICEFI encourages public debate and reflection on fiscal matters and seeks to build consensus and reach agreements that will contribute to more equitable states and societies that are democratic and prosperous. ICEFI publishes reports every six months that contribute to public awareness and provide recommendations to improve ongoing research regarding public administration and finances. ICEFI requested support to complete and publish an assessment report corresponding to the period of July through December 2011 and the first quarter of 2012. PTI provided ICEFI with a donation of $3,500 to develop the assessment report and to conduct several public forums (regarding the law for institutional strengthening for increased transparency in public expenditure; the reform of banking secrecy regulations to support improved tax policy; and analysis of the 2013 budget). Through these activities ICEFI facilitated broad discussion and analysis among students, academics, civil society, Congressional representatives and their advisors and the media. These activities facilitated the exchange of ideas that will support greater awareness (and potential social auditing) of the 2013 budget.

4] Support to Acción Ciudadana in advocacy activities geared toward reforming human resources management practices in the national Congress. *[1 CSO]*

See the description AC's activities to audit and support reforms of the LOL and LSCOL under "number of social auditing activities" and "number of concrete changes," both described above.

5] Support to the Center for National Economic Research (CIEN) for their advocacy for recommended institutional changes resulting from the Latin American Budget Transparency Index *[1 CSO]*

See the description of CIEN activities supported by the project under "number of social auditing activities," above.

6] Support for Movimiento Pro Justicia's (MPJ) advocacy activities in the selection processes of the Human Rights Ombudsman (PDH) and the Director of the National Institute of Forensic Sciences INACIF) *[1 CSO]*

See MPJ's activities to support the selection process of the PDH and the Director of INACIF, described above under "number of social auditing activities" and "number of concrete changes."

**Indicator:** Number of People affiliated with non-governmental organizations receiving USG supported anti-corruption training. (USG FACTS – GJD 2.4 "F" List indicator)

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
| --- | --- | --- | --- |
| | Target | Actual | |
| 1634 (2008) | 700 350W/350M | 562 | -138 |

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PTI achieved the FY12 target at 80%. One of the principal obstacles was that, although 700 people confirmed their participation in training events, only approximately 600 attended, and of these only 562 completed the full training cycle. Details are provided below regarding trainings provided, by CSO.

1] Training on the Law on Access to Information as a tool for social auditing for nine CSOs [*484 people trained: 222 Male; 262 Female*]

This training program targets representatives or members of civil society organizations that have activities focused on promotion of citizen participation through social auditing. This training was

**Table 2: People trained, Law on Access to Information**

| Organization | No. of people | |
|---|---|---|
| | Male | Female |
| Universidad Rafael Landivar (Proyecto Brújula) | 8 | 13 |
| Acción por la Paz | 16 | 8 |
| Comisión de Auditoría Social del Consejo de Desarrollo de Huehuetenango | 32 | 28 |
| Comisión de Fomento Económico, turismo, medio ambiente y recursos naturales | 16 | 1 |
| Consejo Departamental de organizaciones de desarrollo Oxlajujaj | 7 | 11 |
| Fundación Reicken | 14 | 8 |
| Red Nacional por la Integridad | 78 | 102 |
| Red de Mujeres por la Democracia | 0 | 42 |
| Guatecívica | 51 | 49 |
| **Total** | **222** | **262** |

provided to 484 people from across nine civil society organizations. Details regarding the specific organizations and the number of people trained from each are included in Table 2. The training program included three technical sections provided during the course of five hours: Transparency and combatting corruption; social auditing; and access to information as a social auditing tool. The training included group exercises and a final required task that involves completing a request for public information. To evaluate the results of the training session, PTI conducted and pre=and post-evaluation to identify changes in understanding and knowledge over time. On average, all the CSO participants increased their knowledge by approximately 70%.

2] Training for BA students in Communication at the San Carlos University [*41 students- 17 Male; 24 Female*]

The BA in Communications at San Carlos includes a required seminar entitled, "Challenges in Guatemala's Rural Areas." This year part of the seminar focused on the Law on Access to Information as a tool to contribute to rural development. In mid-September, USAC requested support from PTI to conduct sessions regarding the Law on Access to Information. PTI provided training to 41 students as part of the seminar requirement. Participants increased their knowledge, on average, by 81%. Students are then requested as part of their studies to provide training to target populations in rural areas regarding the law



on access to information and social auditing. PTI will provide eventual technical support for these cascaded training efforts as part of the work plan for FY13.

**LLR 2.1.2: Private sector more active and committed with the fight against corruption**

**Indicator:** Number of Activities carried out in alliance with Private Sector entities that promote GoG transparency

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 2 | 1 | -1 |

PTI achieved this indicator at 50% during the reporting period.

1] Discussion of Constitutional Reforms (especially regarding transparency) from the perspective of the business sector *[1 private sector activity]*

In coordination with the Technical Alliance for Technical Support to the Legislative Branch (a consortium made up of private sector actors including (FUNDESA, CIEN, CACIF y Fundación 20/20), PTI supported a series of discussions of Constitutional reforms from a private sector perspective to encourage exchange of ideas and greater understanding of the proposed reforms among private sector actors. This activity included public discussions as well as a public Colloquium on July 10 in which 9 specialists in Constitutional Law provided diverse opinions regarding the proposed reforms. Through the Colloquium PTI supported: (1) the exchange of differing viewpoints between constitutional experts; (2) raise consciousness regarding the reform process; (3) promote discussion regarding the advantages and disadvantages of reform; and (4) increase understanding and capacity for critical reflection among the private sector regarding constitutional reform.

**LLR 2.1.3: Mass media publishes high quality information to control corruption and promote accountability**

**Indicator:** Number of articles / media productions published as result of journalists / media training activities

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 25 | 4 | -21 |

**Table 3: Participants in media training**

| Media | No. of participants | Male | Female |
|---|---|---|---|
| Guatevisión | 6 | 1 | 5 |
| Telediario | 2 | 2 | |
| Canal Antigua | 2 | | 2 |
| Radio Punto | 1 | 1 | |
| Emisoras Unidas | 2 | 2 | |
| el periódico | 5 | 2 | 3 |
| Nuestro Diario | 1 | | 1 |
| Plaza Pública | 6 | 4 | 2 |
| TOTAL | 25 | 11 | 14 |

PTI achieved approximately 20% of this target.

1] <u>Training for journalists in Transparency and Investigative Journalism</u> resulting in *[4 published articles]*

In August, PTI designed and implemented the training course, "Transparency and Investigative Journalism" to (1) increase journalists' knowledge regarding transparency and anti-corruption concepts; and (2) build their capacity to conduct strong investigate reporting. With this new knowledge and capacity journalists will uncover increased cases of corruption. The training includes 4 modules: (1) investigate journalism techniques (provided by the international consultant Giannina Segnini); (2) intensive training in transparency and anti-corruption principles and legal instruments; (3) training regarding "electronic government"; and (4) personalized coaching sessions around the development of individual investigative pieces. As part of the training process, participants committed to complete at least one investigate journalism piece each regarding transparency or anti-corruption related topics. Thirty-one journalists showed interest, of which 25 were accepted into the training program. The details regarding the number of participants by media are included in Table 3. As of this report, participants have completed 4 investigate journalism pieces (2 radio, 2 t.v.), described in Table 4.

**Table 4: Media reports produced**

| No | Name of production | Name of journalist | Communications media | Contents |
|---|---|---|---|---|
| 1 | Practical Guide to obtain public information | Gladys Ramírez | TV/Guatevisión | Exposes the challenges that Guatemala has confronted in complying with the Law on Access to Information and presents the 6 steps required for citizens to request information |
| 2 | Free access to information | Ligia Herrera | TV/ Guatevisión | Use of the Law on Access to Information as a tool for citizens to understand government decisions and to conduct citizen oversight |
| 3 | Denouncements in the Human Rights Ombudsman's Office regarding negative responses to requests for public information | David Alvarado | Radio/ Emisoras Unidas | Describes the number of requests received in 2012 and exposes the state institutions that have not provided information as the law requires. |

| 4 | Public licitations in Guatecompras | Daniel Tzoc | Radio/Emisoras Unidas | Describes the purpose of Guatecompras, including an interview with a government functionary from the Ministry of Finance regarding the use of the system. |
|---|---|---|---|---|

In October, the remaining investigative journalism pieces will be completed.

**SUB IR 2.2: Key Executive Branch Institutions with increased capacity to oversee and implement anti-corruption measures**

**Indicator:** Number of USG-supported anti-corruption measures implemented by the Executive Branch (USG FACTS – GJD 2.4 "F" List indicator / Disaggregated)

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 3 | 3 | 0 |

PTI achieved 100% of the target for this indicator in FY12.

1) Technical and Input Support for the establishment of the Secretariat for Control and Transparency (SCT) *[1 measure]*

In December 2011, Vice-president Roxana Baldetti requested support from PTI to design a Transparency Plan to define a transparency and anti-corruption strategy for the Executive Branch for the 2012-2015 period. PTI provided a grant of Q120, 000.00 that included: (1) Physical space and computer equipment for a period of three months to facilitate development of the plan for a team of 9 people who will form the future team of the Secretariat for Control and Transparency (SCT); (2) TA to develop the plan.

2] Implementation of the Open Government Project *[1 measure]*

On September 19, 2011, Guatemala adopted the declaration of the Open Government Project (OGP), a global effort to promote transparency, empower citizens, fight against corruption and strengthen government through technology. One of the state's commitments is the development of an action plan to ensure compliance, which is meant to describe the actions taken at any given point and define future actions still outstanding to comply with the commitment to OGP. PTI met with the Vice President's office in March to discuss progress on the action plan and to offer support for its completion. GoG delivered the action plan before the OGP in early April. In early July the SECYT requested support from PTI for: (1) the development of a clear follow-up mechanism for the OGP; (2) dissemination of the action plan; and (3) development of a clear timeline for action. PTI designed the TOR for a consultant to assume this task, which was sent to SECYT in July for their review and approval. In August SECYT notified PTI (verbally) that they had hired a consultant (Manuel Chocano) to provide follow-up support for the OGP and that PTI support would no longer be required.

3] Support for the National Transparency Policy *[1 measure]*

In August SECYT requested PTI support in the development of the National Transparency Policy. The development of this policy would represent an important step forward in Guatemala's compliance with article

5 of the UN Convention Against Corruption. PTI developed ToRs for an international expert to support the SECYT in the development of the National Policy. These were shared with and approved by the SECYT's legal advisor in early September. PTI is currently seeking the consultant to support these efforts.

**Indicator:** Number of training days provided to executive branch personnel with USG assistance

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | **Target** | **Actual** | |
| 0 | 150 | 362 | +212 |

PTI surpassed this target in FY12.

1] Training for representatives of government Access to Information Units  *[341 days]*
PTI provided training of a single six-hour day to 341 government representatives of the Access to Information Units of 28 offices of the Executive Branch between June and August. Training included two sessions: (1) transparency and the fight against corruption; and (2) access to public information. The results of these activities are described more fully under the indicator, "Number of UAIs receiving technical assistance from the Project," below

2] Training for representatives of the SECYT regarding International Anti-corruption Treaties *[21 days]*
Training was provided to 21 government employees of the SECYT during a period of six hours (1 full day). The details from this training can be found under the indicator, "Number of GoG officials receiving Project supported anti-corruption training specifically related to areas of intervention derived from International Anti Corruption Treaties" below.

**LLR 2.2.1: Freedom of Information Law widely disseminated and implemented by the Executive Branch and other national institutions**

**Indicator:** Access to Information Index in the Executive Branch

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | **Target** | **Actual** | |
| .52 (2008) | *N/A* | *N/A* | *N/A* |

According to the Program's revised PMP, progress against this indicator will be reported in *FY13*

**Indicator:** Number of UAIs receiving technical assistance from the Project

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
| --- | --- | --- | --- |
| | Target | Actual | |
| 0 (2009) | 5 | 28 | +23 |

PTI *surpassed* this indicator in FY12.

1] <u>Training for personnel from Access to Information Units (UIP) within the Executive Branch</u> *[28 units trained]*

In 2010, PTI designed and began implementing a capacity building program for UIP that included: (1) evaluation of physical infrastructure and administrative functions in 14 UIP: (2) development of software and operating manual for OpenWolf; (3) development of clear process and procedure manuals for each UIP; and (4) training in transparency and anti-corruption, Law on Access to Information, classification of public information, personal data and archiving.

**Table 5: UIPs and number or people trained**

| No. | Institution | No. Trained |
|---|---|---|
| 1 | Secretaría de Ciencia y Tecnología | 6 |
| 2 | Ministerio de Agricultura, Ganadería y Alimentación | 2 |
| 3 | Fondo Nacional de Desarrollo | 1 |
| 4 | Fondo de Desarrollo Indígena | 5 |
| 5 | Ministerio de Economía | 30 |
| 6 | Comisión Presidencial de Derechos Humanos | 31 |
| 7 | Ministerio de Finanzas Públicas | 30 |
| 8 | Ministerio de Gobernación | 30 |
| 9 | Secretaría de Planificación y Programación de la Presidencia | 22 |
| 10 | Ministerio de Energía y Minas | 8 |
| 11 | Ministerio de Comunicaciones, Infraestructura y Vivienda | 12 |
| 12 | Ministerio de la Defensa Nacional | 8 |
| 13 | Secretaria de Asuntos Administrativos y de Seguridad | 9 |
| 14 | Secretaría de Seguridad Alimentaria y Nutricional | 8 |
| 15 | Secretaria de Asuntos Agrarios | 20 |
| 16 | Ministerio de Cultura y Deportes | 17 |
| 17 | Secretaría contra el Alcoholismo, la Drogadicción y el Tráfico Ilícito de Drogas | 2 |
| 18 | Ministerio de Educación | 7 |
| 19 | Ministerio de Salud | 11 |
| 20 | Secretaría para la Paz | 11 |
| 21 | Ministerio de Trabajo y Previsión Social | 10 |
| 22 | Ministerio de Relaciones Exteriores | 18 |
| 23 | Ministerio de Ambiente y de Recursos Naturales | 30 |

| 24 | Secretaría Privada de la Presidencia | 1 |
|----|-------------------------------------|---|
| 25 | Secretaría General de la Presidencia | 1 |
| 26 | Secretaría de Control y Transparencia | 1 |
| 27 | Ministerio de Desarrollo Social | 5 |
| 28 | Vicepresidencia de la República | 4 |

Through that process it was clear that UIPs require ongoing and refresher training. Given this ongoing need, PTI designed a capacity strengthening plan for 2012 focused on reinforcing key concepts from the Law on Access to Information based on case studies. This was particularly salient given the change of government in January 2012, which resulted in changes in the staff of many of the UIPs. The training program focused on two training modules: (1) *Transparency and the fight against corruption*: in this module participants learn how to define, measure and catalogue or classify corrupt acts; they also learn about transparency and the relationship between transparency and access to information; and (2) *Access to Public Information in Guatemala*: in this module participants learn about the Law on Access to Information and its principles.

PTI provided training for 341 government employees across 28 UIPs, detailed in Table 5. According to the pre-and post-evaluations, participants across all units increased their knowledge and understanding by approximately 87% during the training.

The training sessions provided the opportunity for participants to share lessons learned across their respective UIPs. Two key lessons learned include: (1) The National Secretariat of Science and Technology established an Advisory Committee to respond to cases that present particular challenges (e.g., the enlace does not know how to provide the information requested); (2) the Presidential Commission on Human Rights (COPREDEH) designed a procedure manual to properly archive documents from across each unit within the Commission, facilitating greatly the response process.

At the same time, this process allowed participants to identify a practice that should NOT be replicated: (1) The Ministry of Natural Resources and Environment charges Q1.50 for each photocopy and Q1 for the delivery of requested materials in CD. These practices demonstrate a certain degree of resourcefulness on the part of the UIP given that this practice responds to a clear need (e.g., insufficient paper or other resources to enable effective conduct of the UIPs). Nonetheless, the practice potentially goes against the principles behind the Law on Access, which establishes that charges for the reproduction of materials should never exceed the market rate.

The exchange of information during the training also strengthened the overall process by enabling UIPs to exchange and validate their own practices with their peers. For example, the UIP in the Ministry of Social Development was newly formed this year, and through the exchange with other UIPs they were able to quickly adapt operating procedures without requiring additional external support. To support this kind of ongoing collaboration between UIPs, PTI circulated a contact list among the participants so that they can continue to build on one another's experiences without the formal intervention of PTI.

**LLR 2.2.2: A National Anti-corruption Body created and functioning**

**Indicator:** National-level working group / task force formed to lead development and implementation of a National Transparency and Anticorruption Policy / Work Plan

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|:---:|:---:|:---:|:---:|
| | **Target** | **Actual** | |
| No (2009) | YES | YES | 0 |

This indicator was achieved in FY12. Although PTI supported its achievement, it is important to note that the establishment of a national-level task force is outside the direct influence of the project.

1] Publication of Government Accord Number 37-2012 *[Task force formed]*

On Tuesday, February 14, 2012 Government Accord Number 37-2012 was published in the Official Central American Daily, the state legislative daily, officially establishing the creation of the Secretariat for Control and Transparency (SCT). According to the Daily the SCT should "…follow instructions from the Office of the Vice Presidency to ensure control and transparency, implementation of electronic government and guarantee access to public information…" Accord 37-2012 began to function the same day of its publication in the journal. To achieve the consolidation of the SCT, PTI provided physical space, equipment and TA, as mentioned above under SubIR2.2.

**LLR 2.2.3: International Anticorruption Treaties disseminated and implemented by GoG strengthened**

**Indicator:** Number of recommendations of the IACC Committee of Experts addressed by the GoG that are supported by the Project

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|:---:|:---:|:---:|:---:|
| | **Target** | **Actual** | |
| 11 (2008) | 5 | 6 | +1 |

PTI *surpassed* this target in FY12.

1] ICAC Recommendations addressed with project support *[7 recommendations]*

Al of PTI's activities support the GoG's compliance with the MESISIC recommendations. Table 6 details the recommendations that PTI has supported with a description of the specific support provided.

**Table 6: MESISIC Recommendations supported by PTI**

| MESICIC RECOMMENDATIONS SUPPORTED BY PTI | TIPO DE APOYO OFRECIDO |
|---|---|
| Strengthen the implementation of laws and regulatory systems as they relate to the preservation and adequate use of public resources. | PTI supported the Congressional Commissions for Transparency and Constitutional Affairs to encourage approval of the Law of Illicit Enrichment |
| Strengthen oversight mechanisms as they relate to points 1, 2, 4, y 11 of the Convention to ensure efficiency of those controls and provide necessary resources | Support to the Prosecutor's Office for Corruption Crimes |
| Strengthen mechanisms for Access to Information | PTI has provided ongoing capacity building support to 28 UIPs and 341 public employees from within the Executive Branch |
| Strengthen and continue implementing mechanisms to encourage CSOs and NGOs participation in public management and advance the elimination of regulations and norms that discourage or sanction such participation | Through its donations to CSOs PTI has supported the active participation of civil society in government affairs. PTI has also supported over a dozen CSOs through training for social auditing efforts |
| Design and implement training programs for public employees so that they can investigate and prosecute acts of corruption as defined in the Convention and other treaties to which Guatemala is a signatory | PTI has provided training to functionaries in the Office of the Prosecutor Against Corruption of the Attorney General's Office. PTI also trained 75 public officials regarding International Anti-corruption Conventions and treaties during the reporting period |
| Typify as a crime, subject to the Constitution and legal framework, behavior associated with illegal enrichment, which refers to the increase in assets or other benefits beyond what is reasonably expected from his/her stipulated and legitimate salary | PTI support the design and discussion of the Law Against Corruption, which includes illegal enrichment |

**Indicator:** Number of Government Officials receiving Project supported anti-corruption training, specifically related to areas of intervention derived from International Anti-corruption Treaties

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 75 37W/38M | 101 40W/61M | +26 |

PTI surpassed the target for this indicator in FY12.

1] Training regarding International Anti-corruption Conventions for public employees of MEM *[27 people trained*- 12 male; 15 Female*]*

Throughout FY12 PTI provided training to GoG employees regarding International Anti-corruption Treaties. In total, PTI trained XX government officials, providing them an overview of the key International Anti-corruption treaties and highlight Guatemala's commitment to implement them. This training was particularly important for the Public Prosecutor's Office Against Corruption of the Attorney General's Office given the role of the Attorney General as the key central government authority for the UN Convention Against Corruption. Likewise, this training was important for the SECYT, as the agency responsible for oversight of the MESISIC process in Guatemala. On average, participants in the training events increased their knowledge of the relevant conventions by 70%.

**Table 7: GoG Officials trained in Conventions**

| Institution | No. of Participants | |
|---|---|---|
| | Male | Female |
| Ministry of Energy and Mines | 12 | 15 |
| Training for freshman congressional representatives | 16 | 5 |
| Public Prosecutor's office Against Corruption | 21 | 11 |
| SEYCT | 12 | 9 |

**LLR 2.2.4: Mechanisms to pursue allegations of corruption established and working in key GoG institutions**

**Indicator:** Number of existing mechanisms (units) that pursue administrative felonies and allegations of corruption that receive Project technical assistance

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 1 | 1 | 0 |

PTI achieved the target for this indicator in FY12

1] Support for establishment of the Office for Customer Service and Follow up within the Secretariat for Oversight and Transparency (SECYT) *[1 measure]*

Shortly after its formation, the SECYT establishes the Office for Customer Service and Follow-up tasks with the reception and follow-up of cases of corruption from within public institutions. PTI met with the SECYT since its inception with the intent of providing support for its institutional objectives. As a result of high staff turnover during tis first few months of operations, PTI did not enter an agreement with the SECYT until August, at which point PTI entered into an agreement with SECYT to provide a consultant to: (1) develop a detailed "how-to" guide to provide public employees (who have the legal responsibility to denounce acts of corruption) with a clear protocol regarding how to report alleged corrupt acts within the legal framework in Guatemala; (2) develop a guide detailing SECYT procedures for dealing with such reports; (3) develop a document outlining the parameters of SECYT follow-up regarding alleged acts of corruption within the Executive branch; (4) train a maximum of 50 public employees (identified by SECYT) on the contents of the "how-to" guide; and (5) train employees of the SECYT on the process to receive, process and follow-up on reported cases of corruption.

Unfortunately, SECYT later declined the support from PTI out of frustration with the length and cumbersome nature of PTI's administrative processes. As a result of this process- and to facilitate more rapid response to future requests and establish a binding commitment between PTI and the SECYT- PTI will look to sign a general memorandum of understanding with SECYT in FY13. This will enable PTI to mobilize resources more quickly and will ensure that both parties keep commitments made.

**SUB IR 2.3: A more active role of Key Oversight Entities promoted**

**Indicator:** Number of USG-supported anti-corruption measures implemented by Key Oversight Entities (USG FACTS – GJD 2.4 "F" List indicator / Disaggregated)

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| 0 (2009) | 3 | 2 | -1 |

 PTI achieved 66% of this target in FY12.

1] <u>PTI support for the formation of the Technology Committee of the National Congress</u> *[1 measure]*

The electronic voting system in Congress exists to facilitate quorum and vote tallies through a system that registers Congressional votes automatically with the push of a button. Unfortunately, the electronic system has been plagued with both technical and cultural challenges from the beginning which have been extremely disruptive to the legislative process (e.g., the system fails, some Congressional representatives resisted the system as a "big brother" tactic, and finally- after getting buy-in and establishing a clear legal framework for its use- the system is 11 years old, making the technology obsolete, especially after 6 years of use). To address these challenges Congressional leadership council requested a diagnostic assessment of the system. PTI hired a consultant (María Mercedes Zaghi) to conduct the diagnostic and present the findings and recommendations to Congressional leadership. One of the key recommendations was the development of a phased technology plan on the short, medium and long-term. (PTI will hire the consultants to develop the plan). As a result of the diagnostic assessment and recommendations, Congressional leaders formed an administrative Technology Committee to provide follow-up and oversight of the recommendation provided. This committee will report to the Congressional leadership council and provide periodic reports to the plenary of Congress regarding progress. PTI will continue to provide support to put pressure on Congress and to ensure follow-up. This will be especially important given the presumed challenges that this process will confront, including resistance from members of Congress and Congressional IT staff.


2] <u>Training in criminal investigation of corruption cases in the public sphere for the Office of the Public Prosecutor Against Corruption</u> *[1 measure]*

PTI designed and implemented a standard training program to ensure minimum competencies among all staff within the Office of the Public Prosecutor Against Corruption of the Attorney General's Office. This training program represents an anti-corruption measure. Initially the Attorney General's Office had requested a diagnostic assessment of the overall capacity of the Office of the Public Prosecutor Against Corruption, but later changed their mind and requested that PTI used an existing assessment to design the course. However, because the quality of that assessment was extremely poor (the diagnostic measured the complexity of cases based on the thickness of case folders in the filing cabinet!) PTI designed the course to ensure that participants provided key inputs that could later be used to dig deeper into key themes. The

training included the following topics: (1) International Anti-corruption Conventions; (2) applied criminal investigation methodologies; (3) Government oversight norms and standards; (4) Forensic auditing; (5) Criminal theory applied to cases of crimes committed by government employees; and (5); theory of proof.

Through this process thirty people were trained in a process that lasted three months.

**LLR 2.3.1: Regulatory framework and ad hoc legislation to combat corruption is promoted by the Congress in performing its oversight role**

**Indicator:** Number of transparency / anticorruption bills promoted by Congress receiving Project assistance

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | **Target** | **Actual** | |
| 1 (2009) | 4 | 4 | 0 |

PTI *achieved the target* for this indicator in FY12.

In Guatemala the Executive Branch is currently promoting a package of transparency initiatives, which were submitted to Congress in March and were sent to the relevant commissions for review. Within this context, PTI provided support for 4 law initiatives, described below.

1] Organic Law on Budgets /Initiatives 4461 y 4462 *[1 law initiative]*

The law initiatives 4461 and 4462 include reforms to the Organic Law on Budget, the Law on the Comptroller General and Taxation Oversight as well as the Law on the National Information, Statistics and Geography System. The law focuses largely on public spending performance. PTI supported the Congressional Probity Commission with the organization of an event to which state institutions with an interest in discussing budget matters (e.g., Institute for Municipal Development and other Ministries) participated to discuss the bill at length. PTI also provided discrete technical inputs during the conversation. (During this conversation, the president of the Probity Commission proposed the creation of a Law to regulate Public Trusts, discussions, which are ongoing.) The budget initiative has recently stalled as a result of the prioritization of other bills, such as Constitutional Reform and Illegal Enrichment.

2] Law on Public Trusts *[1 law initiative]*

As mentioned above, with the introduction of Initiatives 4461 and 4462 discussions regarding the creation of a Law Regulating Public Trusts begin. In Guatemala there are at least 75 public trusts. As a result of the current legal/regulatory structure for public trusts in Guatemala, they are not subject to state oversight.[16] Given this loophole, public trusts are often used to channel money for the specific purpose of avoiding state oversight. The Law on Public Trusts seeks to remedy this situation by making them subject to state control and oversight. PTI supported these efforts by sponsoring a series of meetings of the Congressional committees for Legislation and Constitutional Affairs and Taxation. Discussions regarding the initiative have recently stalled as a result of the prioritization of other bills, such as Constitutional Reform and Illegal Enrichment.

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[16] Public trusts are not overseen by the Comptroller General's Office like other public funds; instead. they are subject to oversight by the Superintendent of Banks

**3]** <u>Law on State Contracts</u> *[1 law initiative]*

Initiatives 4461 and 4462 include reforms to the Law on State Contracts. By some estimates, reforms to the Law on State Contracts would resolve 95% of state-sponsored corruption as under the current model state contracts are often issued to pay political favor (e.g., in return for financing a political campaign, a given vendor gets juicy state contracts). In this context, PTI provided support for public meetings of the Congressional Committees for Legislation & Constitutional Affairs and the Committee for Taxation to discuss the initiative. During the meeting, the discussions focused around ensuring transparent contracting processes and that only qualified vendors receive state issued contracts. One part of the conversation focused on the use of the existing Guatecompras platform to both issue public announcements and receive and adjudicate offers, eliminating the potential bias and influence of public employees.

**4]** <u>Criminal Law on Illicit Enrichment</u> *[1 law initiative]*

Initiatives 4461 and 4462 also include the creation of a Law on Illicit Enrichment. One of the clear objectives of this law is to strengthen the Comptroller General's Office. PTI supported the Congressional Committee for Legislation & Constitutional Affairs through multiple work sessions, technical assistance and information sharing with the President of the Committee. PTI also supported CEG with a grant to accompany and monitor the legislative process. This initiative has received significant support (and pressure) from civil society and the international community, and has received a great deal of media coverage over the last several years as a result of its perceived importance for transparency and anti-corruption efforts in Guatemala. The discussion process for this initiative has been delayed as a result of its complexity (e.g., multiple Congressional committees need to participate in review and discussion processes) as well as the prioritization of other points on the legislative agenda, such as Constitutional reform and the law on electoral politics and political parties.

**LLR 2.3.2: Mechanisms to pursue corruption cases are established and functioning in the Anticorruption Unit of the Attorney General Office**

**Indicator:** Number of executed arrest warrants in corruption related cases increases

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | **Target** | **Actual** | |
| 15 (2009) | 60 | 4 | -56 |

Although PTI has contributed to the target, the target was not reached during the reporting period. It is important to note that PTI has virtually no influence over the issuance of arrest warrants on the part of the state.

**1]** <u>Arrest warrants issued for alleged corrupt acts</u> *[4 arrest warrants]*

PTI provided training that supported improved criminal investigation (*described under "Number of USG-supported anti-corruption measures implemented by Key Oversight Entities" above*). In this sense, PTI plays a role in improving overall competencies and practices within Office of the Public Prosecutor Against Corruption of the Attorney General's Office as the integrity and quality of the information helps build a case against the alleged perpetrators of corrupt acts and has an impact (theoretically) on whether the presiding judge in each case decides to issue an arrest warrant or not. The training provided by PTI was particularly important this year in that, since the change in government, the Office of the Public Prosecutor Against Corruption has seen turnover of approximately 90% of its staff, making the need for training especially salient.

After completing the training, PTI also provided discrete technical support to staff in the Office of the Public Prosecutor Against Corruption for specific cases and to help overcome bottlenecks. During the period, four arrest warrants were issued, detailed in Table 8.

**Table 8: Arrest Warrants Issued**

| No. | Name of accused | Case ID | Brief description of alleged crime |
|---|---|---|---|
| 1 | Coronel Jorge Eduardo de la Rosa Girón | MP001-2009-151 | Embezzlement and misappropriation of funds |
| 2 | Coronel Mario René Alegría Maldonado | MP001-2009-151 | Embezzlement and misappropriation of funds |
| 3 | Marlon Armando Portomarin De León | MP001-2009-121387 | Use of falsified documents |
| 4 | Jorge Estuardo Cuéllar Hernández | MP001-2009-121443 | Use of falsified documents |

IN FY13, PTI will continue to strengthen the investigation and follow-up capacity of the Office of the Public Prosecutor Against Corruption by support the development of a clear protocol and timeline for follow-up on alleged corruption cases.

**LLR 2.3.3: Comptroller General Improves its performance in selected areas of intervention**

**Indicator:** Percent of cases under investigation or in "open process" with the Public Ministry derived from audits conducted by Controller's Office

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
|---|---|---|---|
| | Target | Actual | |
| *Pending* [2012] | NA | NA | NA |

Given that this indicator was added in the recent PMP modification, in FY12 PTI's target was to establish the baseline. This indicator is a measure of the capacity of the Comptroller General's Office to effectively audit and to ensure that actual cases of corruption can be successfully and efficiently channeled to the Public Ministry for investigation and follow-up. To generate the baseline, PTI used records from the Comptroller General's Office to determine the full number of cases reported to the Attorney Generals' Office. PTI then used records from the Attorney General's Office to understand how many of those alleged cases of corruption were suitable for follow-up. The assumption is that over time, and as the Comptroller General's auditing function improves, an increasing number of cases presented will enter into the formal investigation process. Likewise, over time we should see a lower number of cases dismissed by the Attorney General.

As of this report, PTI has requested data regarding this indicator from the Attorney General's Office and the Comptroller General and has received no response. PTI will ensure provide the follow-up necessary to finalize the baseline prior to the end of the first quarter of FY13. As soon as the data is available the PMP will be updated. Progress against the baseline will be reported at the end of FY13.

**SUB IR 2.4: A more transparent political party financing system established and working**

**Indicator:** Law Initiative for a Political Party Finance Reform

| Baseline Value | Y3 FY12 (Aug. 2011 - Sept 2012) | | VARIANCE |
| --- | --- | --- | --- |
| | Target | Actual | |
| NO [2012] | NO | SI | Achieved prior to planned date |

PTI's current work plan includes continued coordination with other USAID contractors and the international donor community to facilitate and promote dialogue to raise awareness and collect conceptual and methodological inputs to reform the Law on Elections and Political Parties. The Project will provide support for advocacy efforts taken on by CSOs to raise awareness and provide opportunities to publicly debate the proposals, with specific attention on the following: more transparent political party financing and build capacity in the Supreme Electoral Tribunal to improve its role in conducting oversight and imposing sanctions.

# 8.0  SPECIAL REPORTING

## 8.1    ADMINISTRATIVE ISSUES

By the end of September 2012 Miss Lucrecia Asmus resigned effectively on September 30.  PTI conducted a competitive selection process and publish the vacancy in local newspaper Prensa Libre for Deputy Chief of Party. The selection process began at the end of this quarter.

The project´s organizational chart is as follows:
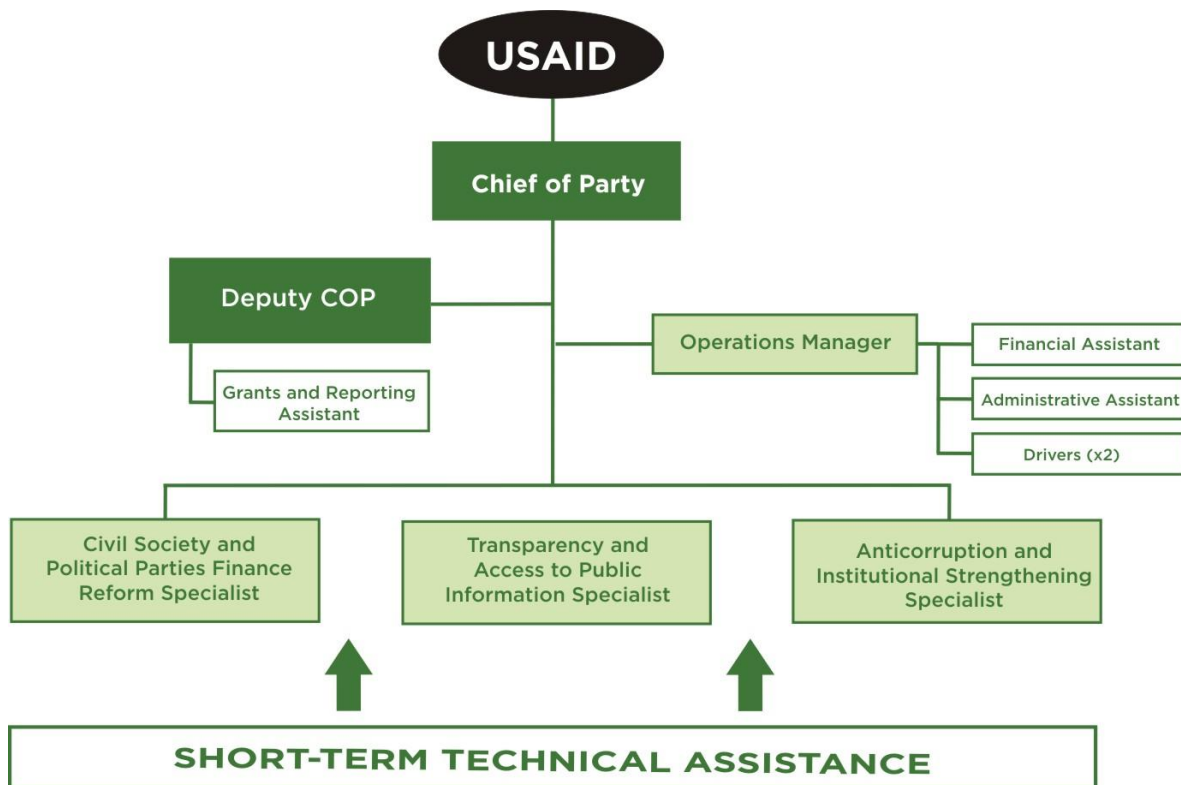


## 8.2    ENVIRONMENTAL REGULATIONS

There will be no impact on the environment under this project. The scope of work of the project is mainly technical assistance and training.

## 8.3 "KEY ISSUES" REPORTING

The PTI has been requested to report on the following three key Issues:

**Anticorruption**

*This Key Issue cuts across all Functional Objectives and relates to activities that discourage corrupt practices by promoting transparency and accountability in the use of public resources and authority. These activities may be carried out in any or all development sectors. Preventive reforms and enforcement measures targeting government (e.g., procurement, financial management, and auditing functions; transparent budgeting and budget tracking; regulatory reform; merit-based civil service reforms and asset declaration for public authorities; freedom of information; transparency in the management of extractive and natural resources; electoral processes and financing issues; anticorruption authorities; and judicial processes), as well as building monitoring, advocacy, and oversight capacity in civil society organizations, legislatures, academia, the press, and the private sector should be included.*

- During this quarter the PTI strengthened to 28 units of Public Information of the executive branch from various Ministries, Departments and National Funds, reaching a total of 340 public officials. The streghtened process was done through training which framed as part of the issues of transparency, anti-corruption and public access to information and the knowledge and implementation of the Law on Access to Public Information, resulting in 87% increase of their knowledge on these issues.

- PTI also held coordination meetings and follow-up technical assistance actions initiated during the previous quarter with the Department of Control and Transparency-SECYT-which resulted in support for the development of a policy of transparency, assistance in the development of two protocols to define the mechanisms to be used for management and monitoring of complaints of alleged corruption in the executive branch, and the implementation of a process of training on international anti-corruption conventions.
- Despite the little progress that the legislature had in passing legislation related to the fight against corruption, supporting it by PTI continuous support and technical assistance in the preparation, discussion and proposals for reforms or amendments to legislation transparency and fighting corruption, mainly as working committees within the Constitutional Legislation, the Specific Electoral Affairs, and Special Revenue Support. It also supported the development of proposals for strengthening the internal processes of the legislative branch by making amendments to the Law on the Agency, Civil Service Law and Procurement Manual, submitted, in the first instance, to the House of Congress as an initiative in early September.
- PTI implemented a training program for officials of the Prosecutor against Corruption Section of Public Prosecutions which strengthened their knowledge and skills related to the investigation of corruption in the public service. As part of this training program, the PTI submitted to the authorities of the Ministry two manuals to be implemented by the Public Prosecutor against Corruption Section related Investigation of Corruption Acts, and Introduction to Forensic Audit and Investigation Mechanism and evidence gathering.
- Complementing the support given to prosecutors, PTI provided technical support to the Auditor General's Office with technical processes to their legal department and by generating coordination and synergy between the two institutions in developing and justification of corruption of public officials. Both supports were part of the Memorandum of Understanding signed in July by this Institution.

<u>Media</u>

*This Key Issue cuts across all Functional Objectives. "Mass Media Outreach Activities" use mass media (newspapers, magazines, radio, television, Internet, text messaging, and/or other media) to disseminate information about any Objective, Program Area, or Program Element (e.g., health or education) typically involving the production of media materials and purchase of broadcast airtime, newspaper column space, and/or web pages. Ideally, media outreach activities may also include some parallel media capacity building (often called 'media as an end' activities) in order to enhance the future self-sustainability of the media message campaign by partner media outlets after funding for the media message campaign comes to an end. Examples of media outreach activities include media campaigns to increase public awareness about HIV/AIDS, Avian Influenza, and/or other diseases (under Program Area 3.1); radio soap operas intended to mitigate tensions among diverse groups after a conflict (under Program Area 1.6) or provide basic information on the rule of law (under Program Area 2.1); and media campaigns to promote gender equity, reduce domestic violence, or combat human trafficking. This Key Issue captures activities focused on media as a means, whereas Program Element 2.4.2 captures activities primarily aimed at strengthening the media as an end.*

- During this quarter the PTI began the process of training by national experts and international expert Giannina Segnini led to 25 journalists from 8 print media, television, radio and virtual media on issues such as investigative journalism, computer assisted journalism, access to public information, open government, transparency legislation and fight against corruption, among others, with the main objective of this training process the publication of 25 ratings and 12 pieces of research linked to cases of corruption, which is characterized by its high research foundation and possible triggering of investigative and judicial processes led by relevant public institutions. During this process ending in November, four journalistic publications have been issued regarding to transparency, the fight against corruption and other issues addressed during the training, which show the work and technical training acquired from the support given by PTI.

<u>Civil Society and Community Mobilization</u>

*This Key Issue cuts across all Functional Objectives and relates to activities aimed at strengthening the capacity of civic groups, community based organizations, professional associations, grassroots organizations, and other non-governmental advocacy groups to contribute to an active civil society, articulate and represent their members' interests and those of the public at large. Activities aim to strengthen citizen participation in public life; provide civic education; enable citizens and civil society to serve as reform advocates, monitor government processes, provide services, and function as anticorruption watchdogs; and increase government accountability to its constituents.*

- During the quarte, the National Economic Investigative Center –CIEN- ended implementation of the grant funded the development PTI Guatemalan chapter of Latin American Index of Budget Transparency 2011. Diring this period CIEN used the results and recommendations of the study to generate a process of discussion and refelction with relevant actors of Guatemalan society, thereby promoting concrete actions to improve transparency in the use of the public budget.

- It also promoted the formation of a work-table with institutions such as the Auditor General-CGC-, Human Rights Procurator-PDH-Control Secretariat and Transparency-SECYT-, Secretariat of Planning and Programming of the Presidency-SEGEPLAN-and the Congress, whose findings were systematized in a document that included recommendations to improve the performance of the internal audit units of SECYT, and the definition of indicators to assess the efficiency of the Secretariat in areas such as finance, human resources, acquisitions, among others.

- Similarly, the Movement for Justice completed the grant provided by the PTI related to monitoring compliance with the Nominating Committees Act regarding the application of the principles of transparency, openness and expertise in the election processes for the Attorney Human Rights-PDH, and the Director of the National Institute of Forensic Science-INACIF. During this quarter the results reported refer to the monitoring conducted in the election of the Director of INACIF who was elected during the month of July. Through the work of the Movement for Justice and for the first time, the technical criteria of openness and transparency contained in the Nominating Committees Act were applied, resulting in a high positive impact on citizen participation on shipping complaints and accusations of candidates nominated. Other activities undertaken during this quarter was the presentation and discussion with key stakeholders of the proposed amendments to the Law on Nominating Committees, with the participation of judges of the Supreme Court, members of the Human Rights Commission of Congress, among others.
- The grant awarded to Citizen Action related to the promotion of a human resource management system for Congress by supporting its Second Vice President, for the quarter ended making delivery to the Board of the Congress of the proposal to reform the Organic Law of the Legislative, its rules and the Civil Service Act, the first of these presented as a bill on September 4. To this, Citizen Action prepared an action plan to implement the proposed reforms, which was transferred to the Second Vice President of Congress.
- The PTI, during the quarter, continued to support advocacy conducted by Civil Society Organizations. Among these is reported the support given to the Central American Institute for Fiscal Studies ICEFI-for-development activities related to the diagnosis of the situation of public finances in Guatemala in 2012, and the evaluation of the proposed 2013 budget. In this framework the ICEFI made several discussion forums on proposed regulation of banking secrecy, the approval of the favorable opinion of the Act to strengthen the institutional framework for the transparency and quality of public expenditure, the review of public spending priorities , among others.
- Other PTI supported incidence actions were the proposals of amendments to the Law on Elections and Political Parties conducted through the National Convergence for political reform-and-CONAREP consortium Rafael Landivar University, University San Carlos de Guatemala, and Social Studies Association-ASIES. Both consortia filing activities conducted at national and regional level resulting in the development of proposals agreed with other social sectors, in which he emphasized the importance of regulating the financing of political parties and strengthening control mechanisms of the Supreme Electoral Tribunal. These proposals were submitted to the Electoral Affairs Commission of the Congress.
- In addition to the above technical support and assistance given by the PTI to advocacy and social audit during this quarter, we developed a training process for 12 Civil Society Organizations Project counterparts, in order to strengthen their capacities in social communication. To that end this quarter, modules were made to develop strategic communication plans and management tools of new technology and information technology, which were made by the consultants Matias Ponce and Juan Manuel Casanueva who are recognized experts in this field.

## 8.4 LIST OF REPORTIS SUBMITTED TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE

The Year Three Annual Work Plan was submitted to the DEC.

# ANNEXES

# ANNEX 1: RECOMMENDATIONS BUDGET TRANSPARENCY

## -CIEN-

# ANNEX 2: RECOMMENDATIONS TO IMPROVE THE PERFORMANCE OF THE INTERNAL AUDIT UNITS -CIEN-

# ANNEX 3: BILL 4471: REFORMS TO THE LAW ON NOMINATIONS COMMITTEES

# ANNEX 4: BILL 4541: PROPOSAL TO REFORM THE CHAPTER LEGISLATION FOR THE LEGISLATIVE BRANCH

# ANNEX 5: PROPOSAL TO REFORM CIVIL SERVICE LEGISLATION FOR CONGRESS

# ANNEX 6: GUATEMALA: FISCAL CHALLENGES FACING THE NEW ADMINISTRATION AND DIAGNOSTIC ASSESMENT OF PUBLICA FINANCES TO MARCH 2012 -ICEFI-

# ANNEX 7: OSC PRESS RELEASE, REQUEST TO CONGRESS TO APPROVE THE ANTI-CORRUPTION BILL

# ANNEX 8: REPORTS FROM JOURNALISTS ON TRANSPARENCY

# ANNEX 9: PTI REQUESTS SERVICES OF A CONSULTING COMPANY. RECOMMENDATIONS TO BUILD INSTITUTIONAL CAPACITY IN MINISTRY OF THE INTERIOR

# ANNEX 10: CONGRESS REQUESTS PTI SUPPORT FOR THE MEETING OF THE SECURITY AND JUSTICE COMMITTEE FOR THE FORUM OF PRESIDENTS OF CONGRESSIONAL BRANCHES IN CENTRAL AMERICA AND THE CARIBBEAN

# ANNEX 11: SPECIAL COMMISSION ON TAX COLLECTION REQUESTS PTI SUPPORT FOR DRAFT NEW LEGISLATION

# ANNEX 12: ARTICLE ILLUSTRATING THE WEAK FINANCIAL REGULATION

# ANNEX 13: DIAGNOSTIC OF THE ELECTRONIC SYSTEM OF CONGRESS

# ANNEX 14: TECHNOLOGY COMMISSION OF CONGRESS

# ANNEX 15: PROPOSALS TO IMPROVE SESSIONS ON THE CONGRESS

# ANNEX 16: TRAINING PLAN FOR THE ANTI-CORRUPTION PROSECUTOR´S UNIT

# ANNEX 17: INTRODUCTION TO FORENSIC AUDITING DOCUMENT

# ANNEX 18: PUBLIC MINISTRY REQUESTS FOR TECHNICAL SUPPORT TO INVESTIGATE AND PROSECUTE FIVE CASES

# ANNEX 19: TECHNICAL ADVANCES IN THE FIRST CASE OF THE ATTORNEY GENERAL

# ANNEX 20: LETTER OF UNDERSTANDING SIGNED TO THE OFFICE OF THE COMPTROLLER GENERAL

# ANNEX 21: OFFICE OF THE COMPTROLLER GENERAL: LIMITS TO THE ADVANCEMENT OF THE LETTER OF UNDERSTANDING

# ANNEX 22: REFORM PROPOSAL FOR POLITICAL PARTY FINANCING

# -ACCION CIUDADANA-

# ANNEX 23: FINANCIAL REPORT: JULY-SEPTEMBER 2012