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UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
Washington, D. C. 20523

GUATEMALA

PROJECT PAPER

DEMOCRATIC INSTITUTIONS

AMENDMENT NUMBER 1

AID/LAC/P-881
CR-881

PROJECT NUMBER: 520-0398

UNCLASSIFIED

PROJECT DATA SHEET

A = Add
 C = Change
 D = Delete

Amendment Number 1

DOCUMENT CODE 3

2. COUNTRY/ENTITY
 Guatemala

4. BUREAU/OFFICE
 Latin American and Caribbean

3. PROJECT NUMBER
520-0398

5. PROJECT TITLE (maximum 40 characters)
 Democratic Institutions

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)
 MM DD YY
09 30 97

7. ESTIMATED DATE OF OBLIGATION
 (Under 'B.' below, enter 1, 2, 3, or 4)

A. Initial FY 90 B. Quarter 4 C. Final FY 93

8. COSTS (\$000 OR EQUIVALENT \$1 = 0.5.00)

A. FUNDING SOURCE	FIRST FY <u>90</u>			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AD Appropriated Total	209	391	600	2,231	3,769	6,000
(Grant)	(209)	(391)	(600)	()	()	(6,000)
(Loan)	()	()	()	()	()	()
Other U.S.	1.					
	2.					
Host Country					7,738	7,238
Other Donor(s)						
TOTALS	209	391	600	2,231	11,007	13,238

9. SCHEDULE OF AID FUNDING (\$000)

A. APPRO- PRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ESF				2,118				6,000	
(2)									
(3)									
(4)									
TOTALS				2,118				6,000	

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code

B. Amount

13. PROJECT PURPOSE (maximum 480 characters)

To institutionalize specific democratic processes in Guatemala by strengthening key democratic institutions and supporting programs oriented to improving public knowledge and attitudes about human rights and democratic practices.

14. SCHEDULED EVALUATIONS

Interim MM YY 03 93 MM YY 06 95 Final MM YY 09 97

15. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 Local Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a page PP Amendment)

This PP Amendment shifts resources primarily by increasing support to the civic education activities of the Office of the Human Rights Ombudsman and decreasing support to the National Congress. Additionally, the planned PACD is being extended by two years.

I certify that the methods of payment and audit plans are in compliance with the payment verification policy.

Gary Byllesby
 Gary Byllesby, Controller

17. APPROVED BY
 Terrence J. Brown
 Mission Director

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
 MM DD YY 12 2 1997

ACTION MEMORANDUM FOR THE MISSION DIRECTOR

Date: September 22, 1992

THROUGH: Stephen Wingert, Deputy Director *SW*
FROM: Tom Delaney, AC/PDSO *TD*
SUBJECT: Democratic Institutions Project Paper Supplement
(520-0398)

ACTION REQUESTED: That you approve the attached PP Supplement and amend the Project Authorization to fully authorize the Project and extend the planned PACD.

BACKGROUND: The subject PP Supplement outlines the reprogramming of Project funds to provide additional support to the Office of the Human Rights Ombudsman (OHRO) and reduce the level of support for the National Congress. A total of \$2.775 million will be obligated in FY 1992, fully funding the Congressional, Human Rights and Education Components of the Project.

DISCUSSION: The PP Supplement was reviewed on 21 September 1992 and approved with the following guidance.

Authorization/Obligation: The Project will be fully authorized (\$6 million) as part of this action. The Project was originally authorized with only ESF funding contemplated. However, amendment no. 2 to the authorization expanded the source of funding to include EHR funding, of which only \$500,000 has been notified to Congress. The authorization may be further expanded to authorize PSEE funding during FY 1993, which - with the appropriate notifications - may allow the remaining mortgage (approximately \$1.04 million) to be bought down entirely with DA resources. The obligation plan as outlined in the PPS is approved. However, if additional funding is required for high-priority activities (e.g., Congress, election observers), funds may be reprogrammed from other components (e.g., Related Studies, Evaluations).

Project Assistance Completion Date: Based on the OHRO's five-year strategy, the PACD will be extended 2 years (from September 30, 1995 to September 30, 1997) to allow full implementation of the civic education activities outlined in the PP Supplement. This extension will also permit completion of Centro ESTNA's 1995 course (by January, 1996), and a third Democratic Indicators Monitoring Survey. A formal end-of-project evaluation will be conducted following the PACD.

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Linkage with other Strategic Objectives: Efforts will be made by the "Basic Education" and "Sustained Exercise of Inalienable Rights" Strategic Objective Teams to coordinate the informal civic education activities financed through this Project and formal education activities managed by the Office of Health and Education. The teams will particularly focus on the potential linkages with Escuela Unitaria, "Spanish as a Second Language" Radio Programs, and PRONEBI.

WAIVERS: You signed a waiver to permit \$471,388 worth of procurements of goods and services from Geographic Code 935 on 20 August 1991. It is anticipated that no other waivers will be necessary during the LOP.

CONGRESSIONAL NOTIFICATION: A technical notification for a total of \$3.0 million was submitted to the Hill on 14 September 1992, and is scheduled to expire on 28 September 1992. The total amount notified to Congress for FY 1992 is \$6.1 million (ESF).

AUTHORITY: Delegation of Authority No. 752 authorizes you to amend project authorizations, if the amendment: 1) does not result in LOP funding of more than \$100 million; 2) does not present significant policy issues; and, 3) does not require waivers from the Administrator of Assistant Administrator.

RECOMMENDATION: That you sign below approving this memo, sign the attached Project Data Sheet approving the PP Supplement, and sign the attached Project Authorization Amendment fully authorizing the Project and extending the PACD.

Cleared by: BAREllano, ODDT
CBrown, PDSO
Sclay, OH&E
GByllesby, CONT

7/25/92
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GRH

9/23/92
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9/25/92

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I. SUMMARY AND RECOMMENDATIONS

A. Summary of Sustained Exercise of Inalienable Rights Strategic Objective

The 1985 Constitution is the first in Guatemala's history that defines the predominant role of the state as that of defender and protector of the rights of individual citizens. During the six-year period since Guatemala's return to representative democracy, two elected presidential administrations have only tentatively assumed this new role, at least in part due to the series of obstacles created by decades of authoritarian rule and civil conflict.

From 1986 to present, the Mission has assisted democratic institutions with technical assistance, commodities, field office strengthening, diagnostic studies, and training. While progress has been made during this period, serious systemic flaws remain and human rights abuses have continued. At the same time, international donor support has become increasingly linked to the Government's performance in protecting the basic human rights of its citizens.

Assuming that the Guatemalan public and private sectors support the legal and institutional reforms required to advance democracy in the country, the Mission continues to finance activities designed to develop institutions, draft and implement legislative reforms, and promote civic participation in governance. The Mission, however, will not take the lead in pushing these measures, but will play a strong supportive role for those people and processes that demonstrate an effective commitment to the consolidation of democracy.

The Mission's strategy includes support for four major processes that will encourage the exercise of rights that are vital to the functioning of democracy: a) the right to life and liberty; b) the right to due process under the law (both with the Office of the Human Rights Ombudsman, the Judicial Branch, and the Attorney General's Office); c) the right to representation (with the Guatemalan Congress); and, d) the right to individual participation and assembly (through civic and human rights education programs and leadership training). In each of these areas, resources will be allocated based on the potential for real impact on specific processes. This Project Paper Supplement (PPS) is a result of this approach.

B. Summary Project Description/Strategy

The goal of the project is to strengthen the commitment by the Government of Guatemala (GOG) and the general population to democracy. The purpose of the project is to institutionalize specific democratic processes in Guatemala. Activities contemplated in the original Project Paper included: a) assistance to the Guatemalan Congress to strengthen its legislative capacity; b) support for the Office of the Human Rights Ombudsman's efforts to track and publicize GOG actions related to human rights abuses; c) support for educational programs intended to improve public knowledge and attitudes regarding human rights and democratic values; d) design and implementation of an indicators monitoring system; and, e) related studies and activities, particularly at a local level.

The Project, as originally designed, lays out a strategic approach to working with each institution. The underlying assumption at the time of the design was that as each of these processes evolved, certain modifications would be required in the structure of the assistance. One institution would possibly emerge as a stronger performer and thus require increased support whereas another might clearly demonstrate less absorptive capability for external resources. The concept of "rolling design" was considered most appropriate for the democratic initiatives area, based on previous experience as well as the Mission's uncertain funding levels.

At the root of this strategic approach was the belief that in an emerging democracy all institutional processes will not be equally strong and dynamic. Since the Mission concluded it would no longer be the initiator of these processes but rather support Guatemalan-initiated and financed endeavors, it was logical that resource availability across components would have to be equally flexible. Based on a periodic analysis of these institutional relationships, funding decisions would have to be made.

The clearest example of this flexible focusing of resources is the process delineated in this Project Paper Supplement. In essence, it is proposed that funds originally programmed to support the Guatemalan Congress be utilized in support of the nationwide human rights education program of the Office of the Human Rights Ombudsman (OHRO). The rationale: in spite of slightly improved

legislative performance, the Congress has not yet reached a level of internal maturity and stability that it will, in a concerted fashion, work toward its own institutional strengthening.

On the other hand, the OHRO now has a track record whereby, with its own funds, it has designed, implemented and managed an intensive education effort in rural and urban areas through each of its departmental offices. A.I.D.'s role is clearly one of support, that is facilitating certain aspects of this program such as materials reproduction and transportation for participants to the seminars. It is clearly a shared commitment to a very successful effort. Thus, the decision has been made to shift funds from the Congressional component to that of the OHRO. In order to implement the expanded activities of the OHRO, it will be necessary to extend the PACD of the project by two years to September 30, 1997.

C. Recommendations

1) FUNDING SCENARIO

As mentioned above, this PPS outlines changes to the original project design that primarily relate to the shifting of resources from the Congressional component to the Human Rights Component of the project. However, after a year of implementation experience we are now able to better define financing needs and revise the project's obligation plan in all components. Most project funds will be obligated by the end of FY 1992 (the mortgage will be \$1,035,600, and those that remain to be obligated will be administered directly by the Mission). Therefore, it is recommended that the project be fully authorized at a level of \$6 million (ESF) at this time. The table below outlines the original planned authorization, the revisions to that plan presented in this document, and obligations-to-date as well as those planned in FY 1992.

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Authorization/Obligation Plan

(\$000s)

Component	Original Planned Authoriz	Revised LOP Obl. Plan	Oblig To Date	Pending FY 1992 Oblig.
Congress	1,512,000	377,000	152,000	225,000
Human Rights	675,000	572,050	572,050	0
Education (OHRO)	471,000	2,074,000	574,000	1,500,000
(ESTNA)	870,000	1,017,000	367,000	650,000
Formal Civic Ed	###	###	###	###
Indicators Monitoring	394,000	367,950	0	225,000
Related Studies	474,000	350,000	9,400	0
Administration	770,000	1,000,000	373,000	175,000
Evaluations	354,000	100,000	0	0
Contingencies	480,000	0	0	0
Election Activities	***	142,000	141,950	0
TOTAL	6,000,000	6,000,000	2,189,400	2,775,000

The original PP contemplated formal civic education activities but did not include any funding in the project's authorization plan. With the expanded OHRO education programs to be funded under this supplement, the Mission is no longer considering funding such activities through the Ministry of Education.

*** The authorization plan in the PP did not include the \$600,000 previously authorized under the project to support election activities. Reportion of these funds are included in the current Obligation Plan.

2) PROJECT ASSISTANCE COMPLETION DATE

Based on the approval of this PP Supplement, the grant agreement with the OHRO will be amended to provide \$1.5 million in support of the expansion of its civic education activities as described in Section III (C). In order to implement these activities, it is recommended that the planned completion of this Project, as cited in the project's authorization, be extended to September 30, 1997.

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In addition, it is expected that activities related to the 1995 Centro ESTNA course will not be completed by the current PACD. Therefore, it is recommended that the Cooperative Agreement with Centro ESTNA be extended to December 1995.

3) SUBSEQUENT ACTIONS

In addition to approving the above authorization/obligation, it is also recommended that the plan of actions outlined in Section III of this Paper be approved. In summary, these actions are:

- 1) Amend the Project Authorization (LOP funding and PACD)
- 2) Amend the OHRO Agreement (\$1.5 million)
- 3) Enter into a Limited Scope Grant Agreement with the Congress (\$225,000)
- 4) Fully fund the Cooperative Agreement with Centro ESTNA (\$650,000)
- 5) Proceed with FY 1992 obligations for project administration and indicators monitoring (approximately \$400,000)

II. BACKGROUND

A. Status of Component One: The National Congress

Following the 1990 elections, conversations were initiated immediately with the Guatemalan Congress as part of the project design. Since there had been a 90% turnover in the representatives, there was little memory of the activities carried out by the Center for Democracy under Project 520-0386 from 1988 to 1990. Initial meetings involved information sharing on studies which had been implemented, training seminars, development of the procedures manual for the Congress, in addition to the purchase of computers and a large photocopier. The latter was of particular importance because the new Congress would have to approve a budget for maintenance and repair of this equipment.

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From these initial contacts, a series of conclusions emerged (all of which are reflected in the institutional analysis section of the project paper):

- The problem of lack of continuity in the Congress, and more importantly its leadership which changed annually, was to be a major constraint to working systematically on institutional strengthening.
- The political divisions in the new Congress, where no political party had a clear majority and the executive had a clear minority, was to impact directly on the operations of the institution.
- There was no clear "authority figure" to deal with. During the year following the elections it was evident on that the presidency of the Congress was not going to be that figure and was basically fighting to keep its head above water.

At this point, the decision was made to lower expectations and deal with the Congressional leadership on a discrete set of activities which could be digested by the internally divided body. The idea was to focus on concerns and issues which would bring the factions together and not give them more space to disagree. An immediate plan of action (PIA) was drawn up including a national budget seminar, a planning seminar for the outgoing 1991 and incoming 1992 leadership, further development of the MIS, and other training activities. The Mission signed a HB 13 grant agreement with the Consortium for Legislative Development for the implementation of these activities.

Parallel to this process, the then-President of the Congress, Catalina Soberanis advised the Mission that she would name a liaison committee, which would be permanent through the life of the current Congress, to deal with all international assistance because of what she had perceived as the inability of the leadership to perform this function. In January 1992 the new President of the Congress, Edmond Mulet, confirmed this decision and expanded the committee to include representatives of each major political party.

During 1992, discussions proceeded within the liaison committee to determine the strategy the Congress would pursue for its institutional strengthening. While this meant very little progress was made under the PIA (except for the two seminars), progress was clearly made on identifying viable options for such a complicated and unstable institution. The expanded liaison committee named an executive group which was to be the true support for institutional development. This group met with the Mission, the UNDP, Guatemalan Social Science organizations, and universities to focus its strategy.

The outcome of these months of analysis and discussion is a proposal presented to USAID/Guatemala by the President of the Congress. The proposal would establish a technical assistance unit to support the committee system in its legislative function. The proposal identifies the committee system as the heart of the Congress' legislative process, and recognizes that only by providing this system with technical continuity will the Congress compensate for its organizational and political instability. This unit would be housed initially in an experienced and recognized social science research entity, thus guaranteeing its autonomy from the political issues surrounding Congress. The Congress would initially provide an annual budget of Q500,000 or \$100,000 to support this unit.

The Mission is currently considering this proposal and, if approved, would provide approximately \$225,000 for its first two years of operation with the clear understanding that beyond that period other resources would be identified. In addition, A.I.D. funds would be used on a diminishing basis over the two year period.

B. Status of Component Three: Public Awareness and Education

The Human Rights education activity (a) and the involvement of public and private sector opinion leaders in debate on development and democracy (c) under this component of the DI project has proceeded largely according to the schedule and program described in the Project Paper. The formal civic education activities (b) under this component have not been implemented.

1) NON-FORMAL EDUCATION ACTIVITIES

The educational department of the OHRO has developed an intensive two-day workshop on human rights for community leaders, public sector employees, union leaders, school teachers, military officers, soldiers and others. To date they have carried out 214 seminars through educators assigned to their regional offices and 200 more are planned for the remainder of this year. These workshops are adapted to the needs of each group addressed. The current demand for these activities is above the numbers planned by the OHRO. At this point, the Mission recommends that the OHRO evaluate these activities and begin to plan follow-up activities with those already trained. The OHRO is gaining experience in working with illiterate and mono-lingual Mayan language speakers. The Mission recommends that they develop materials that are more effective for illiterates and non-Spanish speakers than the materials they currently use. This will involve a materials development (instructor manuals and charts) phase, followed by testing and implementation.

Currently, the OHRO is spending funds for workshops at a rate higher than that budgeted. At approximately 70 workshops a month (approximately 50 persons participating in each workshop- costs from \$500.00-\$1,000.00 each), current funds will run out by December 1992.

Radio education is also a part of the non-formal education strategy of the OHRO. This is an extremely effective tool to reach large numbers of rural campesinos who otherwise would not have access to any OHRO human rights education opportunities. Under the current agreement, equipment for the construction and equipping of a radio booth is being purchased. Upon completion of the booth, the OHRO will begin to produce radio programs for broadcast by local stations all over the country. Since more than half of the rural Guatemalan population speaks indigenous languages, an important part of this programming will be produced in those languages in order to reach greater percentages of rural and marginalized populations.

As noted below, the OHRO has conducted an internal evaluation and is embarking on a new five-year strategy. Part of this strategy is to continue to decentralize it's activities. As part of this strategy, the OHRO will open human rights libraries in its departmental auxiliary offices. In Guatemala, libraries of general

interest do not exist outside of the capital city, much less libraries with human rights information. This will be an extremely valuable tool to provide local residents, school teachers and others with accurate and current information on human rights.

The OHRO will conduct regular and objective evaluations of each of its education components, including the non-formal activities, the grass roots activities under the HRO's new strategy, the radio education activities, etc.

2) THE FORMAL CIVIC EDUCATION COMPONENT

ASIES, Asociación de Investigación y Estudios Sociales, (a local social science research firm) successfully developed and tested human rights education materials for use in primary and secondary schools with the support of European governments. Materials have been printed and some teachers have been trained. However, communications difficulties amongst ASIES, CIMAC (curriculum reform agency of Ministry of Education) and the OHRO have stymied this process. Pilot schools have been identified, materials have been tested and are available, however, no formal curricular reform has been implemented. There is a possibility that the next school year (January 1993) will see the limited implementation of a human rights component of civic education in primary and secondary schools. The European governments that have provided support in written materials and materials development for this effort will, in all likelihood, support the implementation of this project should the Ministry of Education decide to seriously undertake a program of civic education.

The only systematic significant efforts in the area of civic education in human rights currently being carried out in Guatemala are the above described workshops being conducted by the OHRO educators.

3) RESTRUCTURING AND THE FIVE-YEAR STRATEGY

The OHRO recently carried out an internal evaluation of its operations. Based on that evaluation, the HRO made management decisions regarding the restructuring of certain aspects of their

operations. As a result, personnel and departmental changes are being made. The major sections are now: Individual Rights, Social Rights and Economic Rights. Several new "Defense" offices have been added including: Indians' Defense and Journalists' Defense in addition to the existing Children's Defense and Women's Defense offices. All of these operations will be decentralized and will support the work of the Departmental OHRO offices.

These management changes and the election of the HRO to a new five-year term will facilitate implementation of a new HRO strategy for the next five years. A key element of this strategy is a nationwide dialogue with all of the sectors of Guatemalan Society. This will entail a series of grassroots workshops, conferences and seminars to be held in the countryside. These will bring together people from all walks of life, including local leaders, civilian and military authorities, NGOs, unions, teachers, public and private sector employees, etc. in a dialogue that will address the issues affecting human rights.

III. AMENDMENT DESCRIPTION

A. Rationale/Relationship to Strategic Objective

The activities proposed under this Project Paper Supplement represent a major and timely contribution to the strategic objective of Sustained Exercise of Inalienable Rights. Three indicators will measure progress against this strategic objective over time: improved public opinion/confidence in governing officials and institutions, improved due process under the law, and individual free expression and participation. A fourth indicator was added at the suggestion of the political scientist who designed the indicators monitoring system: tolerance of diversity of views and opinions.

The relationship between increased support for human rights education and the strategic objective is obvious. If the lack of understanding by the general populace of individual rights and responsibilities in Guatemala is a major constraint to access to the benefits of democracy, then massive education efforts may be the only way to increase demand for the exercise of (and respect for the exercise of) these rights.

In the context of the strategic objective, it is interesting to consider the relation between the lowering of levels of support for the Congress and increasing support for the OHRO education efforts. Support for the Congress addresses the first indicator: improving the functioning - and the image - of the Congress as a representative body accountable to the general populace. However, if the structural constraints to improving this image are so serious, the best way to approach this situation may be if the citizenry demands changes from the outside. As the OHRO educates for increased participation and exercise of citizens' rights, then the Congress may have no choice but to focus on its deficiencies in a serious and comprehensive fashion.

The changes proposed through this Project Paper Supplement are a reflection of the interrelationships of democratic processes and institutions. While not ignoring the potential for institutional change in the Congress, it is considered that A.I.D. resources are best assigned at this time to the "demand side" of the equation. Both activities, the reduced Congressional component and the expanded human rights education activities, contribute to the strategic objective. Based on careful analysis at this point in time, it is believed that the new configuration will do so more effectively.

B. Revisions to Component One: The National Congress

This Project Paper Supplement proposes to modify the amount of funding which would go to the Congressional component. It does not, however, seriously modify the content of the component, as originally described, but rather its pacing/timing and possible implementation mechanisms.

A lesson learned is that the absorptive capability of the Congress for technical assistance and training, reflected in the original description of the component (and based on experience under the PIA), is exceedingly ambitious. The Congress' permanent staff is so totally embroiled in the daily operations of the organization that they find it almost threatening to have to extract themselves from this and deal with issues which, in essence, evaluate their performance. This became more than clear as the liaison committee developed its current proposal and was reported to the Mission time and time again by the committee's most active members.

In addition to the issue of who works on institutional development, a second issue - and perhaps more important one - is how to depoliticize this process and provide it with some measure of continuity. Thus the decision was made to locate this function during its trial phase in a recognized Guatemalan social science research firm while proposing a bill which sanctions, and regulates, this relationship. While the original Project Paper contemplates a large US-based technical assistance contract, it became evident over the last year that this was neither viable nor desirable. It would provide another smoke screen to the measure of true commitment which exists in the Congress to focus on its tremendous institutional weakness.

The original Congressional component includes strengthening of the functions of the deputies through an improved committee system, training, and access to improved technical services. In addition it proposes to improve access to technical information and carry out organizational development studies. In a sense, the current proposal of the liaison committee is a mini version of the original. It proposes technical assistance, training and direct legislative support for key committees. It also proposes to develop an internship program with the major universities for the Congress. It will expand the use of the MIS and carry out seminars on topics of critical interest, particularly those related to the Congress' finance and budgetary functions. The total A.I.D. funding is approximately one-sixth of the amount originally budgeted in the Project Paper.

The new dimension to this component is the existence of the liaison committee and its role as the permanent locus of concern for the institutional strengthening of the Congress. The Congressional Liaison Committee (CLC) was formed in October of 1991 to coordinate international donor assistance (initially A.I.D.) for the institutional strengthening of the Congress. The CLC presented a proposal to USAID/Guatemala after carefully analyzing the Congress' needs for technical assistance and the entities existing in Guatemala that could provide such assistance. The CLC serves as the channel for all communications between the Congress, ASIES and A.I.D. Requests for assistance from the Congress must go through the CLC. The CLC makes the final determination about what Congressional committees will receive assistance and in what areas after ASIES receives proposals from these CLC. All political parties and independents are represented on the liaison as is the President of the Congress. ASIES works in close coordination with the CLC for the selection and contracting of experts and

technicians that will carry out the work. ASIES is responsible for the implementation, fluidity and supervision of the assistance and the quality of the final product.

Conditions precedent for the disbursement of funds will be:

- i) Sanctioning by the plenary of the Congress of the technical support unit as designed by the liaison committee.
- ii) Approval of 500,000 quetzal annual budget for the technical support unit.
- iii) Approval of Congress-ASIES agreement

C. Revisions to Component Three: Public Awareness and Education

The current demand for increased human rights workshops, the HRO's strategy and the potential for an increased role of the OHRO in verifying the peace accords merit the following revisions to this component:

1. An extension of the PACD until September 30, 1997 to support the OHRO in its efforts in the educational area, specifically non-formal courses, workshops and seminars through the term of the current HRO and in accordance with their own strategic plan.
2. An increase of \$1.5 million to support: a) courses, seminars and workshops for the non-formal education activities and grass roots education activities in support of the HRO's five-year strategy and the "Defense" offices of the OHRO; b) Development of materials for Mayan speakers and the illiterate; c) Production and printing of educational materials; d) Purchase of books and bookcases for departmental libraries; e) Development and production of radio programs in the principal indigenous languages; and, f) Evaluations.
3. Elimination of the formal education component due to excessive internal government communications problems in implementing this component. Should they be able to come to agreement on this

aspect, materials have been printed to implement it. European donors will in all likelihood continue to support this effort, if and when it is implemented.

4. As Guatemala moves nearer to a peace accord after 30 years of civil war, it is apparent that the OHRO will have an important role in the verification of the accord. The current OHRO budget does not contemplate the increased personnel, offices and equipment that such an effort would require. In the event of a peace agreement that ends the conflict, A.I.D. may shift resources from within this component or from other project components to finance OHRO efforts related to the peace process.

D. Implementation Mechanisms

1. CONGRESS:

For the Congressional component, the President of the Congress has advised the Mission (see Annex B) that the Congress will be signing an agreement with ASIENS to establish the technical support service unit for the Congress. Based on lengthy consideration of the options available, the proposal states that ASIENS was selected because technical assistance for the Congress cannot be the responsibility of a single individual or an isolated entity. It must come from an already existing, serious and objective institution, with renowned merit within and outside of the country and with experience in supporting diverse strategic themes in those disciplines related to the strengthening of a democratic system and the rule of law. The Congress proposed ASIENS as the only national entity possessing these qualities and qualified to carry out this work.

The Mission would sign a HB 3 Limited Scope Grant Agreement directly with the Congress to obligate the funds. Subsequently a contract would be negotiated with ASIENS by the Mission. Since the amount to be contracted for is under \$250,000, requirements for limited competition would be fulfilled based on the rationale presented by the Congressional liaison committee in their lengthy analysis of available technical resources in Guatemala.

Justification for the use of outside resources would be provided based on the sensitivity of working with institutional changes for the Congress and increased probability of success if these resources are identified with a Guatemalan institution. As mentioned in the proposal from the Congress, all financial management, budget, accounting, contracting and audit provisions will be carefully negotiated between the Mission and ASIES to fulfill the requirements of the funding agency.

2. OHRO:

For the expanded human rights education activities, an amendment to the present agreement will be signed with the Office of the Human Rights Ombudsman, based on the proposal received from the OHRO (Annex C), to fund activities over the next five years. This amendment will require an extension of two years beyond the current PACD of 9/95 to 9/97 in order to cover the five years which will be requested from the OHRO.

The current mechanism for implementing education activities appears to be proceeding well. The OHRO and the Mission co-sign an implementation letter for an annual program of educational activities and seminars. The OHRO has established a revolving fund to cover those expenses for which A.I.D., under the agreement, is willing to provide funding. On a monthly basis, the OHRO provides full accounting to the Mission for these expenditures, based on progress against the program outlined in the PIL. These accounts are fully audited by the Controllers' Office and the funds are reimbursed.

IV. Summary Analyses

A. Institutional Analyses

1) OHRO

The Office of the Human Rights Ombudsman is now actively involved in human rights/civic education activities having conducted an average of 70 seminars a month. Each departmental office has at least one full-time education officer and in some cases, two. The OHRO has an education department with a full-time staff that includes a director, curriculum development personnel, professional educators and a radio education expert. This office supervises the work of the field educators.

The OHRO will be hiring a full-time field supervisor for the OHRO educators as a result of the internal evaluation (described above) recently carried out. This supervisor will review course content and the curriculum, make adjustments to the didactic material, evaluate demand and the ability of the OHRO to meet the demand, make periodic adjustments and changes, determine training needs of the educators, etc.

The OHRO educators have demonstrated an ability to work with a wide range of groups, from professionals, to poor rural farmers, to the military. They have accumulated a great deal of experience in these workshops and are beginning to conduct follow-up activities. This is an evolving process and the education department continues to learn and make changes in the design and implementation of these activities. They have clearly demonstrated an institutional capacity to carry out the non-formal education mandate of their office.

Some evaluation of their efforts have been carried out, which largely reflect satisfaction with the activities. More regular and systematic evaluations will be carried out under the project amendment, with supervision from the newly hired supervisor.

The Mission will recommend that systematic evaluations be carried out of these activities and that periodically the entire activity be evaluated with the participation of the educators and appropriate adjustments. Areas that apparently need strengthening are: Mayan language materials and materials for working with illiterate participants. While there are some Mayan language educators, they are too few to meet the needs of the OHRO's nationwide efforts. Most educators are unaccustomed to working with illiterate participants and there is a need for specialized materials and educator sensitivity to these issues.

Administratively the OHRO has also demonstrated their ability to manage the financing as a rotating fund and receive A.I.D. reimbursement based on review and approval of the voucher and receipts. This is important as the OHRO is not eligible to receive advances.

2) Congress

Section IIB of the PPS describes the institutional weaknesses which are at the root of the Congress' inability to absorb the ambitious

program of technical assistance and training described in the original Project Paper. The lack of continuity in leadership, lack of permanent staff, political instability, and lack of focus on institutional strengthening, were the apparent causes of the difficulties the Mission experienced in negotiating with the Congress.

The downsized congressional component, described in Section III B, is a result of the Congress' recognition to the Mission of its own limitations. The liaison committee made the determination that only by contracting with a highly respected and professional Guatemalan social science firm would they be able to access the kinds of technical services the Congress so urgently requires. This approach was subsequently approved by the President of the Congress in his letter of request for assistance to USAID/Guatemala.

B. Financial and Procurement Plans

The proposed cost of the Democratic Institutions Project is \$13,238,000. A.I.D.'s contribution will be \$6.0 million as originally planned in the Project Paper. This represents 45% of the total budget. Counterpart contributions will total approximately Q36,200,000 (\$7,238,000 dollars), or 55% of the total budget.

Table 1 summarizes LOP A.I.D. and counterpart contributions to the Project. Table 2 is a detailed disbursement plan for A.I.D. funds. Line item budgets for each operational component will be included in the Agreements to be signed with Centro ESTNA, the Congress, and, the Office of the Human Rights Ombudsman prior to the end of FY 1992. Also attached to this section are Table 3, Methods of Implementation and Financing, and, Table 4, the Project's Procurement Plan.

Audits and financial reviews will be conducted as outlined in the original Project Paper with the added provisions for recipient audits and counterpart reporting to be included in all Agreements/Amendments.

TABLE 1
 PROJECT PAPER SUPPLEMENT
 PROJECT 520-0398
 DEMOCRATIC INSTITUTIONS
 BUDGET SUMMARY
 ALL CONTRIBUTORS

LINE ITEM	A.I.D. (US\$)	COUNTERPART (US\$)	
1. <u>Election Systems Support</u>	75,000	-0-	Center for Democracy
	<u>67,000</u>	<u>42,000</u>	FUNDESA
Subtotal	142,000	42,000	
2. <u>Congress</u>		10,000	Consortium Novadora staff Services
Consortium for Leg. Dev.	152,000	200,000	Technical Support Unit (ASIES)
Congress/ASIES	225,000	50,000	. Budget support from Congress
Subtotal	377,000	260,000	. Liaison committee technical contributions
3. <u>Office of Human Rights Ombudsman - OHRO (1991-97)</u>		1,480,000	. Previously decommitted
		600,000	. Staff services
		200,000	. Logistics support for training events
		100,000	. Transportation costs
Subtotal	2,648,000	2,480,000	. Administrative expenses
4. <u>Centro ESTNA</u>	117,000	-0-	Congressional
	<u>900,000</u>	<u>4,456,000</u>	Annual Seminars (1991-95)
Subtotal	1,017,000	4,456,000	
5. <u>Dem. Indicators Monitoring</u>	366,000	-0-	
6. <u>Related Studies</u>	350,000	-0-	
7. <u>Evaluations</u>	100,000	-0-	
8. <u>Administration</u>	<u>1,000,000</u>	<u>-0-</u>	
TOTAL	\$6,000,000	\$7,238,000	

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TABLE 2
 DEMOCRATIC INSTITUTIONS
 PROJECT NO. 520-0398
 BUDGET SUMMARY AND FINANCIAL PLAN
 USAID CONTRIBUTION
 BY FX AND LC

COMPONENT	YEAR 1		YEAR 2		YEAR 3		YEAR 4		YEAR 5		YEAR 6		YEAR 7		TOTALS	
	FX	LC	FX	LC												
NATIONAL CONGRESS	---	---	47,000	5,000	75,000	150,000	50,000	50,000	---	---	---	---	---	---	172,000	205,000
HUMAN RIGHTS	---	---	110,700	18,600	129,340	4,000	129,340	4,000	129,340	4,000	129,340	4,000	129,340	4,000	757,400	38,600
PUBLIC EDUCATION	---	217,178	---	253,184	---	594,531	---	508,343	---	558,596	---	388,596	---	348,572	---	2,869,000
MONITORING DE: DEV INDICATORS	---	---	---	---	63,000	50,000	---	---	62,000	50,000	---	---	91,000	50,000	216,000	150,000
RELATED ACTIVITIES STUDIES	---	---	10,000	---	25,000	35,000	35,000	35,000	35,000	35,000	35,000	35,000	35,000	35,000	175,000	175,000
PROJECT ADMINIS-TRATION SUPPORT	---	---	114,228	50,000	114,850	49,360	114,850	56,000	120,520	34,360	125,680	40,650	128,572	50,930	718,700	281,300
PROJECT EVALUATION AUDITS	---	---	---	---	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	10,000	50,000	50,000
ELECTION SUPPORT	142,000	---	---	---	---	---	---	---	---	---	---	---	---	---	142,000	---
TOTALS	142,000	217,178	281,928	326,784	417,190	892,891	339,190	663,343	356,860	691,956	300,020	478,246	393,912	498,902	2,231,100	3,768,900
															38%	62%

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TABLE 3

Methods of Implementation and Financing

(\$000's)

Line Item	Implementation Method	Financing Method	Amount
NATIONAL CONGRESS	USAID Procurement Agent/ Buy-in or Competitively- Let Contracts	Direct Pay	377
HUMAN RIGHTS	USAID Procurement Agent/ Profit or Non-Profit Contractors	Direct Pay	796
PUBLIC EDUCATION			
Human Rights	USAID Procurement Agent/ Profit or Non-Profit Contractors	Direct Pay	1,852
ESTNA	Cooperative Agreement, PVO Cooperative Agreement, PVO	Reimbursement Advances Direct Pay	117 250 650
MONITORING DEM. DEV. INDICATORS	USAID Procurement Agent/ RFP	Direct Pay	366
RELATED STUDIES	Buy-in or Competitively- Let Contracts	Direct Pay	350
PROJECT ADMINISTRATIVE SUPPORT	USAID Procurement Agent/PSC'S	Direct Pay	1,000
PROJECT EVALUATIONS AND AUDITS	USAID Procurement Agent/ Profit or Non-Profit Contractors	Direct Pay	100
ELECTION ACTIVITIES	USAID Procurement Agent/ Profit or Non-Profit Contractors	Direct Pay	<u>142</u>
		Total	\$6,000 =====

Advances will be made to the project implementing institution, which in turn will contract and reimburse for the services rendered.

PROJECT PAPER SUPPLEMENT
 PROJECT 520-0398
 DEMOCRATIC INSTITUTIONS
 PROCUREMENT PLAN

LINE ITEMS	DESCRIPTION	AGENCY	CONTRACT METHOD	ESTIMATED COST	ESTIMATED START DATE	NUMBER OF CONTRACTS	SOURCE/ORIGIN
1. <u>Election System Support</u>	Center for Democracy FUNDESA	C. for D. FUNDESA	US-based HCC	75,000 66,000	11/90 11/90	Single Single	US Local*
2. <u>Congress</u>	Consortium for Leg. Dec Technical Support Unit (ASIES)	AID AID	AID Direct AID Direct	152,000 225,000		Single Single	US Local#
3. <u>Office of Human Rights Ombudsman (OHRO)</u>	T.A. Training Seminar/Workshops Materials production Vehicles Office equipment Office equipment Evaluation and auditing	HCC HCC AID AID AID AID HCC/AID	HCC HCC AID AID AID AID AID	117,000 1,242,000 610,000 150,000 400,000 24,000 105,000	12/91 07/91 11/91 11/90 10/91 10/91 09/93	Multiple Multiple Multiple Multiple Multiple Multiple Multiple	Local# Local# Local# US US Local** US/Local#
4. <u>Centro ESTNA</u>	Congress Seminar Furniture & Equip. Evaluation/Audit	ESTNA ESTNA ESTNA	HCC HCC HCC	77,000 110,000 10,000	01/31/91 10/93 08/93	Multiple Multiple Multiple	Local* Local* Local*
5. <u>Indicators Monitoring</u>	TA services for implementation of Survey	AID	AID Direct	225,000	01/93	Single	US
6. <u>Related Activities</u>	Project Design	AID	AID Direct	10,000	06/92	Single	US
7. <u>Administrative Support</u>	USPSC Project Manager Program Specialist Program Assistant Clerk/Steno	AID AID AID AID	AID Direct AID Direct AID Direct AID Direct	360,000 90,000 90,000 3,200	09/30/91 09/22/91 09/22/91 09/22/91	Single Single Single Single	US Local Local Local
8. <u>Audits and Evaluations</u>	Centro ESTNA audits Mid-Term Evaluation Congress Audit	ESTNA AID AID	HCC AID Direct AID Direct	30,000 60,000 10,000	08/92 12/93 09/93	Multiple Single Single	Local US Local

* Will be governed by source and origin guidelines of HB 13 standard provisions. Procurement component is under \$250,000 and no waivers are anticipated.

All local professional services contracts will be under \$250,000. Therefore, it is anticipated that no waivers will be required under Buy America guidance for HB 3 agreements.

** Commodities will be primarily of U.S. source (under \$100,000 per transaction), with small procurements of locally produced goods (under \$5,000 per transaction). It is anticipated that no waivers will be required under Buy America Guidance for HB 3 agreements.

V. Monitoring and Evaluation

The monitoring and evaluation system for the strategic objective, "Sustained Exercise of Inalienable Rights", is proceeding on schedule. Because of the implementation of the strategic objective framework, based on guidance received mid-1991, the timing for the design and start-up of the indicators monitoring system was modified. Since the indicators monitoring system was already proposed in the Project Paper, it was necessary to establish a clear fit between this system and the strategic objective framework.

Real progress has been made. The development and refinement of the strategic objective guided the process of identification of the then three (and now four) key indicators which subsequently have guided the design and contracting of the indicators monitoring system.

The Strategic Objective Team process has also been a major contributor to progress on both monitoring and evaluation planning. At the start, the team had both the final product, so to speak, in the form of the strategic objective, its program level and performance indicators, and each member's individual project contributions to the strategic objective (with each project's products or activities). What was missing was the critical linkage between what A.I.D.-funded projects achieve and the overall program level objective.

As the next step, these project contributions were refined into a definitive list of EOPS. The determination of the final EOPS was guided by the strategic objective and its program indicators as well as the performance-level indicators. As the process evolved, it became clear that the performance-level indicators and the EOPS should, in turn, guide the evaluation process of each project. It is believed that within this framework, both program level monitoring and project-level evaluation, which contribute to overall program evaluation, are now possible. Attached in Annex E is the configuration of this important product of the Strategic Objective Team for Sustained Exercise of Inalienable Rights.

During 1992, another principal task of the Strategic Objective Team was the review of the design of the indicators monitoring system prior to the letting of the contract. The indicators monitoring system consists of a nationwide opinion survey every two years, as

the most appropriate way to measure progress toward the strategic objective. The contract includes the establishment of the baseline by early 1993 and a follow-on survey two years later, in addition to data analysis.

The next major task for the Strategic Objective Team is to use the list of definitive EOPS and the performance-level indicators to guide the development of an evaluation plan for projects which will assess project-level results and subsequently be linked to the program-level indicators. This evaluation plan will be a way to "discipline" the current project portfolio and the design of future projects, so that they more rigorously hold to the strategic objective framework. The evaluation plan should be completed by 12/92. See Annex F for the chart of projects which contribute to this strategic objective.

The Mission has determined that the funding for the monitoring of indicators under each strategic objective should come from one principal project which is the major contributor to the objective. In the case of the Sustained Exercise of Inalienable Rights, it is the Democratic Institutions Project.

In addition to the processes described above, each of the three major institutional components (OHRO, ESTNA, Congress) will be evaluated, starting in late 1993. The three evaluations will be folded into one contract for the sake of clarity and richness of conclusions. In all three cases it is believed that by then each component will have had enough time to evolve so that important conclusions, experiences and relationships can be drawn in the context of the strategic objective indicators. Since the baseline will have been established for the indicators monitoring system, it will also be the opportunity to tighten and refocus EOPS in the light of the analysis of the opinion survey data.

ANNEXES

- A. LogFrame
- B. Request for Assistance (Congress)
- C. Request for Assistance (OHRO)
- D. SO Schematic
- E. Projects Contributing to SO

Logical Framework for Democratic Institutions Project (520-0398)

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
1. Goal			
Strengthened Commitment by the GOG and the General Population to Democratic Government	Media supports the democratic process	Periodical, T.V., and radio editorial commentary supportive of democratic processes	Public perception that GOG is doing its job well
	Congress operates more efficiently	Better quality and greater number of bills passed	While in session, Congress can agree to pass bills
	Guatemala's human rights record improves	Local and international news reports	Judicial system becomes more effective and perceived as such by the general population
		Human rights organizations' reports	Genuine civil/military commitment to human rights
	Absence of coup attempts	Local and international news reports	Military continues to support democratic process and civilian government rule by law.

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
II. Purpose			
Institutionalize key democratic processes in Guatemala, i.e.:			
1) strengthen the legislative capacity of the Guatemalan Congress,	Improved staff capability to advise deputies	More and better staff hired. Selection based on merit - not merely political contacts	Deputies want more qualified staff.
	Independent analysis and decision making		Independent analysis and decision making is seen as a virtue.
	Improved quality of legislation	Review of legislative record	Legislation is seen as a means to achieve an end and not an end in itself.
	The public will require their elected representatives in Congress to fairly represent them and their interests.	Newspaper and media reports	Public is made aware of changes in Congress
2) enhance the ability of the OHRO to track and publicize GOG actions related to human rights abuses,	Effective collaboration between the judiciary, the Public Ministry and the OHRO	Attitudinal surveys Increase in number of contacts and quality of communication between the units.	Units want to work closer together
	Increase the number and percentage of human rights violations that are successfully prosecuted.	Court records	Genuine civil/military commitment to human rights

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
	Improved staff capability to investigate and document rights violations complaints.	Project evaluations, consultant reports and project monitoring system reports.	Qualified staff members available and willing to work (free of threats).
3) improve public knowledge and attitudes regarding human rights and democratic values and practices,	Greater awareness by the public of what their national democratic institutions do, how they do it, and how the public can participate in the process.	Attitudinal surveys	The general public believes that the future of democratic institutions is in their own hands.
	Increased consultation by public institutions with their constituencies.		Public institutions will feel a need to be more responsive to their constituencies.
	Reduction in perceived and actual charges of corruption in National Government institutions, and a demand for sanctions when serious breaches of public trust occur.	Newspaper and media reports	
	Improved public awareness and approval of how institutions are performing their functions, particularly the National Congress and the Human Rights Ombudsman.	Attitudinal surveys	The general public is willing to give the GOG time to change.
4) establish a capability to monitor indicators of democratic development in Guatemala, and	The local NGO sector will regularly monitor the indicators of democratic development and make that information available to the general public.	Actual dissemination and discussion of the information results of such monitoring.	The local NGO sector will want to get into this line of work.
5) provide a small amount of funds to enable the USAID to initiate related activities and studies in the democratic initiatives areas as they emerge.		Results of actual studies and related activities.	Government open to giving USAID "free hand" in this sensitive area.

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
III. Outputs			
1. Improved quality and effectiveness of the staff of the National Congress through:			
a. Strengthening role and functions of Deputies,	The deputies will possess a stronger image of themselves as legislators and of their institution as a whole.	Media reports will document the improved quality of legislative work being performed.	Continued Congressional support for project goals & purposes.
	The Deputies will be better trained in modern legislative processes and practices.		
	The Deputies will be more knowledgeable regarding the country.		
	The Deputies will be more proactive in setting their legislative agenda.		
	The relative status of the Congress as a democratic institution will be stronger in the eye of the public.		
b. Better staff support services,	New professional staff at the Congress and its committees.	Numbers of new staff positions authorized will be noted.	
	All professional staff at the Congress will be trained in the processes of the institution and be more knowledgeable of the substantive issues of major pieces of legislation.	Number of training courses completed and number of participants recruited from pool of new staff.	
	The administrative staff will be better trained in techniques and processes and will demonstrate their new skills on the job.		

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
	An in-service training program will be designed, tested and in place.		
c. Increased access to technical information, and	The M. I. S. at the Congress will be organized more efficient and performing computer-based research for staff, Deputies and committees.	The MIS of the Congress will be operating smoothly; upgraded as needed.	Timely procurement and installation of needed hardware and software.
	The Deputies and committees of the Congress will locally access technical expertise through a defined mechanism.	New procedures implemented.	Felt need must be expressed.
d. Organization development studies.	A more organized and systematic approach to resolving issues hampering the development and continuity of the Congress, as an organization, will emerge.		Project will foster a sense among all Deputies that fundamental change is needed.
2. Directly assist the OHRO in carrying out its organizational mandate through:			
improved oversight of investigations, and	A violent crimes tracking system will be in place and functioning at the OHRO.		Increase in number of contacts and quality of communication between the judiciary, the Public Ministry and OHRO.
	Periodic compiling and reporting of the number and types of violent crimes being handled by the criminal justice system.	Court records	
	An organized approach to the conduct of follow-up activities by the OHRO on problems identified by the violent crimes tracking system.		

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Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
	Trained personnel in the techniques of identifying responsibilities for the failure of the criminal justice system to handle expeditiously and effectively violations of core human rights	Project evaluations, consultant reports and project monitoring system reports.	Qualified staff members available and willing to take this task on.
	Yearly reports concerning the observance of core human rights and recommendations on steps to be taken by the criminal justice system to improve its handling of cases concerning the violation of human rights.	Human rights organizations' reports	Genuine civil/military commitment to human rights
development of core institutional elements.	Central office personnel will be trained in the various techniques required for utilizing computer equipment.	Number of training courses completed and number of participants trained.	
	Office staff will integrate the use of existing computer equipment into the routine office tasks and administration of the OHRO.	Site visits	Existing computer equipment can be easily used in routine office and administrative tasks.
	Twelve additional OHRO departmental offices will be established and equipped.	Site visits	Logistical problems easily solved.
	All departmental office personnel will be trained in the functions performed at the field level, i.e.: investigation, reporting, education and administration.	Increase in number and quality of reporting documents emanating from OHRO field offices.	Basic skills are present in personnel.

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Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
3. Initiate a public education campaign focusing on:			
a. Fostering a non-formal education program for out-of-school children and adults about their human rights, and	Citizens utilize OHRO auspices appropriately; citizens organized at the local level to practice their rights.	Activity level / reports for OHRO field offices.	No substantial impediments to organizing initiated.
b. Providing public awareness and training for opinion leaders.	ESTNA participants will become more aware of their role and power as opinion leaders and how to use that power responsibly in a democratic system.	Review of course materials to insure that it meets course objectives.	ESTNA participants willing to change their attitudes and ideas
	Leaders in all sectors of the Guatemalan society will be more aware of public policy issues.		Leaders in all sectors of the Guatemalan society interested in public policy issues.
	Sectoral leaders will be more predisposed to peaceful conflict resolution.	Less violence	
4. Develop capacity to monitor indicators of democratic development, at minimum during the life of the project.	A system for monitoring democratic development in Guatemala will be functioning.	Project evaluations, consultant reports and project monitoring system reports.	
	Statistical information will be available periodically and selectively shared.		
	The USAID will be making strategic decisions based on this information and acquiring data for a summary evaluation of project activities.	Regular project reviews	

Narrative	Objectively Verifiable Indicators	Means of Verification	Assumptions
5. Related activities and studies	As a result of these studies USAID will be more knowledgeable about issues and alternatives in democratic initiatives particularly in relation to civic education, decentralization and municipal development, organization and participation at the local level, and government corruption and accountability.	Regular project reviews Semi-annual "management work plans" prepared for the Mission Director.	USAID will have resources, time and interest in developing such an institutional memory.
4. Inputs	(see Annex F in Project Paper)		



Presidencia del Congreso de la República

Guatemala, 6 de agosto de 1992.

Señora
Bambi Arellano
 Directora de Proyectos de Desarrollo
 Democrático y Capacitación
 Agencia para el Desarrollo Internacional -AID-
 Ciudad de Guatemala

Estimada Bambi:

Con las muestras de mi alta consideración, atentamente me dirijo a Usted, para expresarle en nombre del Congreso de la República, nuestro profundo agradecimiento por la colaboración que hemos recibido por conducto de la Agencia para el Desarrollo Internacional del Gobierno de los Estados Unidos de América -AID-. Cada uno de los esfuerzos que hemos emprendido dentro de ese marco, ha obtenido de la Agencia la colaboración y apoyo necesarios para su realización y éxito.

En esta oportunidad, en mi calidad de Presidente del Organismo Legislativo y en su representación, me permito hacer de su conocimiento los siguientes aspectos:

- a) El Congreso de la República, ha expresado su anuencia absoluta para que esta Presidencia celebre un Convenio de Cooperación con la Agencia para el Desarrollo Internacional del Gobierno de los Estados Unidos -AID-, con el propósito de continuar con los proyectos de fortalecimiento institucional del Organismo Legislativo.
- b) La Presidencia del Congreso y la Junta Directiva, han facultado a la Comisión de Enlace, para preparar un proyecto de sub convenio con ASIES, para la formación de la Unidad Permanente de Asesoría del Congreso de la República, órgano cuya urgencia es indiscutible.
- c) Reiterar a su conocimiento, la existencia dentro del Presupuesto de Ingresos y Egresos del Estado correspondiente a 1992, e incluido específicamente dentro del Presupuesto del Congreso de la República, de una contrapartida local por la suma de Quinientos Mil quetzales (Q.500 000.00), para fortalecer los programas de desarrollo institucional que se han concebido.

Reiterando a Usted, las muestras de mi consideración, me es grato suscribirme, atentamente,



EDMOND MULEY
 Presidente





FILE

ANNEX C

Procurador de los Derechos Humanos

5610

Guatemala,
agosto 28 de 1992
Ref. SE.135-92

ACTION
USAGE
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9/10/92
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(Initials)
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Señor
Terrence Brown
Director de la Misión
Agencia para el Desarrollo
Internacional -AID-
Presente

Estimado señor Brown:

De la manera mas atenta me dirijo a usted, para presentarle el proyecto "FORTALECIMIENTO A LA INSTITUCION DEL PROCURADOR DE LOS DERECHOS HUMANOS", el cual es presentado ante la Agencia a su digno cargo, para el requerimiento de fondos adicionales a los ya contemplados en los Convenios suscritos con anterioridad.

El documento de proyecto presenta antecedentes y justificación de esta solicitud, los objetivos y descripción del proyecto, que incluyen básicamente, los componentes de promoción y educación, el fortalecimiento al Centro de Documentación y muy especialmente la operacionalización de la estrategia del Procurador de los Derechos Humanos para este nuevo período constitucional.

Al agradecer el apoyo que se sirva brindar a este solicitud, me suscribo de usted con las muestras de mi consideración y estima.

Atentamente,

Licenciado Ramiro de León Carpio
PROCURADOR DE LOS DERECHOS HUMANOS



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STRATEGIC OBJECTIVE: SUSTAINED EXERCISE OF INALIENABLE RIGHTS

LINKAGE TO PERFORMANCE INDICATORS

PROGRAM PERFORMANCE INDICATOR ^{1/}	END-OF-PROJECT STATUS (EOPS)	RELATED PROGRAM OUTPUTS	RELATED PERFORMANCE INDICATORS
520-0398 DEMOCRATIC INSTITUTIONS PROJECT			
--Improved public opinion/confidence in governing officials & institutions --Improved due process under law	--Strengthened role and function of deputies --Better staff support services --Increased access to technical information	--Strengthened Legislative Capacity	--Increase number of bills reported out of major committees ^{1/} --Increase in major committee (permanent) technical staff ^{1/}
	--Improved oversight of investigations --Development of core/decentralized institutional systems	--Tracking System for Human Rights Violations	--Geographic coverage in reporting of human rights violations ^{1/} --Increased follow-up actions on cases in the tracking system
--Individual free expression and participation --Improved public opinion/confidence in governing officials & institutions	--Foster non-formal education and formal programs in human rights	--Public Awareness in Civic Education and Human Rights	--Increased participation in political organizations ^{1/} --Increase in number of civic and human rights educational activities/radio programming carried out nation-wide --Voter participation in Municipal and National elections
	--Increased awareness of opinion leaders on public policy issues and peaceful conflict resolution in a democratic system	--Public and Private Sector Leadership Development	--ESTNA graduates actively participating in ESTNA Alumni Association
520-0407 JUSTICE SECTOR REFORM SUPPORT			
--Improved due process under law	--Cognizant of issues and alternatives in the area of DI --Strengthened investigative and prosecutorial function --Occurrence of public, oral trials --Functioning professional public defenders program in operation	--Justice Sector Reform Support	--Transparency of court operations --Qualitative improvement in judicial sector institutions performance --Improved public opinion towards effectiveness of the criminal justice system

^{1/} A democratic indicators monitoring system based on nationwide opinion poll to be developed as data source for measuring indicators

520-0145 SPECIAL DEVELOPMENT FUND			
--Individual free expression and participation	--30-40 projects /year benefitting 80,000 - 100,000 people	--Public and Private Sector Leadership Development	--Increased participation in political/community organizations
520-0383 SPECIAL PROJECT ASSISTANCE FUND			
--Individual free expression and participation	--109 projects benefitting 19,000 people	--Public and Private Sector Leadership Development	--Increased participation in political/community organizations
520-0393 GUATEMALA PEACE SCHOLARSHIP PROJECT			
--Individual free expression and participation	--Returnees use participatory methods for decision-making --Returnees involve communities in organization and community action --Returnees employed in field of study, within 1 year --Returnees exercising community leadership, within 5 years of return --Returnees exhibit commitment to principles of democracy/free enterprise --Returnees maintain U.S. linkages	--Public and Private Sector Leadership Development --Public Awareness in Civic Education and Human Rights	--Trained leaders exercising leadership skills post training

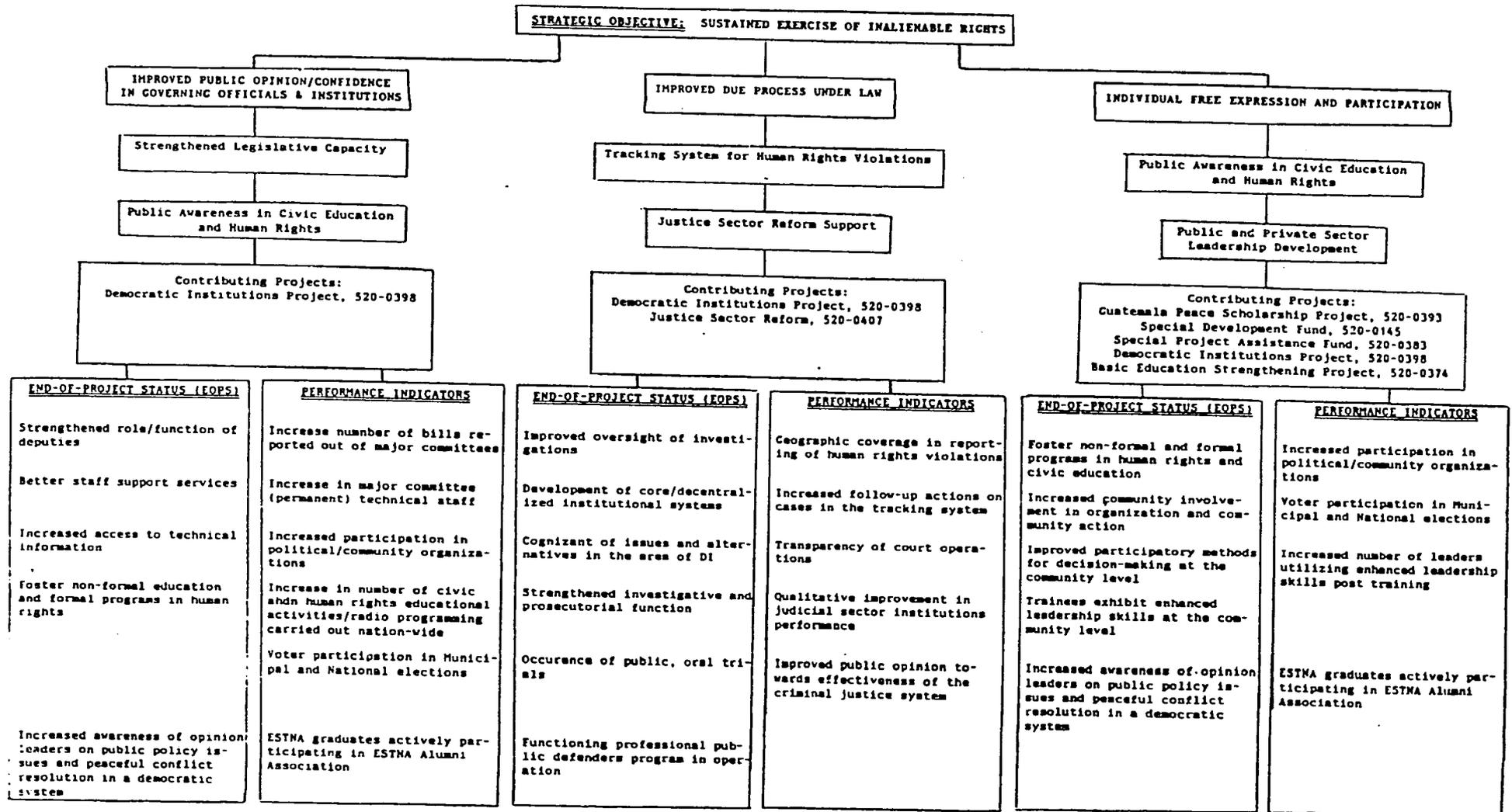
Major congressional committees under DI Project are 1) Legislature, 2) Budget, 3) Environment, 4) Finance and 5) Energy and Mines

Two permanent staff members, i.e., one each technical and legislative expert, per major congressional committee

ODDT anticipates an increase in numbers of human rights abuses reported to the OHRO, in part due to increased rural coverage provided by the OHRO departmental offices coupled with an improved political environment. Taking this into account, an increase in the reporting of human rights violations should be viewed positively -- not as an increase in present day incidences but rather, improved environment together with increased public confidence in the OHRO as an institution. Given this improved climate, many violations presently being reported are from past abuses. To clarify this, the OHRO tracking system will include information on dates of reported abuses.

e.g., political parties, local development councils and community organizations.

Effort will be made to measure level of leadership skills being exercised by training recipients.



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