

PD-ABK-585  
93492

FY 1986 - FY 1989  
COUNTRY TRAINING PLAN  
FOR THE  
CENTRAL AMERICAN PEACE SCHOLARSHIPS PROJECT  
(CAPS)

USAID/GUATEMALA

SEPTEMBER 1985

## TABLE OF CONTENTS

	<u>Page</u>
I. <u>OVERVIEW</u>	1
II. <u>SECTION ONE</u>	13
A. Background	13
B. Strategy	14
C. Issues Identification and Discussion	19
1. Adherence to Jackson Plan Rationale	20
2. Focus on the Target Groups	20
3. Language Problems	21
4. Selection Criteria and Testing Standards	22
5. Cost Sharing	23
6. Obligating Mode	24
7. Contracting	25
8. Macroeconomic and Policy Promotion	26
9. Selection of Training Institutions in the U.S.	26
10. Gray Amendment	27
11. Administrative Costs of Technical Committees	28
12. Coordination with USIS and ROCAP	28
13. Program Management and Mission Staffing	29
14. Evaluation	29
III. <u>SECTION TWO - FY 1985 PROGRAM HIGHLIGHTS</u>	31
A. Short-Term Program Listing	33
B. Breakout of Courses to Date by Type of Participant as of 09-30-85	35
C. Long-Term Scholarships	36
IV. <u>SECTION THREE - FY 1986 - FY 1989 OPERATIONAL     OUTLINE</u>	
Functional Organization Chart	38
A. Opening Statement	39

	<u>Page</u>
B. Mission Advisory Committee	40
C. Selection Committee	41
D. Contractor	42
E. Technical Committees	44
1. Indian Leadership and Other Special Concern Committees	44
2. Public Sector Committee	47
3. Private Sector Committee	50
4. Academic Sector Committee	53
5. Special Program Committee	56
F. Budget and Scholarship Allocation FY 1985-1989	57

## OVERVIEW

This document updates and expands the initial (March 1985) Mission Country Training Plan (CTP). That CTP provided background, strategy and issues statements, plus the operational plan for the entire project period and the proposed first year activities. This update reflects the considerable experience gained since then and incorporates additional ideas that have come to our attention in the first six months of implementation. It is more specific in the operational details of the committee system and in breaking out the budget for scholarships by type (long-term, short-term, academic, technical) and target groups for the period FY 1986 through FY 1989.

The format for this CTP document remains roughly the same as in the original document with modifications based on experiences to date, our additional thoughts on programming options, and the various AID/W (including audit) guidance statements. A new section, SECTION II, reviews the FY 1985 program. 1/ The FY 1986-89 Operational Plan is renumbered as SECTION III.

---

1/ We are defining yearly programs as those funded with that fiscal year's money, even though actual scholarships are continued or begun in following fiscal years.

We regard this document as a four-year outline of new activities that are by type and operational framework compatible with current budget understandings and the development and political agenda in Guatemala, but are not a substitution or expansion of project training. As first indicated in March, we will continue to prepare a separate CAPS ACTION PLAN for each fiscal year, to be completed before December 31 of each year. These annual Action Plans will confirm activities outlined in the four-year framework as well as reflect adjustments and changes dictated by experience and events in the prior year. Some of the reasons supporting this flexible approach are as follows.

In just the six months since March, we have learned a great deal and have used the CAPS program in innovative and imaginative ways toward both our development objectives and the larger purposes of the Jackson Plan. Nevertheless, we are still testing the realism of some of our assumptions for identifying, selecting and preparing large numbers of candidates from the target groups, particularly for long-term scholarships and for undergraduate programs.

For FY 86 and beyond we will conduct the program more formally along the lines given in the operational outline of the

March document, i.e., through five technical committees. Although the program will still be controlled by the Mission, the mechanics of implementation will be part of the work delegated to a contractor. Project managers will devote their attention to working with the technical committees. Guatemalan members of these committees will be distinguished community representatives who will jointly with USAID personnel delineate priority action areas and allocate resources. Activities will also be coordinated with the USIS CAPS program to avoid duplication and achieve maximum program impact and best use of funds. USIS representatives will sit on the selection committee.

Among the challenges which we will seek to address with the CAPS program are economic policy reform and a whole new set of public administration policies and practices. After decades of nearly unbroken military rule and the weathering in recent years of a major insurgency, power is to be transferred in early 1986 to popularly elected civilian authorities (presidential, congressional and mayoral) under a new Constitution. The preservation and maturing of this return to democracy is the expressed will of the Guatemalan people and a central objective of U.S. policy in Guatemala.

However, the hope that this historic shift will engender public confidence and result in more stable political and economic conditions will rise or fall on much needed economic policy and public administration reforms which are yet to be spelled out. For example, among the changes needed and called for in the new Constitution, is a revision of the administration of justice. While the Mission has clear ideas of its own as to how the USAID-sponsored Democracy Initiatives and Administration of Justice regional programs can be supported in Guatemala by CAPS, the as-yet unexpressed plans of the new leaders will perforce shape the role we can play. Similarly, the new government will be facing a deepening economic crisis. What monetary and fiscal policies it enunciates will again tone how CAPS can be a helpful intervention over the longer term in both national and regional terms. Each of these realities argues for the flexible approach we are advocating, with yearly ACTION PLANS building more specifically on the overall OPERATIONAL PLAN.

Beyond the administration of justice and economic planning the program seeks to provide training opportunities in public administration more generally, in business, in agribusiness, in education, health, family planning and other areas of mutual Guatemalan and U.S. interest, both through long and short term offerings and with a continued strong emphasis on recruiting

disadvantaged, indigenous and women candidates. How we provide focus to the work of the technical committees toward these larger objectives is a matter of considerable concern to us.

The group scholarship approach using the Spanish language that has worked so well thus far to provide opportunities to disadvantaged Guatemalans will be continued, particularly for short-term technical courses. The special new Rural Scholarships Program funded by CAPS is intended to provide remedial education to indigenous long-term candidates to qualify them for undergraduate scholarships and is described in ISSUE 4 of SECTION ONE. For further planning and focus, we propose to identify in advance for the technical committees those specific subjects of common interest to Guatemala and the U.S. that are pertinent to the Jackson Plan and development rationale we are pursuing. For each such target area, we will elaborate specific goals and tailor scholarship opportunities over the life of the program toward advancing those objectives, frequently in tandem with political and development objectives also supported by activities of other national or donor programs in Guatemala. Finally, each of these target area groupings will be the specific responsibility of one of the technical committees.

We see this approach as having several distinct advantages. One, it will help ensure that flexibility does not slip

into opportunistic programming without reference to the overall CAPS goals. Two, it will also help us and the committees select among competing candidacies and provide us with a mechanism to deflect pressures (already considerable) for candidate selection for personal or political reasons unrelated to our larger goals. Three, while we are under no illusions that CAPS is a kind of super glue binding together all other development and political goals, we nevertheless do see it as an important and substantive program integration instrument. Four, we see this approach as facilitating the evaluation of past years efforts and the preparation of successive annual action plans. Based on evaluation results and budget realities each year, priority action areas can be modified, expanded, dropped or new ones added, with an eye to retaining the high profile political and development impact intended for CAPS. Finally, defining our priority areas in this way should facilitate the work of ST/IT in identifying the best U.S. institutions for implementing the program and should help those institutions to understand and support our larger CAPS objectives.

Some such target areas we view as appropriate for initial implementation in the FY 1986 Plan are described below. The FY 1986 CAPS Action Plan will incorporate these and such others as may be identified in our continuing dialogue. Each is briefly

defined here and then associated with a specific technical committee in SECTION III, THE OPERATIONAL PLAN. We expect considerable refining and rethinking of each of these as we proceed to prepare the FY 1986 CAPS Action Plan, particularly to ensure full coordination and agreement with our Guatemalan colleagues and incorporation of their views.

Administration of Justice and Democracy Initiatives

Possible activities in these areas have been discussed in a number of cables (see especially STATE 88740, GUATEMALA 9675 and SAN JOSE 8322 (Classified) and through TDY visits of managers and contractors for the two regional projects. The current climate for such activities is positive and should be even more so following the elections. Training in civil law, penal code practices, orientation trips for newly elected officials and judges, and courses in parliamentary matters are but a few of the possibilities in this area. Activities in this priority area will coincide in part with some of those envisioned for the public administration sector. One constraint here is that many of the most advantageous opportunities for administration of justice imply training outside the U.S., e.g., at IJANUD in Costa Rica, since Guatemala uses the Spanish legal code in its judicial system.

### Macroeconomic and Policy Promotion

The Mission sees a real need to include macroeconomic policy as a special target training activity. The Mission's Program Economist will lead efforts to design a four-year short and long term training package focussed on enhancing policy dialogue and macroeconomic performance in both public and private sectors. This target complements a number of other subject areas, such as public administration and export promotion.

### Indian Leadership and Local Administration

Local administration activities in this instance will center on the specific differences in procedures followed in the Highland Indian village communities as opposed to more urban and Ladino areas. Leadership enhancement opportunities will be both short and long term. This priority area coincides with virtually all other priorities in the sense that the program seeks to integrate the indigenous population more completely into all aspects of the national life.

### Public Administration

As noted in the OVERVIEW section, Guatemala will shortly elect a civilian government and be operating under a new Constitution. The current state of public administration needs

considerable overhaul and improvement at almost all levels. There will be special focus, if circumstances permit, on improving tax administration and on the collection, analysis and application of statistics. Advantage will be taken of the Census Bureau's recently approved ESAYTEC proposal, among others. Efforts to upgrade local institutions providing higher education opportunities in public administration may be supported by offering advanced degrees for key faculty in both public and private educational institutions. Again, this is an area with substantial linkages to other priority training activities.

#### Export Promotion

The Mission strengthening the nation's export capability sees this as principally a private sector activity centered on improving small farmer agribusiness links and to be achieved in combination with supporting adjustments in economic and fiscal policies. As stated in the Mission's FY 1986-87 ACTION PLAN, the objective is increased rural incomes and productivity through greater demand for small farmer produce, expansion of processing firms and expansion of the human capital endowments of the rural poor. Specific short-term courses directed at these objectives began in the FY 1985 program and will continue for the balance of the CAPS life of project. At the same time key public officials responsible for the public sector's export

policy may be encouraged to participate in fora which link public and private sector participants.

#### Business, Managerial and Technical Upgrades

This priority area is also almost exclusively a private sector activity. The Mission and the technical committee will work closely with the local business and professional associations to identify specific bottlenecks which can be addressed through CAPS scholarships. The Mission would like to tie some CAPS scholarships in this area into the Northeastern University network for International Cooperative Education Program. The Mission will also consider with the technical committee the feasibility and desirability of working with the International Executive Service Corps (IESC) to identify technical and managerial constraints in firms they deal with. Emphasis will be placed on the key internal linkages within the organizational structure of businesses as well as the required interaction with public sector institutions administering policy and revenue generation activities.

#### Primary Education

This area will assist in improving the bilingual education program and the administration of education programs generally

throughout the country. As important opinion makers in any community, teachers will also be exposed to leadership training opportunities and utilized to deepen popular understanding and rapport for the democratization process. Private sector elementary school teachers may receive specific training in civics and individual responsibility for behavior within the community at large. The inclusion of private sector educators is important since they shape many of tomorrow's leaders at the outset. Similarly, there are many community leaders donating their time and energies to improving education in both rural and urban areas. Some of these may be sent to the States to study the dynamics involved in this process.

#### Higher Education

Focus here is on faculty upgrading and enhancing the natural role of university professors as a leading force in the promotion of ideas. Subject areas of special interest would be traditional development concerns and the promotion of democracy, such as economic policy, public administration and planning, agriculture, agricultural economics, health and family planning, interpersonal relationships, civic responsibility among others. But, the program will also identify for support newly emerging areas such as computer sciences. One side benefit sought would be improved links and possible improved accreditation practices between Guatemala and U.S. universities.

Public Health

Scholarship opportunities will attempt to promote better understanding and acceptance of low-cost preventive medicine practices and family planning logic and options. Administrators of health agencies (public or private) will be offered the opportunity to explore ways to be more effective in the management of personnel and resources in those institutions offering services to the public at large. Practicing medical personnel will be encouraged to offer low-cost preventive health care services and study the role of the family practitioner in the community. Techniques in highly specialized health interventions will not be sponsored under this program. Opportunities will be offered to upgrade practical nursing skills as well as institutional personnel providing training for this service group. We will be exploring possibilities to establish a cadre of trained counselors to assist the medical profession in the treatment of alcoholism, a serious health problem, particularly in rural areas.

SECTION I

A. Background

The Central American Peace Scholarship (CAPS) Project is a major nontraditional training initiative recommended by the National Bipartisan Commission on Central America (NBCCA). A principal purpose of the program is to promote democratic processes and counter a high level of Soviet Bloc efforts in recent years to influence policies and attitudes toward their views.

STATE 9534 dated January 11, 1985 (Annex A) announced the DAEC approval of the AID/W project paper encompassing the total AID involvement in the program. This cable also provided guidance for the preparation of individual country five-year plans and specific FY 1985 Action Plans. GUATEMALA 1057, dated January 30, 1985 (Annex B), provided this Mission's Operational Plan for the five-year program and requested funding for the specific FY 1985 initiative. Subsequently, in March 1985, the Mission's initial CTP was submitted. AID/W reviewed the document and approved first year funding of \$3.4 million, later increased to \$5.1 million.

This CTP incorporates findings from the program's implementation to date as well as AID/W guidance received. It should be noted that, while the Mission's understanding of and approach to the issues have deepened considerably in the initial six months of implementation, we make no pretense of having closed the loop and intend continued careful attention to the issues with program adjustments to be made as appropriate.

Based on our first year program experiences, the Mission is convinced its CTP is operationally feasible, consistent with Jackson Plan thinking, and particularly responsive in the degree to which it has involved and will continue to involve indigenous and disadvantaged persons and women. It meshes well with our longer term country development strategy in advancing both growth with equity for all Guatemalans and the promotion of a more vigorous private sector to underwrite future growth and democracy prospects.

#### B. Strategy

The proposed scholarship program responds directly to both USAID and the Government of Guatemala's development strategies. Over the past decade, the Guatemalan Government has focused increasingly on the seriousness of the country's socio-economic problems, identifying the wide inequities in well-

being which exist between the modern sector and the traditional agricultural economy. Successive national plans as well as annual budgets have been consistently overly optimistic about the capacity to implement development programs. Training plans have identified critical institutional weaknesses in the areas of project design and execution, particularly inadequate technical and limited administrative capacity. These factors as well as budget realities have constrained national growth.

The program is also a direct U.S. response to the sharply higher training investments of Communist Bloc countries, intended to extend their influence and ideology to countries in the developing world. Two-thirds of the 110,000 foreign students studying in the Soviet Union, Eastern European countries and Cuba in 1982 came from non-Marxist developing nations. Scholarships provided by Communist Bloc countries are carefully targeted to social, political and ethnic groups where their influence will be most useful.

In Guatemala specifically, scholarship opportunities for Bloc countries are offered to individuals directly through Soviet or Bloc country missions in Mexico and Costa Rica. Because of the private nature of such offerings, we are unable at this time to provide exact numbers of Bloc scholarships, but reliable sources estimate these to be at least 20-25 annually.

On another level, Bloc resources support and supply with training and materials the efforts of four separate armed insurgent groups in Guatemala operating principally in the Highlands indigenous areas: ORPA (Organización Revolucionaria del Pueblo en Armas or the Revolutionary Organization of the People in Arms), EGP (Ejército Guerrillero de los Pobres or the Guerrilla Army of the Poor), FAR (Fuerzas Armadas Rebeldes or the Rebel Armed Forces) and the PGT (Partido Guatemalteco del Trabajo or the Communist Labor Party, i.e. the official communist party). Again, it is extremely difficult to put precise amounts to the levels of Soviet and Soviet proxy assistance to these groups and to corollary propaganda and recruitment efforts in unarmed destabilizing activities. However, it should be noted that Guatemala has endured a substantial level of both left and right wing political violence in recent years and it is reasonable to assume Bloc assistance to the left is substantial.

Current insurgent activities center on small-scale target-of-opportunity group assaults, selective individual terrorist activities in both rural and urban areas and a propaganda campaign against the electoral process. The insurgency in Guatemala has been spurred in part by prior governments' failures to redress legitimate and long-standing grievances endured by the Highlands indigenous population. However, in classic form,

these have been exploited by Soviet Bloc agents and proxies to attempt to promote their kind of solution. For their part, the Government and people of Guatemala have voted for an orderly and democratic path of change, first for a new Constituent Assembly in July 1984 and soon (November 3) for a return to full democratic government with nationwide presidential, congressional and mayoral elections. USAID's development program and now our CAPS program concentrate resources on the Highland indigenous population to help achieve peaceful change.

Recognizing these overriding realities and working in the context of the larger Jackson Plan rationale, USAID's strategy for CAPS is to target resources toward closing human capacity and work force gaps across a range of functional areas critical to the support of democratic processes as well as of economic and development objectives in both the short and long terms. As noted, its particular focus is on upgrading skills and opportunities among Guatemala's indigenous, female and economically/socially disadvantaged groups.

Toward this end, the Mission's operational plan establishes five separate technical committees charged with recruitment and nomination activities. Each of these committees has appropriate Mission, and public and private sector Guatemalan representation. An overall coordination and final selection approv-

al committee controlled by the Mission ensures the smooth functioning of the program and adherence to the larger program rationale. A Mission advisory council will review the status of the program periodically. Programming funds through the committees to specifically targetted opportunities as earlier outlined should focus activities and enhance achievement of program goals. The Mission also plans to employ the services of a contractor (see Issue 7; this Section) directed to processing candidates and working with the Mission and ST/IT in Washington to arrange placement and support of participants in the States. The contractor will also be tasked with evaluation follow-up on their return.

The criteria for each technical committee promote training for socially and economically disadvantaged Guatemalans and mandate strong participation by indigenous citizens and women. Nevertheless, to emphasize our commitment to this goal and maximize such opportunities, one of the five technical committees (the Indian Leadership and Other Special Concerns Committee) has this as an exclusive action area.

The remaining committees cover as separate target areas (1) the private sector, (2) the academic sector, (3) the public sector (with particular focus on policy reforms, fiscal and monetary management, and efficiency of operations), and (4)

special cases (principally private individuals as walk-ins and training in support of the objective of promoting the growth of democratic ideals and processes and the administration of justice). To further ensure adherence to the larger CAPS strategy and logic, the CTP developing the final four years of the program sets forth non-binding but precise budget and short-term/long-term guidelines for each committee's area of concern.

C. Issues Identification and Discussion

Global program issues were covered in the AID/Washington approved regional project paper. Additionally, GUATEMALA 1057 (Annex B) covered a range of Guatemala-specific issues preliminary to proceeding with first year program funding and implementation. As noted in GUATEMALA 1057, at that time the Mission considered that the early crucial issues had been adequately treated and the FY 1985 program could proceed. This expanded section looks at those and additional issues again. As mentioned in the OVERVIEW, we have developed deeper insights and approaches to many of these issues in just the first six months, but intend continued review and study, particularly in consultation with LAC/DR/EST, ST/IT and to take advantage of the experiences of other Missions. The following is our updated look at those issues.

1. Adherence to Jackson Plan Rationale

Beyond the social and economic rationale for training programs, the Jackson Plan (and NBCCA) identified sound training as a way to increase the appeal of democratic processes and counter Communist Bloc efforts to extend their influence. While this has always been an unspoken premise of AID programs, the Mission is structuring selection and training activities with a more direct eye to achieving this result, in particular through the democracy initiative and administration of justice module and through the continued targeting of scholarships for large numbers of indigenous Guatemalans, the group made most at risk by the recent and continuing insurgency, as described in the STRATEGY statement in SECTION I, above.

2. Focus on the Target Groups

Through careful monitoring of early program performance, the Mission has identified effective ways to include a high percentage of participants from the target groups, including women, indigenous Guatemalans and socially/economically deprived persons. Concentration on these target groups is viewed as particularly valid not only for social and economic development purposes, but also as support to the growth and extension of democratic processes. We are particularly pleased

with the early success of the groups-in-Spanish concept to help deal with the deeper language and culture shock phenomena these groups could expect to encounter during training in the United States and to maximize the number of such participants. The first months have demonstrated not only our ability to recruit and motivate such groups, but to design and implement highly useful activities for them in both development and political terms. We plan continued follow-up and evaluative activities to deepen this early success.

### 3. Language Problems

Since more than 50 percent of Guatemala's population is composed of indigenous persons for whom even Spanish is a second, and frequently remote, language, we have been looking for ways to resolve this constraint to the Mission's minority-targeted efforts, including intensive in-country English language courses offered through several different organizations for both short and long-term candidates and pre-academic language courses offered by participating U.S. institutions for long-term participants. The use of the groups-in-Spanish model has been very effective for our short-term programs.

For long-term participants, in addition to training in the States prior to academic studies, the Mission would like to

provide improved in-country training opportunities through a grant to the private, but USIS-sponsored, Guatemalan-American Institute (IGA). The grant would allow IGA to upgrade its English language offerings by contracting with a qualified U.S. institution to conduct a training of trainers program. A similar effort in Egypt helped make substantial progress against English language training requirements of the \$45 million Peace Fellowships program. Such a program here, if successful, could also benefit other USAID training programs and U.S. interests more generally. The Director of IGA, a U.S. Foreign Service Officer, has given the Mission a modestly priced two-year proposal (some \$270,000) to achieve this result. The Mission would like to use FY 1986 CAPS funding for this purpose. copy of the IGA's initial proposal is ANNEX THREE to this CTP.

#### 4. Selection Criteria and Testing Standards

The Mission recognizes a need to maintain maximum flexibility in candidate selection, particularly in light of the larger Jackson Plan objectives. Nevertheless, an effective and impartial selection process requires the imposition of qualifying criteria sufficiently well-defined to ensure a merit-based system, particularly for long-term training candidates. Adequate testing methods will also be necessary for timely identification of pre-departure language training and remedial mathematics and science needs of individual candidates. Selection

criteria for each committee's areas of expertise and concern are spelled out in SECTION III, along with other pertinent details of the committee's activities.

The Mission has also considered a variety of approaches to resolve these problems, including U.S. contractor services and use of locally qualified testing/training institutions such as the American School, the American Guatemalan Institute, and others. In September 1985, to get at the particular problems of our principal target group (indigenous Guatemalans) and with the approval of the Bureau, the Mission made a \$300,000 grant from FY 1985 CAPS funding to Del Valle University for the Rural Scholarships Program. The specific purpose of this grant is to allow Del Valle to offer up to fifty scholarships for indigenous students to help them prepare for eventual long-term CAPS stateside scholarships at the undergraduate level.

##### 5. Cost-Sharing

As anticipated, significant problems with obtaining any cost sharing for most of the minority-focussed programs have been encountered. In other areas, we continue to test the limits of cost-sharing generally, particularly for institutionally and private sector-sponsored candidates. However, in the current climate of economic crisis in Guatemala and because of the

extreme shortage of foreign exchange and the continuing devaluation of the quetzal, we find little capacity for any significant cost sharing by CAPS scholarship recipients, the more so given the degree to which our candidates have been and will continue to be drawn from the disadvantaged groups of Guatemala.

Even when long-term candidates have come from public sector institutions, they have frequently been unable to obtain even adequate family support quetzal payments for the family left behind, much less any sharing of the dollar costs of training. It should be understood that this is not an arbitrary or careless attitude on the part of the government, but the result of very deep public sector spending cuts dictated by the economic crisis. Nevertheless, some groups, particularly private sector groups, have been able to defray partial costs in quetzales. For all training, payment of travel costs by the participant or host country sponsor has been waived. The alternative would be, for all practical purposes, no CAPS program.

#### 6. Obligating Mode

Because of time constraints that prohibited effective contracting at the program's outset and also because we were concerned with the need to achieve an effective and innovative program, we did not wish to lock ourselves and the program into

a traditional training program by granting the funds to a single or even several host country entities. Consequently, the Mission obligated funds in the first year through a series of PIO/Ps. We continue to assess this further as we go along and, look for other options that may be operationally more flexible.

The burden of obligating through PIO/Ps is not sustainable in the long run, but the key constraint here is that the Mission does not believe that operational control and effective response to the program's wider goals can be ensured by a grant obligation to any one or even several host country institutions. Our tentative idea at present is to continue with the PIO/P approach, but to consider separate limited scope grant agreements for each year with each committee centered on priority target activities. However, before committing to any binding approach, we wish to review other Mission's ideas and experience and to explore this issue further with the Bureau and ST/IT.

## 7. Contracting

Longer term contracting needs and options are contingent in part on the obligation mode pursued. However, as a starter and as already indicated, for the final four years, initial Mission sentiment leans toward one master contractual

arrangement along the lines of the AMIDEAST contract for the Egypt Peace Fellowships Program to manage the process of assisting the committees and the Mission with testing, clearance, placement, orientation, travel and follow-up activities. The Mission intends that the contract include stipulations for a strong linkage between the Guatemala specific contractor and S&T/IT's general contractor(s) (possibly even as a subcontract with S&T/IT's principal contractor) for purposes of effective coordination overall. Given our own learning process, we will likely begin with a one-year contract, with options to continue depending on our needs, contractor performance and AID/W guidelines.

#### 8. Macroeconomic and Policy Promotion

The Mission now sees this as more of a course content item than as an issue and is discussing it as a priority target area in SECTION III.

#### 9. Selection of Training Institutions in the U.S.

Although this has been a concern from the beginning of the program, it was not specifically listed as an issue in the March paper. The problem was deepened somewhat by the new set of contracting rules that took effect April 1, 1985. To avoid

problems in this area and to ensure program momentum, the Mission to date has relied on the selection authorities exercised by ST/IT to identify and contract with eligible institutions for participant placements. ST/IT has done a superlative job for the Mission in this regard and it is Mission intention to continue to rely on ST/IT and its contractors for this critical function. We and all other LA Missions recently received important and helpful guidance message from ST/IT which is included as ANNEX FOUR.

10. Gray Amendment

USAID/Guatemala has an excellent overall record of compliance with Gray Amendment requirements (some 70 percent of all FY 1985 contracts were awarded to minority, women-owned or small business firms.) Nevertheless, we would like to improve on it, particularly for the use of HBCUs in placing candidates through ST/IT. Additionally, we seek LAC/DR/EST advice and consent to contract in FY 1986 with CAPS funds with a qualified 8a firm to develop a specific CAPS training program aimed at the particular needs and opportunities among the predominantly black and disadvantaged Guatemalan population living in the Livingston/Puerto Barrios area.

11. Administrative Costs of Technical Committees

These committees are composed of a wide range of Mission and Guatemalan representatives. For the latter, their work will necessarily involve some support arrangements. The Mission will be including these to the extent possible as allowable items for the main contractor firm to cover as part of its coordination and processing responsibilities. Start-up of these arrangements is scheduled for FY 1986 and the Mission seeks Bureau advice on the legality and advisability of including such payments from CAPS resources.

12. Coordination with USIS and ROCAP

USIS and ROCAP each have discrete funding for separate CAPS programs. The Mission is concerned that close coordination exist among the groups to avoid duplication and toward formulation of some special programs, e.g., the macroeconomic and policy packages. The Mission continues to keep these organizations as well as other Country Team elements current on its program. To date, USIS has focused its efforts on an expansion with CAPS funding of its ongoing Fulbright program and on a new undergraduate scholarship program. The Mission is particularly interested in the latter. We are concentrating our hopes for an undergraduate program on the success of the

just-signed grant with Del Valle University for a Rural Scholarships Program aimed principally at Highland Indians (see issue 3 for details). The Georgetown and Arkansas programs are also oriented to undergraduate training.

### 13. Program Management and Mission Staffing

CAPS is a major program initiative with considerable U.S. and FSN direct-hire and contract staffing implications. By dint of an extraordinary and talented effort of the Mission's Training Office and superlative backstopping by ST/IT, its contractors and participating institutions, this Mission believes it currently has the program well in hand. However, we believe it is necessary to look more closely at staffing and contracting needs as the program progresses as well as at equipment requirements for planning, tracking and reporting purposes.

### 14. Evaluation

Given the size and scope of this training program, the emphasis on disadvantaged group participation, and the promotion of larger than usual AID objectives mandated by the Jackson Plan and NBCCA recommendations, the Mission anticipates a need for continuous internal evaluation of program progress and

probably wider annual reviews. The Mission has been concerned that the emphasis on the disadvantaged would probably result in higher than normal levels of individual participant failure as well as potential disagreement among some host country opinion makers regarding the nature and intent of the U.S. in sponsoring this program. To date this has not been the case.

We have been asking the implementing institutions for feedback on progress to date and to try to identify short-term participants with the capacity for longer term scholarships. INCAE International has been especially responsive in this regard, even to the point of conducting follow-on two and three-day courses at their own expense with returned participants. Between September 26-28 INCAE conducted just such a follow-on course for the first group of CAPS participants who went to the States in May 1985. Twenty-six of 30 participants conducted small business efficiency studies in their home areas and presented their findings at the follow-on course. A copy of the proceedings has been sent to LAC/DR/EST and ST/IT. They are also initiating a returned participant association. Following completion of the full first year program, the Mission intends an outside independent evaluation of the program. This should be arranged during the third and fourth quarters of FY 1986 with funding from the program.

SECTION II

FY 1985 PROGRAM HIGHLIGHTS

In response to Agency, Congressional and Mission desires for a rapid start-up, a separate FY 1985 program was developed with the March CTP, and following the timely allocation of funds by AID/W, participants began to go to the States in May 1985. At that time, the Mission planned for a total of some 240 participants in ten short-term programs with 20 more long-term scholarships in various disciplines, five each in education, agriculture, private sector promotion, and health and population with a high percentage of scholarships to go to women and/or indigenous citizens. The actual final numbers for FY 1985 funding will be close to, if not over, 800 scholarships, including 26 or 27 short-term technical groups and 25 individual long-term participants. The vast majority of scholarship recipients are from the principal target groups.

To help obviate language and culture shock problems and to facilitate processing, in the FY 1985 program the Mission tested with considerable success a group training concept (fifteen to forty persons in each group) and arranged for all short-term training in the first year to be in Spanish.

In the interest of fast start-up, the first year program has been managed separately from the final four, (with the Mission and its technical offices assuming the role of the technical committees and the Program/Training Office doing the work projected for contractors).

For first year activities, the Mission opted to conduct pre-orientation activities in-country with very positive results. The U.S. Ambassador and/or the USAID Director addressed almost all groups during the orientation sessions and emphasized not only the specific technical concerns of each group, but in particular the larger Jackson Plan political thrust of the program. Each group was programmed for a week's visit to Washington, D.C. to deepen participants' exposure to the U.S. cultural and political scene. These programs were arranged by ST/IT using the facilities of the International Center.

Finally, for a number of the groups, particularly those composed of indigenous and other disadvantaged personnel who

had no prior experience with international travel (many in fact had never been as far as Guatemala City and and most had never been in a plane), the Mission arranged for the Training Officer to accompany them to the States and through the first week of training. This "survival orientation" proved to be particularly useful. Following is a brief statistical rack-up of the FY 1985 program.

A. Short-Term Program Listing

<u>Type of Group</u>	<u>No. of Persons</u>	<u>Place of Technical Training</u>	<u>Date of Departure</u>
<u>Completed</u>			
1. Supervisors of Health Promoters	30	Miami	05-05-85
2. Rural Enterprises	30	Miami	05-26-85
3. Bilingual Promoters	24	Albuquerque	06-02-85
4. Health Promoters	30	Miami	06-16-85
5. Health Managers	10	Sta. Cruz	06-23-85
6. Bilingual Promoters	24	Albuquerque	06-30-85
7. Non-Traditional Exports	30	Miami	07-07-85
8. Rural Enterprises	33	Miami	07-28-85
9. Rural Coop. Admin.	25	Miami	08-18-85

<u>Type of Group</u>	<u>No. of Persons</u>	<u>Place of Technical Training</u>	<u>Date of Departure</u>
<u>Completed (Cont'd)</u>			
10. Rural Promoters Pre- ventive Health	30	Miami	09-08-85
11. Non-Traditional Exports	30	Miami	09-08-85
12. Non-Formal Education	20	Michigan	09-12-85
<u>Pending</u>			
13. Natural Resources	36	Puerto Rico	10-07-85
14. Small Enterprises	40	Miami	10-13-85
15. Health Promoters	30	Miami	10-13-85
16. Appel Harvesting	25	Miami	10-20-85
17. Rural Community Volunt.	34	Boston	10-27-85
18. Small Enterprises	40	Miami	11-10-85
19. Health Promoters	30	Miami	11-10-85
20. Rural Cooperatives	40	Miami	11-24-85
21. Health Promoters	30	Miami	11-24-85
22. Rural Community Volunt.	34	Boston	Pending
23. Rural Community Volunt.	34	Boston	Pending
24. Rural Melon Production	30	Texas	Pending
25. Natural Resources	40	Puerto Rico	Pending
26. Non-Formal Education	25	Michigan	Pending

B. Breakout of Courses To Date by Type of Participant as of September 30, 1985

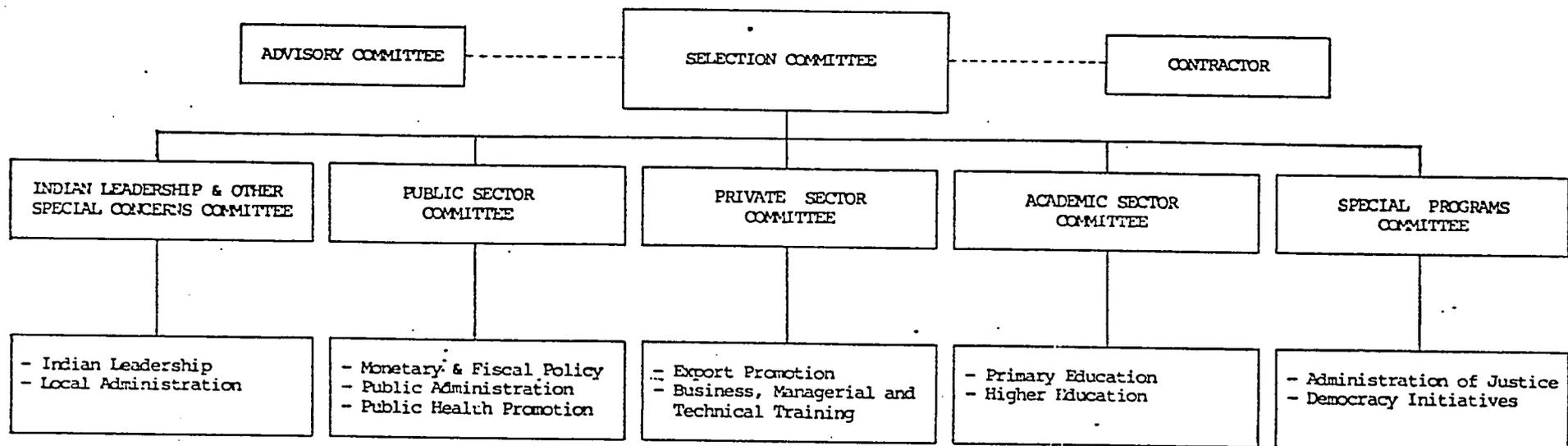
<u>Program</u>	<u>WOMEN</u>			<u>MEN</u>			<u>TOTAL</u>
	<u>Indi- ge- nous</u>	<u>Ladi- nos</u>	<u>Total</u>	<u>Indi- ge- nous</u>	<u>Ladi- nos</u>	<u>Total</u>	
1. Health Pro- moters	--	23	23	--	7	7	30
2. Small En- terprises	--	20	20	--	10	10	30
3. Bilingual Promoters	7	4	11	7	6	13	24
4. Health Promoters	5	8	13	5	12	17	30
5. Health Managers	--	6	6	--	4	4	10
6. Bilingual Promoters	7	3	10	7	7	14	24
7. Non-Trad. Exports	--	6	6	--	24	24	30
8. Small En- terprises	5	19	24	5	4	9	33
9. Rural Co- ops. Admin.	--	2	2	10	13	23	25
10. Health Promoters	2	2	4	17	9	26	30
11. Non-Trad. Exports	--	5	5	--	21	21	26
12. Non-Formal Education	--	3	3	--	17	17	20
<u>TOTALS</u>	<u>26</u>	<u>101</u>	<u>127</u>	<u>51</u>	<u>134</u>	<u>185</u>	<u>312</u>

C. Long-Term Scholarships

<u>Name</u>	<u>Field of Training</u>
<u>In the United States</u>	
1. Guillermo Díaz	M.S. in International Agriculture Development
2. Efraín Mendoza	M.S. in Ag. Economics/Cooperative Development
3. Luis Armas	M.S. in Statistics
4. Hugo Orellana	M.S. in Ag. Economics/Farm Management
5. Celestino Tay	Ph.D. in Education
6. Feliciano López	M.A. in International Law
7. José Coc	M.A. in Educational Administration
8. Luis Enrique Sam	M.S. in Linguistics
9. Juana Otzoy	M.A. in Educational/Social Psychology
10. José López	M.S. in Public Health
11. Sara Solís	M.S. in Public Health
12. Lilian González	Bachelor Degree in Business Administration
13. David González	Bachelor Degree in Electrical Engineering
<u>Pending Departure</u>	
14. Guido Andretta	Technical Training in Infectology/Pediatrics
15. Luis Rosal	Technical Training in Neumology/Pediatrics
16. Jorge Muñoz	Technical Training in Program Design and Evaluation for Maternal, Child, Infant Population

<u>Name</u>	<u>Field of Training</u>
<u>Pending Departure (Cont'd)</u>	
17. Mario Fuentes	M.A. in International Management
18. Roberto Gálvez	M.A. in International Management
19. Armando Velásquez	M.A. in International Management
20. Luis Lara	M.A. in International Management
21. María Bixcuil	Specialization in Public Health
22. Carlos Mejía	M.S. in Public Health
23. Iván Azurdia	M.S. in Renewable Energy
24. Mario Funes	M.S. in Public Administration
25. Félix Mencos	M.S. in Public Health

CAPS TRAINING PROGRAM  
Functional Organization Chart



### SECTION III

#### A. Opening Statement

This CTP serves as a fuller statement of program objectives and anticipated EOPS in selected areas of program concentration. It is to be followed by separate and specific FY Action Plan submissions detailing each successive year's activities. It and the separate year action plans will build on lessons and gains of prior years and, hopefully, a cross-fertilization of ideas and experiences from across the region. The following pages remain directed to the operational structure and implementation mode this Mission proposes to use to control the mechanics of the program and to assign priorities and budgets.

The outline identifies the control structure, the responsibilities of each operating unit, selection criteria for each of

the technical committees and target priority area to be emphasized by each committee. Selection criteria and testing standards for long-term candidates reflect the concerns discussed in the ISSUES section. The operating units and the composition of committees by membership are defined in this section of the CTP.

B. Mission Advisory Committee

USAID Director, Deputy Director, Program Officer and  
Training Officer

EMB Deputy Chief of Mission

USIS Public Affairs Officer and CAPS Project Manager

C. The Selection Committee

Responsibilities

- Review of candidates' documentation (after presentation by the technical committees and preliminary screening and testing by the contractor).
- Final recommendation to AID/W of participants to attend training programs.
- Transfer of all documentation to contractor for placement and related services.
- Monitoring and control of contractor activities.
- Overall coordination with all in-country, regional and U.S. participating entities, including USIS, Peace Corps and ROCAP.
- Evaluation and day-to-day direction of the whole program.

---

Chaired: .PRM:TRG , USAID/Guatemala

Education Office Chief  
Agriculture Office Chief  
Health Office Chief  
PDSO Office Chief  
USIS Representative

---

D. Contractor

Responsibilities

- Preliminary screening, testing, and individual reports on the qualifications of each participant proposed by technical committees before the Selection Committee makes final selection.
  
- Documentation on approved participants after selection will be returned to the contractor to proceed with all the logistic services involved, such as: identification of training institutions (in cooperation with ST/IT), placement of students, appropriate orientation, all related payments (university fee, books, health insurance, maintenance allowance, thesis, etc.), the issuance of student visas, maintenance advances, international travel, English language training, etc. Some of these responsibilities will be modified following LAC/DR/EST and ST/IT advice to the Mission as to the role of Washington entities and contractors in the overall program. An RFP should be prepared and issued before December 31, 1985.

- Training institutions and training budgets presented by the Contractor will need the approval of PRM/TRG, USAID/Guatemala.
  
- The contractor will be required to present quarterly written reports on the financial and statistical status of the program and individual students' progress.
  
- The contractor will report to the Mission's Program and Training Officers.

E. Technical Committees

1. Indian Leadership and Other Special Concerns Committee

Purpose: Selection of indigenous citizens, women and/or individuals who are socially or economically disadvantaged.

Target Students: Individuals from the target groups drawn from rural and marginal urban areas.

Priority Activity Areas: Indian Leadership and Local Administration.

Selection Criteria:

- Membership in a special concern population.
  
- For long-term academic scholarships, successful completion of the Del Valle University testing and remedial training (if needed) program established by the Rural Scholarships Program grant.
  
- Potential for long-term leadership within the country.

- Ability to influence peers or subordinates.
- The importance of the training to development needs.
- The level of training required by the country.
- Financial need of the individual.

Levels and Fields of Training: Generally, intensive short-term technical or long-term academic (undergraduate or graduate) training in the U.S. will focus on basic and intermediate levels of administration and management skills related to the following fields: village government, education, health and population, nutrition, agriculture, and cooperative marketing and production. For short-term training, group training and training in Spanish will be used wherever feasible or appropriate.

Committee Responsibilities:

- Dissemination of publicity and information on the training program to interested institutions or individuals.
- Recruitment of candidates.

Committee Composition

- Chaired by: PRM/TRG , USAID/Guatemala
  
- USAID Technical Division Chiefs
- INACOP (Cooperatives)
- CAPS (Centro de Adiestramiento para Promotores Sociales) (Rafael Landívar University)
- Desarrollo de la Comunidad
- Movimiento Campesino Independiente
- Peace Corps representative
- DIGESA representative

2. Public Sector Committee

Purpose: Selection of candidates working at the planning, implementation, technical, managerial and administrative levels of government to upgrade their skills, particularly when they hold specialized positions that are critical to development priorities or economic stabilization.

Target Students: Public sector employees working for government and parastatal institutions or individuals working in subject areas affecting public sector operations.

Priority Activity Areas: Monetary and fiscal policy, public administration, public health promotion.

Selection Criteria: Candidates for training programs should satisfy one or more of the following:

- University degree.
  
- An ability demonstrated through testing to use effectively the training opportunity.

- Potential of the candidate to eventually assume a leadership role in the country.
  
- Potential positive impact on public sector performance.
  
- Importance of the training to development needs.
  
- Level of training required by the sponsoring institution.

Levels and fields of Training: Short-term technical and long-term academic (undergraduate/graduate) programs in the following areas: public finance and administration, economics, policy formulation, statistics, negotiations, rural development, technology transfer, planning and institutional development, public health.

Committee Responsibilities:

- Dissemination of publicity and information on the training program to associated institutions or individuals.
  
- Recruitment of candidates.

Illustrative Committee Composition

- Chaired by: PRM/TRG , USAID/Guatemala
  
- USAID Technical Division Chiefs
- MINAG
- MINFIN
- MINED
- MOH
- SEGEPLAN
- INFOM
- INAP

3. Private Sector Committee

Purpose: Selection of individuals from different levels of the private sector to attend training programs that will improve business practices and thereby increase productivity and employment. Also selection of an increased number of private sector individuals to attend training for planning, implementation, technical, managerial and administrative skills.

Target Students: Individuals holding ownership, administrative or technical positions in small and medium size enterprises or individuals working in or toward career private sector service roles.

Priority Activity Areas: Private sector export promotion; business, managerial and technical training.

Selection Criteria: Candidates for training programs should satisfy one or more of the following:

- Minimum high school diploma.
  
- An ability demonstrated through testing to use effectively the training opportunity.

- Membership in a socially or economically disadvantaged group, including women.
- Potential of the candidate to eventually assume a leadership role in the county.
- Potential positive impact on private sector growth.
- Relevance of the training to productivity and employment concerns.
- Degree of certainty that the trainee will effectively be employed upon returning to the country.
- Willingness of sponsors or individuals to share costs, as feasible.
- Financial need of the candidate.

Levels and Fields of Training: Direct technology transfer as well as short-term technical and long-term academic (undergraduate and graduate) programs in the following fields:

- Business administration
- Economics, agricultural economics

- Non-traditional exports
- Financial management

Committee Requirements:

-- Dissemination of publicity and information on the training program to related institutions or individuals.

- Recruitment of candidates.

Illustrative Committee Composition

- Chaired by: PRM/TRG , USAID/Guatemala
  
- USAID Technical Division Chiefs
- Gremial de Exportadores
- Asociación de Gerentes
- Cámara Empresarial
- Fundación de la Mujer
- Fundación del Centavo

4. Academic Sector Committee

Purpose: Training for academic leaders in administration, management and academic disciplines, principally concerned with development of democratic processes and social and economic development.

Target Students: Current and potential academic leaders at all levels of the educational system.

Priority Target Areas: primary education; higher education.

Selection Criteria: Candidates for training programs should satisfy one or more of the following:

- High school diploma.
  
- An ability demonstrated through testing to use effectively the training opportunity.
  
- Potential of the candidate to eventually assume a leadership role in the country.

- Membership in a socially or economically disadvantaged group, including women.
- Degree of certainty that the trainee will effectively be employed upon returning to the country.
- Potential impact on the academic sector.
- Importance of the training to educational sector needs.
- Financial need of the candidate.
- Willingness of sponsors to share costs.

Levels and Fields of Training: Short-term technical and long-term academic training in management, administrative and individual disciplines, including graduate and undergraduate level training in such priority development areas as: rural development, health and nutrition, human resources, energy, population, economics and finance, environment, science and technology, planning and institutional development, civics and government.

Committee Requirements:

- Dissemination of publicity and information on the training program to related institutions or individuals.
  
- Recruitment of candidates.

Illustrative Committee Composition

- Chaired by: PRM/TRG , USAID/Guatemala
  
- USAID Technical Division Chiefs
- San Carlos University
- Rafael Landívar University
- Del Valle University
- Mariano Gálvez University
- Francisco Marroquín University

5. Special Programs Committee

Purpose: To allow training opportunities to candidates who apply as individuals or who are not specifically covered by other sector committees. Preference will be given to individuals who are socially and/or economically disadvantaged. This committee will also seek to identify specific training opportunities in support of the Jackson Plan rationale of promoting the growth of democratic ideals and processes and the administration of justice.

Target Students: Individuals from all sectors and from both rural and urban areas.

Priority Target Areas: Administration of justice and democracy initiatives.

Selection Criteria:

- Ability to use the training opportunity effectively.
- Membership in a special concern population.
- Abilities to influence peers or subordinates.

- Relevance to promotion of democratic ideals and processes or the administrative of justice.
- Importance of the area of training to the development needs of the country.
- Financial need of the individual and total costs of the training.

Levels and Fields of Training: Short-term technical and longer term academic (undergraduate and graduate) training in fields identified as relevant to the growth of democratic processes and the administrative of justice and/or as priorities for the economic or social growth of the country.

Candidates in this group will be considered by one of the regular committees, as determined by the Program Office, or if this is not applicable, by the Selection Committee itself or an ad hoc committee suggested by the subject materials.

F. Budget and Scholarship Allocations - FY 1985-1989

1. The FY 1985 Program

AID/W allocated \$5.1 million to USAID/Guatemala for the FY 1985 CAPS program. This money was programmed as follows:

\$1.875 million for 25 long-term scholarships, approximately \$280,000 for the Rural Scholarships Program and \$2.945 million for 26 short-term (one month) technical courses covering some 775 separate scholarship recipients. As of September 30, 1985, 13 long-term candidates had left for the U.S. with the remaining 12 selected and scheduled to depart in January 1986. Twelve of the 26 short-term groups had left, 11 will leave before December 31 and the remaining 3 between January and June 1986.

2. The FY 1986 Program and Future Years

Assuming a total of \$27.5 million to be available for Guatemala over the life of project, as indicated in the Bureau PP, the balance for the FY 1986-89 period after using \$5.1 million for FY 1985 is \$22.4 million or an average of \$5.6 million per year. As earlier indicated, more detailed annual use of funds will be the subject of separate annual program reviews and action plans based on the work of the technical committees. Our tentative allocation for FY 1986, based on \$5.6 million, is as follows:

<u>Technical Committee</u>	<u>Total</u>	<u>Long Term</u>	<u>\$</u>	<u>Short Term</u>	<u>\$</u>
Indian Leadership and Other Special Concerns	1,600,000	8	600,000	167	1,000,000
Public Sector	1,000,000	8	600,000	67	400,000
Private Sector	1,000,000	4	300,000	117	700,000
Academic Sector	1,000,000	8	600,000	67	400,000
Special Programs	<u>1,000,000</u>	<u>6</u>	<u>450,000</u>	<u>92</u>	<u>550,000</u>
TOTALS	<u>5,600,000</u>	<u>34</u>	<u>2,550,000</u>	<u>510</u>	<u>3,050,000</u>

Assumptions

-- Adjustments will be needed to reflect the work of the technical committees.

-- \$75,000 for each long-term scholarship, each scheduled for one year English language and/or possible remedial training in the States, followed by two years academic studies.

-- \$6,000 for each short-term scholarship, each scheduled for one month, including three weeks of technical training and one week of observation and Jackson Plan orientation in Washington, D.C.

-- All costs, including international travel to be paid with CAPS funds.

CAPS funds will also cover contracting, evaluation and program support costs, such as the work of the technical committees (these latter will not include fees, salaries or honoraria, but only such costs as office space and incidentals).

-- With the exception of special programs for which the Mission may contract directly, all selection of training institutions in the U.S. and negotiation of costs will be done by ST/IT in conjunction with its contractors on behalf of the Mission.

-- Funds remaining in any given year will be used for additional scholarships.

-- Further adjustments in each year's plan and in successive year's plans will reflect experience to that time and the joint work of U.S. and Guatemalan colleagues on the technical committees.