

PD-ABN-948

RESULTS REVIEW AND RESOURCES REQUEST
R4

USAID/GUATEMALA-CAP

GUATEMALA
BILATERAL PROGRAM
(520)

May 1997

**USAID/G-CAP
Guatemala Bilateral Program
(520)**

Results Review and Resources Request

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Bilateral Guatemala Program (520)

I. Overview and Factors Affecting Program Performance

After four decades of violent conflict in Guatemala, the United States is working with all sides to advance a new path of national reconciliation, social inclusion, political renovation, and sustainable economic development. The signing of the Final Peace Accord on December 29, 1996, was without a doubt the transcendent historical event for Guatemala and a critical turning point for U.S. foreign policy here.

The Peace Accords are exceedingly ambitious, laying out a series of long-term development objectives designed to transform Guatemalan society over the next two decades. The commitments contained in the Accords require both short and long-term assistance. Mission planning for the post-Accord period has been on-going for all of 1996, from the inauguration of President Arzu in January to the signing of the Final Peace Accord in the last days of December. USAID was the first donor to anticipate the urgent needs for quick-disbursing funds and obligated grant funds with the GOG two weeks after the signing of the final Accord. Further, the Mission had already begun to adjust its entire portfolio to better contribute through existing programs to the priorities laid out in the six substantive Accords which led up to the final Accord. Amongst other changes, USAID/G-CAP has refined its geographic focus on formerly conflictive areas and resettlement zones.

In early 1997, as the URNG and the Government of Guatemala moved forward to implement the operational accords defining the demobilization of ex-combatants, USAID was at the forefront in assisting the process. With special emergency support from the Office of Transition Initiatives (OTI), USAID worked in partnership with the UNDP, the European Union and the OAS to quickly ready the facilities for the demobilization of almost 3,000 URNG guerrillas. On February 28, 1997, we turned over to the U.N. Peace Keeping forces and URNG eight demobilization camps which were planned and partially financed by USAID/OTI, with Mission support.

The Peace Accords have profound implications for democratic consolidation; and they signal a national resolve to reverse Guatemala's long history of political polarization, official impunity, corruption, and abuse of human rights. The Mission's democracy programs will further capitalize on this rapidly evolving change in Guatemala's development, and have clearly registered important results in supporting an improved criminal justice system, stronger protection of human rights, broader citizen participation, and more transparent and responsive Congress. In the Mission's new five year strategy approved in March, our democracy Strategic Objective (SO) was reformulated to reflect an emphasis on more inclusive, responsive, and transparent democracy, consistent with the goals set out in the Accords.

Overall progress under the Mission's Health SO was steady in 1996, with exceptional progress in the areas of sustainability of preventive care through private sector partners, identification of new strategies to improve the quality of care and expand coverage of child survival and reproductive health services. Last year was a particularly difficult year for coordination of USAID programs with the Ministry of Health (MOH) with the effective dismantling of the Government's reproductive health program. At USAID's insistence, the MOH is now reviewing its agreement with USAID and will make a proposal in June for future collaboration.

The Mission's environmental SO again achieved an excellent level of performance in 1996 against established targets. Moreover, our environmental initiatives have clearly served as models for broader GOG programs and other donors environmental activities. USAID's program in the Peten has been recognized by President Arzu and the Guatemalan Congress as important to the successful implementation of the Peace Accords. The Peten, with its great stands of tropical forest, represents one third of Guatemalan territory and is its "last frontier". However, it is expected to receive more returning refugees and displaced persons in the coming years than any other department except Huehuetenango, and is clearly an area in great risk. Our SO also supports Guatemalan efforts to reconcile demands for land, the conservation of biodiversity, sustainable production and economic growth in formerly conflictive zones in and around the Maya Biosphere Reserve.

This is the last year of reporting on the Mission trade and labor relations SO. Future activities to support broad-based economic growth will be implemented under the Mission's recently approved poverty reduction SO and supplemented both by policy reform under the Peace Special Objective and USAID/G-CAP's Regional Trade Policy SO. Performance of this SO in 1996 against established targets was very strong.

Similarly, the Mission's basic education SO is being folded into the Mission's new poverty reduction SO, in which expanded activities aimed at increasing the quality and coverage of intercultural bilingual education will be implemented. In analyzing the final year's performance data, the record is mixed against the national level indicators which were established in 1990. The assumption made then that at least one multinational development bank would finance the scaling up of USAID's three pilot activities by 1993 has proven invalid as large scale Bank financing has still not materialized. Despite mixed performance on the national level indicators, USAID interventions have clearly contributed a number of measurable results in the education sector, as described in detail in Part II.

Performance under the Mission's Peace Special Objective (SpO) exceeded expectations at the same time our initiatives in support of the Peace Accords expanded enormously. What began the year as a modest contribution to the implementation of the Accord on the Resettlement of Uprooted Populations and the Indigenous Accord, ultimately burst into a full program of support to the substantive and operational Accords. The success of the Arzu administration in accelerating the Peace Process, and in cracking down on corruption and human rights abusers within the Army and National Police led to a dramatic turn-around in U.S. support to Guatemala. The U.S. made a firm pledge of \$260 million over the next four years to support Guatemala's Peace Program of demobilization and reincorporation, integrated human development, investment in sustainable production, and modernization of the state.

The resource request made in this R4 is justified. based on past performance under the SOs (and SpO), the commitment of the United States to support implementation of the Peace Accords, and the size/nature regular sustainable development programs, both bilateral and regional, being carried out by the USAID/G-CAP Mission.

II. Progress Toward Objectives

A. More Effective and Participatory Responsive Democracy

SO 1: More Effective and Participatory Democracy	
R E S U L T S	More responsive criminal justice system
	Fewer human rights violations
	Broader citizen participation in the political process
	More transparent and responsive governance

1. Performance Analysis

SO level

Performance indicators for this strategic objective are derived from a national survey that attempts to track trends in public values and attitudes deemed essential for democratic consolidation and sustainability. The Democratic Indicators Monitoring Survey (DIMS) is conducted biannually in Spanish and four native languages. As reported in last year's R4, the 95 survey data showed moderate but significant improvements in the two key indicators used to track progress at the SO level: system support, or legitimacy of key democratic institutions and tolerance, an index that measures support for civil liberties. We expect continuing improvements in both of these measures, as Guatemalans move into a new era of peace and development ushered in by the "definitive and lasting" peace accord signed in December 1996. In spite of this significant breakthrough, we are making conservative estimates for improvements in system support and tolerance measures as experience shows that deep seated cultural values and attitudes are slow to change. The 1997 survey was conducted in April, and data analysis is currently underway. We expect to have final results available by August. Next year's R4 will include the results of this year's survey.

Although DIMS data is not available for this year, there is dramatic evidence that Guatemala is indeed moving toward the creation a "More Inclusive and Responsive Democracy." The signing of the Peace Accords is the single most important event in this country's political development since the return to democratic government in 1986. The implications of the Peace Accords for better governance and the democratization of Guatemala are profound. The Accords not only identify priority tasks for the short term in creating a new Guatemalan state but they also spell out a development plan for the next quarter century. The accords represent the firm commitment of the GOG, the URNG and Guatemalan civil society, which participated in the process through the Civil Society Assembly, to implement the reforms necessary to "change the direction of Guatemala's development: to be more inclusive, participatory, transparent and democratic" (President Alvaro Arzu, Consultative Group Meeting Report, Jan. 97).

The effects of these accords are already being seen. A swift and highly publicized government crackdown on pockets of corruption in customs and police has led to the break up a major organized crime ring and the arrest of powerful individuals who were previously considered untouchable. Similar efforts have been directed toward the spiralling kidnap -for-ransom business, leading to important arrests and convictions, although most observers think the problem will get worse before it gets better. Other evidence of progress is seen in reports from both MINUGUA and the Office of the Human Rights Ombudsman (OHRO) which attest to an improving human rights situation (see IR 1 below). And civil society continues to flourish as the political space for dialogue and debate continues to widen, allowing for a richer, more diversified spectrum of political actors.

Notwithstanding these significant steps forward, other problems have intensified within the country given a marked rise in common crime and increased vigilantism. This is not an uncommon phenomenon as previously repressive regimes loosen their grip and weak state institutions struggle to fulfill their role as the guarantors of human rights and public security. Guatemala is no exception to this trend. However, the accord on "Strengthened Civilian Authority and the Role of the Military in a Democratic Society" squarely addresses this issue by laying out a blueprint for major reforms including a new and expanded national civilian police force, increased access to justice sector services and improved quality of services through the modernization of state institutions. Our new strategy is based on this blueprint and responds directly to many of the reforms mandated by this accord.

A note of caution must be flagged regarding the promise of the peace accords and the heightened expectations of citizens to see change in the immediate term. Although most Guatemalans and international observers would agree that 1996 was a truly remarkable year, the euphoria that surrounded the signing of the final peace accord in December is subsiding and the arduous work of "constructing the peace" is just beginning. The Accords are nothing if not ambitious, some might say unrealistic, but no one will openly disagree with them nor the significance they hold for real and lasting change. Nonetheless, there have been delays (mostly minor) in meeting the calendar of commitments and although donor interest remains high, the financial requirements for full implementation of these accords are far from met. It is quite possible that 1997 will give rise to growing frustrations among various sectors and between civil society and the GOG given the inevitable slow down in the pace of change as compared against last year. In short, the "honeymoon period" is coming to an end, if not already over, as Guatemalans step down from the international limelight that shone on the negotiation of a peace agreement and turn their energies toward the more difficult and long term task of constructing a new "plurilingual, multiethnic and multicultural" nation.

Intermediate Results

IR 1: More Responsive Criminal Justice System

In the Criminal Justice Sector, USAID efforts provided a solid measure of results. Sustainable and responsive training programs are now coming on-line, based on JSRSP technical assistance to the Public Ministry and the Court. With the Bar Association and Rafael Landivar University Law School, new mock trial programs have become realities. 90 new interpreters in the Quiché and Mam languages are now officially accredited to offer translation services in the courts, other public institutions and in communities across Quetzaltenango and San

Marcos. A similar number will graduate this year in Káqchikel, based on the same training methodology developed by JSRSP in collaboration with MINUGUA.

Within the Public Ministry, UNICAP trainers are now providing their own courses for their institution, based on previous technical assistance from JSRSP. Further, a needs detection system has been introduced as of February 1997, developed with JSRSP assistance, making the program relevant and sustainable for the first time ever.

Other concrete results from JSRSP include: the acceptance of a uniform complaint and police report form which reduces opportunities for corruption; the acceptance of alternative dispute resolution mechanisms for conflict resolution; and impact through training in the new Criminal Procedures Code of all prosecutors, assistant prosecutors, judges from *primera instancia* and *sentencia*, and nearly all appellate level judges. In addition, the entire Supreme Court has received training on judicial selection procedures (based on the El Salvador experience) and training needs detection.

In some respects, however, there were disappointments. First, the National Police have so far failed to assign any members of the force to either Investigation Center within the two JSRSP-supported Focus Centers, despite benefiting from a substantial program from ICITAP. This in turn undercuts USAID efforts to build team efforts at investigation and prosecution of crime between the police, prosecutors, investigators and judges at the Focus Center level. However given additional time, the National Police may still decide to participate. Second, evidence handling remains dismal. While JSRSP has proposed new procedures for handling evidence, these remain to be implemented. Finally, resistance in the first half of CY 96 by the Court meant that time was lost in achieving a sustainable, responsive training program for judges. We appear to have now turned the corner on that particular issue, and we expect positive developments in CY 97.

In December 1996, Quetzaltenango was the scene of the first trial in Guatemalan history to successfully employ all facets of the new criminal procedures code, i.e., an oral trial open to the public, the provision of a public defender to the accused and, most noteworthy of all, official translation services available to the defendant from the investigative through sentencing phases of the case. The case in question was a double homicide. The judge, the prosecutor and the defense attorney had all received training from USAID-sponsored activities. Several USAID/MINUGUA trained judicial interpreters were tapped for this case to facilitate police investigation, advise the defendant of his rights and the charges against him, help him present his case and keep the community apprised of proceedings, all of which helped to move the legal system forward.

The significance of this one trial goes well beyond its litigants: it demonstrates that the rule of law and due process have finally become possible for all Guatemalan citizens, including those who have long been denied access to the system due to cultural and language barriers.

Perhaps a final critical, but immeasurable test of success under this IR is in terms of credibility and reputation. Here, sector leadership was evident when debate began in February 1997 concerning proposed changes to the Criminal Procedures Code. The Supreme Court, Congress and the Attorney General all sought comments from JSRSP on how to improve the draft legislation. In short, all three branches of government considered JSRSP to be in a unique position to provide critical, timely and technically-sound advice on justice sector reform.

IR 2: Fewer Human Rights Violations

On the human rights front, for 1996 we had expected to see a rise in reported political and individual human rights violations committed by state actors. We based this prediction on an expected improvement in the climate for reporting violations and a programmatic emphasis on educating citizens as to their rights. That is to say, as the public felt more secure about reporting abuses and was educated in their rights, statistical measures tracking violations would initially rise. However, the data reveal the opposite: there was a decline in the number of reported violations by state actors, from 1,123 in 1995 to 920 in 1996, reflecting, perhaps, a sincere improvement in the human rights picture and a lessening of the most egregious violations (political and individual).

In May 1996 USAID renewed assistance to the Office of the Human Rights Ombudsman (OHRO) after an 18 month suspension through the award of a cooperative agreement to the Universidad Rafael Landivar (URL). The URL has focused on improving the educational function of the OHRO and the establishment of a strategic planning and project design capability within the institution. Additional activities are focused on the establishment of a Case Tracking Unit to improve the compliance rate of state actors charged with human rights violations. The impact of the project on the institution has been immediate: an agreement negotiated by the URL between the Ministry of Education and the OHRO will, for the first time, define and incorporate a human rights curriculum into the national educational system. Operating plans and line-item budgets have been established for FY 1997 and FY 1998 which will assist the OHRO to meet the stringent reporting requirements of the Ministry of Finance.

Through our Street Children's Support Project several initiatives provide on-going assistance to improve the condition of children's rights in Guatemala. First, a local NGO, PAMI, has fortified other non-governmental organizations which provide services to at-risk youth. USAID also works with the Children's Defense Bureau of the OHRO to improve their capacity to protect and promote children's rights. The project was instrumental in coordinating support for the proposed legislative initiative on Children's Rights, based on the International Convention on the Rights of the Child, and codified by the Congress in September 1996. USAID has assisted the Children's Defense Bureau in the establishment of a system for the efficient (and computerized) registration, tracking and investigation of reported violations of children's rights, as well as the development of guidance on preliminary investigations and counseling services.

Accion Ciudadana (AC), a civil society organization supported by USAID/G-CAP, has published the first edition of its "Legislative Alert" bulletin which provides non-partisan information to public interest groups on the legislative agendas of the different political parties and individual legislative initiatives under consideration by Congressional committees and plenary. Each "Alert" provides a forum through which major legislative issues are explained, discussed and debated by the elected representatives, with some historical information (such as the voting records of individual Congress persons) that provides context to the debate. Public hearings are still a relatively rare occurrence in Guatemala, and few other mechanisms exist for informing the public on the legislative agenda. AC has filled this critical void and highlighted the public's need for more open and informed debate; at the first public forum sponsored by Accion Ciudadana in the regional capital of Coban, over 200 interested individuals participated in a discussion with their elected congressional representatives on the legislative agenda of the Congress.

IR 3: Broader citizen participation in political process

As noted in last year's R4, the Mission has re-designed its citizen participation strategy in light of lessons learned and newly emerging opportunities. New indicators have been developed for this results package within the Mission's new five year strategy approved in March 1997 though it is too early to report progress against those indicators.

During 1996, however, the Mission supported other important initiatives which focused on promoting broader, more effective citizen participation in political decision-making. First, through LAC's regional project aimed at strengthening civil society, managed by Partners of the Americas, USAID/G-CAP is providing support to local Organizations (CSOs), *Acción Ciudadana*. This local CSO is developing and implementing a long-range institutional strengthening plan, establishing sound fiscal, administrative and personnel management systems and implementing key programs to monitor the national legislative agenda and to facilitate public debate. *Acción Ciudadana* has made substantial progress since November 1996, having already established and staffed an office in Guatemala City, developed and implemented internal financial and personnel management systems, organized one national and one regional forum for public debate on key legislative initiatives and published the first edition of a bi-weekly newsletter which reports on the decisions made or laws proposed within the national legislature, the first publication of its kind in Guatemala. Such accomplishments set an example for Mission support to other CSOs through our new activity which will be initiated in mid to late 1997.

Another important result worth noting under this IR is the tremendous impact the Guatemalan Peace Scholarship program has had on the voter/civic education activities of the Supreme Electoral Tribunal (SET). Through this program, all 330 municipal level representatives have received training in the design and delivery of community based voter education programs aimed at increasing public awareness of how to exercise this fundamental civic right and more general civic education activities designed to motivate increased citizen participation in the political process. Although this type of outreach activity by SET employees was not allowed when the program first began two years ago, community outreach activities are now considered the norm and have since been written into employee job descriptions. Further, the SET was so convinced of the importance of this program, that they have since established a permanent training/public education unit which will provide on going support to SET employees through regular training programs and materials development for community outreach.

IR 4: More transparent and responsive governance

USAID/G-CAP's development efforts under this intermediate objective continue to provide strong results. Currently, USAID has two on-going projects in the Guatemalan National Congress which provide legislative technical assistance. Since mid-1994, the *Asociacion de Investigacion y Estudios Sociales* (ASIES) has worked to strengthen the technical committee system of the Congress and to provide special assistance to 8 committees responsible for areas of particular importance to USAID's strategic interests. A second agreement, signed in August 1996 with the Research Foundation of the State University of New York (SUNY), provides assistance to the National Congress in the elaboration and execution of a detailed modernization plan to guide efforts to improve the Congress' performance and abilities in the

areas of legislation, representation and executive oversight.

During this past year, ASIES provided assistance in drafting legislative initiatives, background studies, and constitutional reviews, all critical to the preparation of high quality legislative initiatives. The project exceeded the targets presented in last year's R4 which estimated that 30% of all laws in key areas presented to the plenary of the Congress in 1996 would have benefitted from professional technical assistance through the ASIES project. As important as the extent of the technical assistance provided through the ASIES' project is the quality of that assistance: analysis and studies by ASIES on proposed reforms to the Bank of Guatemala, a critical component of the government's program for Modernization of the State, were an important part of the national debate and ensured the constitutionality of the proposed reforms.

The SUNY project came on line after last year's R4. In the first six months of project activity, SUNY has successfully established a legislative technical assistance unit within the Congress. Staffed by 30 legislative interns in their last year of law school these interns work under the guidance of Guatemalan mentors, professionals with extensive technical expertise and legislative experience, in the research necessary for the preparation of high quality legislative initiatives. This mechanism of providing professional, legislative technical assistance has proven to be extremely effective and cost efficient: in the first six months of project operation, the project has developed legislative initiatives on such critical issues as torture, kidnapping, land expropriation, dual nationality and the environment. Other activities during this year have provided training and consultancy services to strengthen administrative and legislative procedures of the Congress, which will lead to greater administrative efficiencies and increased legislative productivity.

2. Expected Progress through FY 99 and Management Actions:

A new five year strategy was approved for the Mission in March 1997 which included revisions to the results framework for our democracy Strategic Objective now expressed as "More Inclusive and Responsive Democracy". Progress through FY 1999 is projected against the expected results of the new framework. These indicators are relevant also to the justice sector reform activities under the Mission's Special Peace Objective and will be tracked under both the SpO and this SO.

IR 1: Increased protection of human rights through a strengthened criminal justice system

In the justice reform area, we expect the court interpreters program to continue to generate very favorable results. We also anticipate the opening of several new focus centers as part of our activities to promote justice sector reform funded under our Peace Special Objective. Finally, we fully expect the Court's training program to follow the lead of the very successful JSRSP efforts with the Public Ministry in moving toward more sustainable, responsive courses and programming.

With regards to human rights, on-going activities will focus on strengthening the educational function of the OHRO. We expect that a human rights curriculum developed under our URL project will be developed by technical experts and validated by state educators and be presented to the Ministry of Education for adoption and incorporation into the educational

curriculum. Efforts are also underway to clearly delineate the responsibilities of the OHRO in monitoring the implementation of the Peace Accords.

New indicators for this IR include:

Indicator: Percent of convictions for serious crimes supported by substantial evidence.

Year 1996, Baseline: 58.75% for Quezaltenango. Target: 70% in 1997, 80% in 1998, 90% in 1999, 100% in 2000 and 2001. Comment: The Criminal Procedure Code requires convictions to cite evidence. Prior practice was not to do so. Sometimes convictions were based on evidence of prior acts or reputational evidence. This indicator seeks to measure if evidence is being gathered in an investigation, being presented and introduced by a prosecutor, and used by a judge, as is contemplated under the Code.

Indicator: Percentage of course curricula which meet acceptable quality standards. Year 1997, Baseline: 0%, but needs detection is under way. Target: 50% of courses designed in 1998, and 100% in 1999; 50% of newly designed courses implemented in 2000. Comment: Currently, university courses are inappropriate for instruction regarding the criminal procedure code. However, the sustainability of reforms requires that new generations of lawyers be well-versed in the code.

Indicator: Human rights cases follow-up: Percentage of human rights cases with denuncia (desegregated by adults, children, ethnicity, geography) promulgated by the Ombudsman that are followed up by appropriate government action. The indicator also reveals reduction in "impunity" for human rights abuses. Case tracking system to be established by May 1997. Targets established by June 1997.

IR 2: Broader, more effective citizen participation in political decision-making

Given the development and design of a new activity to support IR 2, the following indicators have been developed for this results package. Once implementation of the activity is underway and a baseline is established, targets for each indicator will be set and a monitoring and evaluation plan developed to ensure that targets are met.

Indicator: Number of reforms achieved or protected. From list of reforms which target CSOs are promoting, the number of positive reforms which are achieved and the number of negative changes which are forestalled or weakened.

Indicator: Number of reforms on which substantial progress was made in persuading the government to implement new reforms or protect existing policies. From same list of reforms outlined in the indicator above, the Mission will use a scale to gauge progress, ranging from no government interest in the proposed reform or serious government interest in renegeing on reform, to the mandate of the reform or negative reforms dropped or substantially weakened.

Indicator: Improvement on management index which includes composite scores that reflect improvements of target CSOs in the following illustrative areas: Number of target CSOs doing improved strategic planning; increasing non-USAID funding; and improving administrative and personnel systems.

IR 3: More Effective Citizen Participation in Strengthened Local Governments

Results from the 1995 Democratic Indicators Monitoring Survey (DIMS) supports the thesis that public satisfaction with local governments directly translates into greater system-support in general. In recognition of the importance of public participation in local governance, and its implications for the consolidation of peace and democracy in Guatemala, the Mission's new 5 year strategy seeks to support this process through a new results package aimed at: 1) strengthening channels for increased citizen involvement in local decision-making; 2) increasing capacity of local governments in investment planning and implementation; 3) strengthening democratic skills (i.e. communication, negotiation, conflict resolution, etc.) at the local level; and 4) advancing national policies supportive of increased authority for local governments. The Mission is currently designing this results package under this SO, however, the results package would fit equally under the Mission's Special Peace Objective supporting the GOG's decentralization efforts committed to in the Peace Accords. The results will be tracked under the SpO parallel to this SO during the first full year of activities so to allow a complete accounting for results financed with Peace ESF funds. As the design process advances, the following indicators developed to measure progress at the IR level, will be re-examined and targets revised.

Indicator: Number of local development plans established by consensus. Cumulative number of development plans (one for the life of the activity in each target municipality) and investment plans (annual for each target municipality) approved with citizen participation in target municipalities.

Indicator: Increase in the percentage of coverage of three public and/or social services in target municipalities. Cumulative percentages measuring increase in coverage within target municipalities of three public (solid waste, water, sanitation, etc.) and/or social services (education, health), in target municipalities.

IR 4: More Productive and Transparent Legislature

In the legislative area, USAID efforts under our Special Peace Objective will remain focused on assistance to the Guatemalan Congress in developing the legislative initiatives needed to implement the Peace Accords and to implement its modernization plan, the ASIES project is expected to be extended through December 1997. A follow-on project to the highly successful USAID/SUNNY initiative is currently under design that will assist the Congress in the full implementation of its modernization plan.

It should be noted that under the Peace Special Objective, the Mission will track an indicator on the number of pieces of legislation supporting the Peace Accords passed by the Congress. Other new indicators for this IR are:

Indicator: Laws Initiated by Congress. Percentage of laws passed that were introduced by the Congress, itself, rather than executive branch. Deepening democratization suggests greater balance in legislative initiation and decreased dominance of the executive branch. True self sufficiency and in-house congressional capabilities derived from modernization in the Congress must be achieved by improved technical research, drafting of laws, and staff

competency. Baseline studies and contractor reports will provide data to gauge the growth in capacity to initiate and pass legislation.

Indicator: Bills presented by the Executive Branch that are amended or rejected by the Congress (desegregated by number and percentage): Intended to demonstrate a growing capacity to balance the executive branch and checks on past executive branch exclusive prerogatives. Baseline to be established by August, 1997.

Indicator: Number of preliminary legislative studies prepared by the legislative technical assistance unit: This measure will reveal the number of bills that are presented to the Congress accompanied by preliminary legislative studies as well as those legislative initiatives which are deemed unnecessary based upon findings of these preliminary studies. Baseline to be established by August 1997.

Indicator: Number and Percentage of bills reviewed by the newly established Analysis Unit of the Legislative Secretariat: Baseline will be established by August 1997.

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID STRATEGIC OBJECTIVE NO. 1 More Effective and Participatory Democracy				
Indicator: Public confidence in key democratic institutions and processes				
Unit: Percentage of positive responses in DIMS on the System Support Index, composed of Courts, Elections Tribunal, Public Offices, Congress, Human Rights, and Political Parties		Year	Planned	Actual
Source: Democratic Indicators Monitoring Survey (DIMS)	Baseline	1993	-----	40%
Comments: DIMS data is collected in odd numbered years and reported in even numbered years. Consequently, there are no new data in this category at this time. DIMS field surveys were conducted in April, 1997 and data is now being compiled. Results are expected by September, 1997, and will be reported in next year's R4.		1995	40-42%	40%
	Target	1997	42-44%	
Indicator: Individual free expression and participation				
Unit: Percentage of positive ratings in DIMS on the following items: I. Democratic liberties Index Component Indices: A. Extensive Participation B. Tolerance		Year	Planned	Actual
Source: (DIMS) '1	Baseline	1993	-----	I. 55% A. 66% B. 44%
Comments: DIMS data is collected in odd numbered years and reported in even numbered years. Consequently, there are no new data in this category. DIMS field surveys were conducted in April, 1997 and data is now being compiled. Results are expected by September, 1997, and will be reported in next year's R4.		1995	I. 53-57% A. 64-68% B. 42-46%	57% 65% 49%
	Target	1997	I. 59% A. 67% B. 51%	

SO 1(i)

INTERMEDIATE RESULT NO. 1.1 More Responsive Criminal Justice System				
Indicator: Due process under the law				
Unit: Percentage of favorable ratings in DIMS on the following: 1. Defense of human rights by judges 2. Treatment of public by judges and judicial employees 3. Judicial institutions helps resolve the country's problems 4. Courts favor rich & powerful (favorable rating is a "no" response) 5. Courts work rapidly		Year	Planned	Actual
Source: DIMS DIMS	Baseline	1993		1. 61.3% 2. 30.3% 3. 9.8% 4. 7.5% 5. 7.2%
Comments: DIMS data is collected in odd numbered years and reported in even numbered years. Consequently, there are no new data in this category at this time. DIMS field surveys were conducted in April, 1997 and data is now being compiled. Results will be reported in next year's R4.		1995	1. 64% 2. 35% 3. 15% 4. 12% 5. 12%	1. 50.1% 2. 28.7% 3. 8.4% 4. 8.8% 5. 10.3%
	Target	1997	1. 52% 2. 31% 3. 11% 4. 12% 5. 12%	
Indicator: Coverage oral trial proceedings				
Unit: Percentage departments holding oral trials		Year	Planned	Actual
Source: Public Ministry	Baseline	1993	-----	0
Comments: - As noted last year, this "geographic" measure is not considered a reliable one, since it only counts whether oral trial procedures have been introduced, and thus presents an incomplete picture of the full breadth of the Code's effect. New justice sector related indicators have been developed for IR 1 as part of the Mission's new strategy development		1994	0	0
		1995	10%	78%
	Target	1996	25%	100%
	Target	1997	Fully Achieved	

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Indicator: Prosecutors/investigators using improved techniques				
Unit: Percentage of Guatemala's Departments where new procedures are being applied by project-trained personnel.		Year	Planned	Actual
Source: Public Ministry	Baseline	1993	---	0
Comments: As noted last year, this indicator is directly linked to that of oral trial coverage.		1994	0	0
		1995	10%	78%
	Target	1996	25%	100%
	Target	1997	Fully Achieved	
Indicator: Coverage legal defenders program nationwide				
Unit: Percentage of Departments with Public Defenders		Year	Planned	Actual
Source: Judicial Branch	Baseline	1993	---	0
Comments: As reported last year, this indicator, although impressive at face value, masks the serious weaknesses of this institution that is unable to provide public defense for the majority of those who require it. New justice sector related indicators have been developed for IR 1 as part of the Mission's new strategy development.		1994	0	
		1995	10%	86%
	Target	1996	100%	100%
	Target	1997	Fully Achieved	

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INTERMEDIATE RESULT NO. 1.2 Fewer Human Rights Violations				
Indicator: Reduction in the number of violations of political and individual human rights reported in a given year				
Unit: Number of complaints filed with and verified by OHRO as fitting their definition of violations in these two categories.		Year	Planned	Actual
Source: Annual human rights report of the OHRO	Baseline	1995	n/a	1,123
		1996	1,235	920
	Target	1997	988	
Indicator: Knowledge/attitudes of selected target groups (GPS, ESTNA).				
Unit: Yes/No, indicating stability or improvement in percentage of positive ratings in DIMS on: 1. Democratic liberties Index 2. System Support Index		Year	Planned	Actual
Source: DIMS.	Baseline	1994		GPS 1. 74 % 2. 42 % ESTNA 1. 83 % 2. 38 %
Comments: DIMS data is collected in odd numbered years and reported in even numbered years. Consequently, there are no new data in this category at this time. USAID will not collect data on GPS and ESTNA in 1997 as the GPS activity ends this year and the ESTNA activity is still in suspension. The DIMS will be used, however, to oversample justice system users in Quetzaltenango, site of our Justice System Reform Support Project, to more precisely measure public attitudes towards the justice system model.		1994 Post- Training Scores		GPS 1. 84 % 2. 44 % ESTNA 1. 85 % 2. 42 %

Indicator: Changes in knowledge and attitudes of selected civic education target groups				
Unit: Percentage of participants in NGO activities showing improved score		Year	Planned	Actual
Source: Monitoring and evaluation system of PVO grantee/DIMS	Baseline	1995		
Comments: Due to suspension of a cooperative agreement with a US PVO in early 1996, which was to support education/advocacy activities of local NGOs, progress towards results for the Mission's new activity under this IR have been developed and a baseline will be established in 1997.		1996		
	Target	1997		
Indicator: Changes in knowledge and attitudes of selected civic education target groups				
Unit: Percentage of participants in NGO activities showing improved score Due to suspension of a cooperative agreement with a U.S. PVO in early 1996, which was to support education/advocacy activities of local NGOs, meaningful data for this indicator was not collected. New indicators to measure progress towards results for the Mission's new activity under this IR have been developed and a baseline will be established in 1997.				

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INTERMEDIATE RESULT NO. 1.4 More transparent and accountable government institutions				
Indicator: Laws presented to plenary of Congress with professional technical assistance in key areas through the technical assistance unit.				
Unit: Percentage of laws presented		Year	Planned	Actual
Source: Technical Assistance Unit	Baseline	1992	0	---
<p>The ASIES project has exceeded the targets presented in last year's R4 by providing legislative technical assistance in 34% of key areas in the development of high quality legislative initiatives presented to the plenary of the Congress. The improvement in the measure reflects the increased confidence of the Congress in the ASIES technical assistance unit and the improved quality of that assistance.</p> <p>* The project is expected to be extended through December 1997.</p>		1993	10	---
		1994	15	---
		1995	20	28
	Target	1996	30	34
	Target	1997	35	TBD

B. Better Health for Rural Women and Children

SO 2: Better Health for Rural Women and Children	
R E S U L T S	More rural families have quality MCH services
	MCH programs are better managed
	GOG demonstrates stronger commitment to integrated women's health

1. Performance Analysis

SO Level

Activities financed under this SO promote improvements in the health status of women and children. By focusing assistance on selected geographic areas, USAID contributes to reducing the gap in health indicators between rural Mayans and the rest of the country. Last year, the newly available DHS data allowed us to report on a variety of health indicators at both the SO and the IR levels. This year, we can report on only two annual IR indicators (which serve as proxies for SO-level performance). Hence, this R4 uses a combination of quantitative and descriptive/anecdotal data to demonstrate that we are making steady progress toward the achievement of this SO.

1996 must be considered a record year for the Mission in terms of achievements in sustainability. IPROFASA is a family planning social marketing company initiated with USAID support in 1982. In mid-1996, IPROFASA became self-financed in operating costs, meeting the challenging time line for sustainability as established in our Cooperative Agreement. IPROFASA will continue to receive through 1998 some USAID-donated contraceptives to complement other contraceptives and cross-subsidy products purchased with their own revenues. APROFAM is the second impressive example of progress toward sustainability. Two years ago, this Guatemalan NGO set the ambitious goal of financial sustainability of its urban clinics by the end of 1997. In 1994, APROFAM's clinics were 46% self-financed; in 1995, the figure was 73%; and in 1996; the percentage jumped to 87%. APROFAM's progress toward sustainability of its national network of clinics, will allow USAID to target its future assistance to APROFAM to programs in rural areas.

Beginning in 1994, USAID/G-CAP began a strong program of operations research (OR) to identify promising new strategies to improve quality of care and coverage of services, especially in the area of reproductive health. Last year, many of the pilot efforts were concluded. Several successful examples of these OR efforts are described here:

- 1) By adding Depo Provera (DMPA), the Guatemalan Social Security Institute (IGSS) expanded its method mix at hospitals and clinics, not only improving quality of services but also increasing coverage (as measured by the total number of family planning users).

IGSS now offers the broadest method mix in the country and has also incorporated in-service training for medical residents as another manner for improving quality of care.

- 2) APROFAM also successfully added DMPA. The results of an OR project proved that DMPA was highly acceptable to rural Guatemalan women. The method was tested at 4 clinics and in surrounding communities through community-based distributors (CBDs). The total continuation rate was over 90% at 9, 12 and 15 months of use, an unusually high rate.
- 3) The local NGO, AGES (Guatemala Sexual Education Association), tested the feasibility and acceptability of providing integrated reproductive health education through trained community leaders; in this case, AGES decided to work with bilingual (Mayan-Spanish) teachers. AGES trained the bilingual teachers as community educators and provided them with 4 three-hour modules to be used in community-based education sessions. The aim of the project was to provide correct information and dispel widely held misconceptions about family planning methods and other reproductive health topics. In contrast to previous efforts in community education that were soundly rejected, the program was an overwhelming success. The number of classes given and community acceptance surpassed AGES's expectations and project results by more than 15%.
- 4) A maternal and child health algorithm (standard protocol) applied in MOH health centers and health posts increased the use of reproductive health services. Moreover, the data show that because the algorithm encourages the provider to offer clients more than one service at each visit (integrated services), the costs to the institution can be reduced by up to 50%. More importantly, the cost to the client is dramatically reduced.

Last year was a particularly trying year for coordination of USAID projects at the central level of the Ministry of Health (MOH), although there were notable advances at the local level. By the middle of 1996, the MOH had effectively shut down the national reproductive health program and was grossly underutilizing available USAID financial and technical assistance to enhance the quality/coverage of reproductive health services. During 1996, all but a few staff were removed from the Reproductive Health Unit and service delivery at the periphery (health centers and posts) receives no encouragement nor support from the center. The GOG has recently initiated a review of its Family Health Services Agreement with USAID and is expected to propose an Amendment to the standing Agreement. Given the varying opinions with senior policy-making levels of the Arzu administration, it is difficult for the Mission to anticipate what will be proposed. If the Government does propose to continue the national reproductive health program, this could potentially open the door for a more concerted donor effort to strengthen the coverage and quality of services.

There is a seeming disconnect between official Guatemalan documents (e.g., the Government Plan 1996-2000, documents presented at the Consultative Group - CG - and others) and Ministerial guidance to donors. One example is the inclusion of maternal mortality targets in Government plans versus the opposition of the central level to the MotherCare and reproductive health programs, despite their proven effectiveness in reducing both maternal and peri/neonatal mortality. Within this context, MotherCare, however, continues to refine and scale up its activities in four health areas. The project is widely accepted, endorsed or promoted at the health area level and by NGOs/PVOs and other donor agencies. True

testimony to MotherCare's success, the European Union is financing the replication of the model in four additional departments and is contemplating a fifth; two new health areas identified their own funds to replicate the program, and have requested technical assistance from MotherCare. With this expansion, MotherCare would be active in twelve of the 27 health areas of the country.

The MOH never officially endorsed the DHS, however, the data are used by other Guatemalan Government entities, including SEGEPLAN and the National Statistics Institute, for example in preparing documentation for the CG. Other donor agencies, journalists and NGOs are also using the data extensively.

Particularly noteworthy are MotherCare's successful efforts to reduce maternal mortality as reflected in the 183% reduction of MMR in the Sololá Hospital during 1996. In 1994 the maternal mortality ratio in the hospital was 2214/100,000 live births, in 1995 it was reduced to 1637 and in 1996 the MMR was reduced to approximately 890.

From 1992 through mid-1996, USAID and PAHO supported the development of a state-of-the-art health/management information system (H/MIS) for the central level and the health area level. The new Minister almost abandoned the effort, to start anew. However, USAID and MOH technical staff succeeded in reversing this decision. Now, the MOH has officially adopted several modules of the H/MIS and is promoting their use at the local level.

In both 1995 and 1996, the Mission intended to sign a new SOAG with the GOG/MOH, however, neither year produced a signed Agreement. The first effort was aborted due to the government's outright rejection of reproductive health programs; last year, the MOH requested more time to consolidate its vision before designing a new bilateral Agreement. The Mission expects to sign a SOAG with the MOH this year based on the recently approved strategy, however, we anticipate tough negotiations regarding women's preventive health (including birth spacing), decentralization of services, and the desirability of dedicating some grant funds to a contractor for technical assistance.

Intermediate Results

IR 1: More Rural Families Use Quality MCH Services

Indicator: Couple Year Protection: (Annual indicator) Target: 482,865. 390,300 CYPs (81% of the target) were achieved. APROFAM achieved 225,400 CYP or 96% of its goal; IGSS achieved 51,500 CYP or 90% of its goal; IPROFASA achieved 33,630 CYP or 75% of its goal and the MOH achieved 80,130 CYP or 37% of its goal. IPROFASA's CYPs are lower than projected because of their big push on sustainability in 1996 and a drop in the publicity/marketing budget. However, according to an external marketing survey, over 80% of the family planning methods purchased in pharmacies are IPROFASA products and almost 90% of the condoms sold in pharmacies are also IPROFASA's products. In terms of the poor performance by the MOH in achievement of CYPs, 1996 was a very difficult year; the poor performance stems from the lack of personnel and political will. Based on an analysis of present performance, USAID proposes modified targets for 1997 and beyond (see performance data tables).

Indicator: Immunization Coverage: (Annual Indicator) Although USAID/G-CAP considers survey data (such as the DHS) a better source of data in a setting with poor coverage of MOH services, we will report on measles and DPT3 coverage of < 1 year olds on an annual basis for the purpose of monitoring trends between DHS's. The National Immunization Program 1996 Country Report shows that coverage for measles and DPT3 dropped from 1995 to 1996: measles from 83.3% to 69% and DPT3 from 79.7% to 72%. The MOH believes that this drop may be an artifact of using new denominator data. 1996 was the first year that the new 1994 census data have been used as the basis for the denominator. Previously the 1981 census dated (corrected for estimated population growth) were used. The MOH is testing this hypothesis by constructing an alternative scenario using the old form of estimating the population for the denominator.

IR 2: MCH Programs Are Better Managed

Indicator: Adequate stock: Between 1992 and 1995, USAID assisted the University of San Carlos to create a local ORS production facility. In 1996, as part of its anti-corruption campaign, the MOH created a pre-approved list of pharmaceutical suppliers; the list excluded LAPROMED because of its public nature. After extensive negotiations, and due to the fact that the price of LAPROMED ORS was 3 times cheaper than any other ORS brand sold in Guatemala, LAPROMED was given an exclusive contract with the MOH. Although this is not the specific indicator stated as IR2.2, it provides evidence of progress towards achieving IR2 within the public sector.

Indicator: Number of Maternity Centers Established by Community Members: Target: at least one in each of the Mission's priority health areas. In March 1996, a community maternity center was inaugurated in the Health Center in Momostenango, Totonicapan. Following the inauguration, service statistics have improved at an impressive rate. The number of prenatal care visits in the first month increased by 228% (from 71 to 158); this upward trend has continued throughout the year. The average monthly number of prenatal care visits is approximately 180. In addition, more than 58 births have been attended at the maternity center from March to December, 1996.

IR 3: GOG Demonstrates Stronger Commitment to Integrated Women's Health

In revising its health strategy early in 1996, the Mission narrowed its previous focus on stronger Guatemalan commitment to maternal-child health to a strong emphasis on fostering a greater commitment to integrated women's health.

Indicator: Number of members in an organized network that focuses on integrated women's health. Target: 8-15 active members by the end of 1998. Although it is too early to count the number of "active" members, an advocacy network has been formed with USAID assistance and is called "Women, Pro-Peace". This network consists of NGOs, professional associations, and Guatemalan leaders who are actively advocating on behalf of women's participation generally and improved health status specifically, as called for in the Socio-Economic Accord.

Indicator: Number of high level policy makers provided with critical data. Target: 250 by the year 2001. During 1995-96, USAID contributed to the establishment of the Reproductive Health Technical Committee, a loose affiliation of institutions and individuals from both the

public and private sectors. In 1996 this group was called upon by the Guatemalan Social Cabinet, headed by the Vice President, to write a proposal for the Government on "Integrated Women's Health Policy in Guatemala". On various occasions the group has been called upon to provide information to and guide the Vice President and the Social Cabinet in government policy development and strategic planning.

2. Expected Progress through FY 1999 and Management Actions

The "Better Health for Rural Women and Children" SO will be implemented over the next five years. In 1997, the Mission will be signing a 5 year US PVO Cooperative Agreement for approximately \$6,000,000. The purpose of this Cooperative Agreement is to provide assistance to a US PVO to join USAID's Guatemalan partners in achieving the SO. The Mission expects to sign a new SOAG with the MOH this year. The Agreement would provide financial and technical support and supplies to the MOH to implement reproductive and child health activities at the national level, with emphasis on priority geographic areas. At the end of 1997, the USAID/G-CAP and APROFAM will sign a new Cooperative Agreement emphasizing improved coverage and quality of care in rural areas of Guatemala.

By implementing the strategy, USAID/G-CAP will continue to support national level interventions; with concentrated efforts in the altiplano, especially in San Marcos, Quetzaltenango, Totonicapan, Solola and Chimaltenango. Our new US-PVO program will include the Ixcán and the northern part of Huehuetenango (Barillas). The principle focus of our activities will be in the following areas: improving quality of care at all levels through supervision and training in the use of protocols, especially in the public sector and the implementation of standard case management; improving the quality and availability of data for decision-making at all levels of the public/private (NGOs) health systems; creating responsive logistics systems for all key MCH supplies; and assisting APROFAM to implement its re-engineered community-based distribution strategy, focusing on improving the quality of integrated services, counseling skills, referral systems, and applying the lessons learned from previous operations research projects. At the national level, the Mission will continue to support the IPPF affiliate in achieving financial sustainability for its national network of metropolitan and departmental urban clinics; expansion of IGSS services; reproductive health services at the national level at all levels of care (hospital, health centers and health posts); and support for more effective NGO advocacy.

During the March 1997 DAEC for the bilateral strategy, the Mission agreed to resubmit its assumptions for this SO. The reformulated assumptions are provided here.

There are three fundamental assumptions underlying this strategy:

- (1) The GOG will effectively decentralize public sector services. The Arzu administration is giving priority to the area of administration of the state to the Ministries of Finance, Health, Education and Communications. The planned modernization efforts will set the stage for decentralization of budget authorities within these Ministries.
- (2) NGOs and other civil society groups can work in partnership with the government, assuming a larger, more concrete role in promoting community participation in the design, implementation, monitoring and evaluation of health programs and policies to

enhance the quality and coverage of maternal and child health, especially in rural Mayan areas.

- (3) USAID/G-CAP's partners will endorse and incorporate into their ongoing programs, the new, more innovative approaches to rural service delivery identified through small scale operations research activities.

Further, the Mission agreed to present its Health Policy Dialogue Agenda which is included here as Annex E.

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
STRATEGIC OBJECTIVE NO. 2 Better Health for Rural Women and Children				
Indicator: Total Fertility Rate (TFR)				
Unit: Average Number of Births/Woman/Lifetime		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1987	-----	5.6
Comments: DHS will be carried out again in 2001.		1995	National	5.1
			Ladino/ Mayan	4.3 6.8
			Urban/ Rural	3.8 6.2
		2001	4.8	
	Target	2010	4.2	
Indicator: Infant Mortality Rate (IMR)				
Unit: Deaths < 1 Year Old/1,000 Live Births		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1987	-----	73.4
Comments: Is important to note that a the 1995 DHS data showed that over 50% of all infant deaths occur within the first 28 days of life. DHS will be carried out again in 2001.		1995	67	51
		2001	43	
	Target	2010	TBD	
Indicator: Under 5 Mortality				
Unit: Deaths of children < 5 year old/1000 live births		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1987	-----	109.8
Comments: DHS will be carried out again in 2,001.		1995	-----	68
		2001	60	
	Target	2010	TBD	

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Indicator: Maternal Mortality Ratio (MMR)				
Unit: Number of maternal deaths/100,000 live births		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1995	-----	220
Comments:		2001	205	
	Target	2010		TBD
INTERMEDIATE RESULT No. 1 Increased Use of Quality Services in Rural Households, Communities & Health Facilities				
Indicator: 1.1 Couple Year Protection (CYP)				
Unit: CYP		Year	Planned	Actual
Source: Service based data	Baseline	1992	-----	385,115
Comments: Couple years protection (CYP) is a contraceptive commodity based measure of family planning services, and as such the CYP data that USAID/G-CAP monitors is collected from our four main partners which are Service Partners: Ministry of Health, IGSS, APROFAM, IPROFASA. Targets assume 5% annual increases.		1995	-----	459,872
		1996	482,865	390,300
		1997	409,815	
		1998	430,306	
		1999	451,821	
		2000	474,412	
	Target	2001	498,132	
Indicator: 1.2 National Contraceptive Prevalence Rate (CPR)				
Unit: Percentage		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1987	-----	27%
Comments: DHS will be carried out again in 2001.		1995	31%	31%
		2001	35%	
	Target	2010	42.8%	

Indicator: 1.2.1 Contraceptive Prevalence Rate among Mayan Couples (Mayan CPR)				
Unit: Percentage		Year	Planned	Actual
Source: Demographic & Health Survey, special studies	Baseline	1987	-----	5.8
Comments: DHS will be carried out again in 2001. Special studies in selected areas may be carried out during the next 5 years, which will help to estimate coverage in rural Mayan areas.		1995	-----	9.6
		2001	14.0	
	Target	2010	TBD	
Indicator: 1.3 Percentage of births with intervals of two years or greater				
Unit: Percentage		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1995	-----	70
Comments: The DHS will be carried out again in 2001.	Target	2001	75	
Indicator: 1.4 Complete Vaccination Coverage of Children under 12 months (DPT, Polio and Measles)				
Unit: Percentage		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1985	----	5%
Comments: Last year's R-4 erroneously showed the 1987 actual value at 50%. This was the official MOH figure for vaccination coverage; the table has been updated with 1995 DHS data.		1987	----	24%
		1995	70%	42%
		Ladino/ Maya		45.4 % 38.5 %
		Urban/ Rural		46.3 % 35.0 %
	Target	2001	80%	

Indicator: 1.4.1 Vaccination coverage of children under 12 months (Measles and DPT3)					
Unit: Percentage		Year		Planned	Actual
Source: MOH reporting system	Baseline	1995	Measles		83.3%
Comments: Between DHS measures, the Mission will monitor both DPT3 and measles on an annual basis based on the MOH information system.			DPT3		79.7%
		1996	Measles		69%
			DPT3		72%
		1997	Measles	100%	
			DPT3	90%	
Indicator: 1.5 ORT Coverage of children under five years					
Unit: Percentage of diarrheal episodes in past two weeks treated w/ORT		Year		Planned	Actual
Source: Demographic and Health Survey	Baseline	1987		----	17%
Comments: The DHS will be carried out again in 2001. Between DHS measurements, the Mission/partners will estimate coverage through small-scale special studies.		1992		35%	N/A
		1995	National	55%	21.5%
			Mayan		17.4%
			Ladino		24%
	Target	2001		40%	
Indicator: 1.6 Pneumonia cases treated at a health facility					
Unit: Percentage of cases (fever/cough) in past 2 weeks treated at a facility		Year		Planned	Actual
Source: Demographic and Health Survey	Baseline	1995			40.5%
Comments: Between DHS measurements, the Mission may estimate progress through small-scale special studies.	Target	2001		60%	

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Indicator: 1.7 Children exclusively breastfed				
Unit: % of infants exclusively breastfed for the first 6 months		Year	Planned	Actual
Source: Demographic and Health Survey	Baseline	1995		32.5%
Comments: This is a new indicator. Between DHS measurements, the Mission may estimate improvement through small-scale special studies.	Target	2001	40%	
Indicator: 1.8 Percentage of women with serious obstetric complications seen at targeted area hospitals (EOC). (Met need for EOC)				
Unit: Number of serious obstetrical complications/number of complications among pregnant women		Year	Planned	Actual
Source: Hospital MIS/MotherCare	Baseline	1995/1996		10.08%
Comments: This is a new indicator. The information will be collected at 4 of the health area hospitals where MotherCare is implementing/"piloting" the maternal monitoring systems. The purpose of this indicator is to gauge what proportion of the need for essential obstetric care (EOC) due to complications is being met. The emphasis is to encourage women with complications to be seen at an appropriate facility. * Met need for EOC-as defined in Global Bureau indicators.	Target	1997/1998		TBD
Indicator: 1.9 Maternal Case fatality Rate at targeted area hospitals				
Unit: Number of all obstetrical deaths/number of all obstetric complications		Year	Planned	Actual
Source: Hospital MIS/MotherCare	Baseline	1995/1996		9.34/1.000
Comments: This is a new indicator. which allows to monitor <u>quality of care</u> (a critical component of our strategy at the IR-level, while monitoring MMR at the SO level.	Target	1997/1998		TBD

INTERMEDIATE RESULT No. 2 Maternal and Child Programs Are Better Managed				
Indicator: 2.1 Stock-outs of vaccines, contraceptives and clotrimoxazole				
Unit: Average number of days for targeted facilities		Year	Planned	Actual
Source: MIS of public & private sector	Baseline	1997		TBD
Comments: This indicator will be reported on annually by partners in their annual reports from their MIS.	Target	2001	TBD	
Indicator: 2.2 Adequate stock (clotrimoxazole, vaccines, ORS, syringes and contraceptives)				
Unit: % of facilities		Year	Planned	Actual
Source: MIS of public & private sector	Baseline	1997		TBD
Comments: The target is 80% of participating facilities are permanently stocked.	Target	2001	80%	
Indicator: 2.3 Communities participating actively in MCH diagnosis, planning & evaluation				
Unit: # of communities (in targeted areas)		Year	Planned	Actual
Source:TBD	Baseline	1997		TBD
Comments: This indicator is not generated by existing reporting systems. The reporting mechanism will be defined by USAID/G-CAP partners.	Target	2001	50%	
Indicator: 2.4 Maternities established by community members with support from the MOH and local NGOs				
Unit: # of maternities		Year	Planned	Actual
Source: MOH & MotherCare reporting system	Baseline	1995		1
Comments: Target is at least one maternity in each targeted health area (Quetzaltenango, San Marcos, Sololá, Retalhuleu, Suchitepequez). In 1996, another maternity was established. Thus, these are now 2 maternities in the MC target health areas.	Target	2001	6	

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Indicator: 2.5 Health facilities employing the "salvation tables" (life-tables)-graphs for # of vaccinations against each disease and cumulative coverage month by month				
Unit: % of targeted MOH health facilities		Year	Planned	Actual
Source: MOH reporting system	Baseline	1997		TBD
Comments: 80% of MOH targeted health facilities utilize this tool to measure immunization coverage	Target	2001	80%	
Indicator: 2.6 MOH health facilities using "the semaforo" or "stop-light"-, a tool designed to monitor status of cold chain equipment				
Unit: % of MOH health facilities		Year	Planned	Actual
Source: MOH reporting system (MIS)	Baseline	1997		TBD
Comments: By 1999 80% of targeted MOH health facilities will use this tool.	Target	1999	80%	
Indicator: 2.7 MOH and NGOs in targeted areas that comply with management standards (index)				
Unit: % MOH districts & NGO's		Year	Planned	Actual
Source: MOH & NGO reporting system	Baseline	1997		TBD
Comments: This is a new indicator (index) that will be developed by USAID/G-CAP and its partners in 1997.	Target	2001	TBD	

INTERMEDIATE RESULT No. 3 Stronger Guatemalan Commitment to Integrated Women's Health				
Indicator: 3.1 # of members in an organized network that focuses on integrated women's health				
Unit: # of members		Year	Planned	Actual
Source: POLICY Project Reporting	Baseline	1997		0
Comments: This indicator will provide information on the # of organizations not only interested in integrated women's health, but that are actively advocating the issue.		1998	8-15	
		1999		
		2000		
	Target	2001		
Indicator: 3.2 # of organized campaigns advocating women's participation				
Unit: # of organized campaigns		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1996		0
Comments:	Target	2001	5	
Indicator: 3.3 # of events for parliamentarians on women's participation and women's rights				
Unit: # of events for parliamentarians		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1996		0
Comments: This indicator will measure the number of "official/formal" conferences/seminars or presentations for the parliamentarians in order to provide them with information regarding women's participation and human rights. Target is at least one event annually from 1997 until 2001.	Target	2001	5	

Indicator: 3.4 # of sets of materials developed for different audiences				
Unit:		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1996		0
Comments: In order to provide decision-makers, NGO's and other organizations with information regarding integrated women's health it is important to have materials that are easily accessible and available to everyone. Since organizations and individuals may have varying needs for information it is important to provide a variety of materials. Initially these sets will be developed by 1998 and three additional sets will be completed by 2001.		1998	3	2
	Target	2001	6	
Indicator: 3.5 # of pertinent articles in the newspapers (magazines) per year				
Unit: # of articles published		Year	Planned	Actual
Source: POLICY project reporting	Baseline	1996		-----
Comments: This indicator will monitor the dissemination of information regarding women's participation, women's rights including access to information and services in reproductive health.	Target	2001		120
Indicator: 3.6 # of decision makers who know how to use and where to find data needed for policy formulation and implementation				
Unit: # of decision makers		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1996		TBD
Comments: Through workshops, seminars and other channels decision-makers will be able to access the data needed.		1998	4	
		1999	10	
		2000		
	Target	2001	20	

Indicator: 3.7 # of high level policy decision makers provided with critical data				
Unit: # of high level policy makers		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1997	--	TBD
Comments:	Target	2001	250	
Indicator: 3.8 # of decision makers at decentralized levels know where to obtain data and how to use it in planning and programming				
Unit: # of decision makers		Year	Planned	Actual
Source: POLICY Project reporting	Baseline	1997	--	-----
Comments: Workshops and seminars will be carried to disseminate important information and DHS data and to teach decision-makers how to use the data for planning purposes..		1998	4-6	
	Target	2001	10	

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C. Sustainable Natural Resource Management and Conservation of Biodiversity in Priority Areas

SO 3: Sustainable natural resource management and conservation of biodiversity in priority areas	
R	People adopt more sustainable, environmentally sound practices
E	
S	Policies affecting the environment are improved and applied
U	
L	
T	More responsive and effective institutions and increased local participation in decision-making related to natural resource management
S	

The SO promotes conservation of biological resources of national and international importance by providing sustainable income alternatives to marginalized populations in multiple use and buffer zones adjacent to parks and protected areas, by developing a broad-based constituency for environmentally sound policies, and by improving the institutional framework governing natural resource use. The SO substantive and geographic foci coincide directly with GOG peace accord commitments for the development of sustainable production projects in formally conflictive zones, natural resource management plans for resettlement sites, forest concessions in the Maya Biosphere Reserve (MBR), and improved land tenure security. (See Table 1).

1. Performance Analysis

SO Level:

The established track record of exceptional performance under this SO was maintained in 1996;¹ accomplishments met or greatly exceeded expectations for 8 of the 9 established indicators, led by significant advances related to people's behavior and policy.

Indicator: People adopting more sustainable practices. Performance exceeded the target by over 50%. Factors credited with this performance include: a rapidly growing population in the target area; high interest on the part of new settlers in receiving technical assistance; flexible approaches of NGO partners; and effective extension mechanisms focussing on farmer-to-farmer multiplication. This performance was achieved despite the fact that the target population for 1996 was modified and expanded 40% to reflect GOG priorities (and the most threatened ecosystems of the MBR). During the reporting period, 30% of the new target population (representing 10,542 people in 33 communities) adopted improved practices.

¹a CDIE comparative analysis showed it was the only environmental SO to have complete data and to meet or exceed targets.

Indicator: Natural habitat conserved. Although the indicator for natural habitat conserved compared to historic trends was not scheduled for measurement this year, the Mission received data reconfirming that performance continues to exceed targets. A detailed remote sensing study by NASA-CI-University of Maine was released in November and offered very interesting impact findings: areas where project conservation activities have been strongly focussed suffered relatively little deforestation; other parts of the MBR have deforestation rates which are greater by as much as 15 orders of magnitude; and the majority of the land area outside of the reserve is in worse shape. Within the Reserve's 840,000 hectare Multiple Use Zone, for example, deforestation rates during 1986-93 (pre-project) were similar along the central road corridor (which became a project focus) and the eastern border with Belize (no project presence), at 0.6% per year. In the 1993-95 period, however, the annual rate along the central road corridor fell to 0.4%, while along the Belize border it increased five-fold, to over 3%. The study also confirmed that the areas most threatened are along oil and timber access roads in the western half of the MBR. This area, therefore, was made the project's highest and most challenging priority.

Indicator: Area officially protected. Performance also surpassed targets for this SO level indicator. Approximately 70,000 hectares received legal protection since the last R4, including Lachua National Park, Polochic Wildlife Refuge (wetlands), Cerro San Gil and three innovative private reserves. While the Guatemalan Park System is in early stages of development and merits significant additional support, progress remains encouraging. The park system has new leadership which, with strong support from the President, has begun to directly address a fundamental issue threatening the park system--colonization by the poor--through a set of policy guidelines and dialogue. A recent regional study conducted by IUCN found that the park system in Guatemala is second only to Costa Rica in terms of on-site management and protection. Also, important advances were made in staffing and decentralization, as a Regional Director for CONAP Peten and first time Park Directors were named for Guatemala's two largest National Parks, Laguna del Tigre and Sierra Lacandon, which form part of the MBR.

The SO is implemented through results-based agreements with integrated annual performance assessments and customer surveys. In 1996 the assessments identified several areas for further improvement (e.g. more community organization and participation in decisions; accelerate zoning and demarcation; strengthen the link between agro-forestry extension and park conservation; increased coordination between land tenure, park management and economic activities). Program coordination and implementation were seriously hampered the first eight months of 1996 as key leadership positions in CONAP were vacant. Critical components of the national park system were invaded and settled during this period. This reflects the need to build more sustainability into on-the-ground conservation.

Intermediate Results

IR 1: People adopt more sustainable, environmentally sound practices

A new performance indicator was established and monitored during 1996 by combining the two separate indicators used previously (whose targets were exceeded by about 40%) into a single indicator.

Indicator: Number of households which adopt more sustainable practices and improve welfare. This is a fundamental indicator reflecting sustainable adoption of practices, long-term alleviation of poverty, and local ownership and support for the Maya Biosphere vision. Activities under this IR were modified in 1996 to be more strategically targeted at reducing illegal settlement in parks. A 1996 socioeconomic survey² in ten communities found that 88% of households which have adopted improved practices promoted by the project, also demonstrated measurable improvements in welfare. Using a more conservative 80%, this translates to over 3,500 households which have improved welfare as direct project beneficiaries. The 1996 survey was designed to measure changes since the 1992-93 baseline data were collected and identified significant differences attributed to project interventions. For example, Santa Ana and San Andres are both municipal seats in Central Peten but showed strong differences in socioeconomic development patterns during the 1993-96 study period. San Andres, a strategic project area with jurisdiction in much of the MBR, effectively replaced declining employment in logging and agriculture with tourism-related enterprises. In Santa Ana, a "control" site south of the MBR with minimal direct project intervention, the situation was very different: few employment alternatives were available; municipal policies facilitated rapid population growth; crime, poverty and distrust increased significantly; and day labor for large ranchers and illegal logging appeared to be the primary growth areas for employment.

An anthropologist specializing on the Peten led the community socioeconomic assessments (baseline and 1996) using household surveys, case histories, and standard ethnography in selected communities. He found that ethnicity had a negligible impact on conservation and economic decisions, and that USAID requirements to "break down data into ethnic categories may distort *contemporary* social reality in Peten." It was reported that, at least in these communities, previous ethnic distinctions are becoming hard to identify and the fact that approximately 17% of the people adopting practices were reported as indigenous may have limited significance. USAID will examine these issues and we will continue to focus special attention on ethnic groups in areas pressured by rapid colonization and on land issues, because here ethnic differences have been apparent. For example, over the past year it appears that immigrants into the MBR are predominantly K'eqchi Mayans and this group places high importance on communal property.

Approximately 19% of the people adopting practices in 1996 were women. Women's participation is important since they make many of the household decisions which affect welfare. Partners have had the most success promoting women's participation in economic alternatives and credit programs in more urbanized areas. During 1996, 331 women participated in activities related to forest management, value-added processing of non-timber products, eco-tourism and other small enterprises. We plan to have improved data next year on female leadership roles in community organizations and businesses.

IR 2: Policies Affecting the Environment are Improved and Applied

Targets for this IR were exceeded, facilitated by significant increases in commitment from the

²Since the 1996 survey was applied in a limited area, a complementary survey is planned for 1997. "Socioeconomic Monitoring and Evaluation of Conservation International/Pro Peten Project in the MBR, 1992-1996;" N.B. Schwartz et.al., 20 Jan., 1996

GOG which are exemplified by:

- the passage of 22 legislative initiatives aimed at improving the environmental policy framework (includes ratification of six new parks and protected areas);
- filling key environmental staff vacancies within government with qualified personnel;
- creation of Guatemala's first formal environmental cabinet;
- increased priority and budgetary support for our two primary counterpart organizations, CONAMA and CONAP;
- creation of a National Environmental Fund and its inclusion as a priority for investment among peace programs;
- plans within the modernization of state process to combine several current agencies and ministries into a strong, new ministry of environment and natural resources; and
- establishment of a special commission for the Peten vested with Presidential authority to resolve conflicts and promote more sustainable management of natural resources.

The Policy IR was built around a 25-point policy agenda developed over a two-year period employing participatory mechanisms. The annual target is to achieve changes in the policy environment which induce positive changes in behavior for over half of the agenda items. Change objectives are removed once adequate progress is achieved, and new objectives may be added as needs are identified. Assessment for 1996 found measurable, positive change related to 19 of the agenda objectives, in contrast to 16 of 25 in 1995, and 9 of 24 in 1994, reflecting increasing impact and success. (See the Policy Agenda and results in Annex E).

Examples of USAID assistance to Guatemalan government and NGO partners that advanced environmental policy-change objectives during 1996, include the following:

- A multi-sectoral committee was formed to analyze and recommend changes to the national park system and many of its key recommendations were incorporated verbatim in the law passed by congress.
- A new forestry law was passed which responds directly to many policy agenda issues: it reduces "command and control" measures, promotes forest conservation and production through more equitable incentives and maintains the integrity of the national system of protected areas.
- Public participation in processes related to governmental policy and laws affecting the environment produced improved environmental commitments from international oil contractors; congressional support for the urgent protection of the Maya Biosphere Reserve (PL 87-96); and more informed analysis of environmental impacts related to major external investments.

IR 3: More Responsive and Effective Institutions and Increased Local Participation in Decision Making Related to Natural Resource Management

Our principal target for this IR was also exceeded by over 33%. The Guatemalan Parks agency, CONAP, is generating more funding every year from direct resource management functions independent of donors and its share of the GOG national budget. Likewise, CONAP

made significant gains in devolving authority to local groups with the objective of increasing the sustainability of natural resource management (target exceeded 75%). These achievements reflect CONAP's interest in building constituencies and developing local allies for the conservation movement. Several agreements deal with the resolution of settlement conflicts as well as resource management rights. One IR indicator fell short of expectations: **Area in hectares under management via contracts with local organizations.** This is attributed to the lack of personnel in key positions at CONAP during the first eight months of 1996 and the fact that community forest management concessions in the MBR were being negotiated for inclusion in the peace accords.

2. Expected Progress through 1999 and Management Actions

Targets presented in the Performance Data Tables through 1999 are based on the funding levels assumed in the recently approved five year Mission strategy. The strategy assumed funding in 1997 nearly double that actually received this year; this shortfall will affect performance in future years. The targets may still be achievable if the Mission can plan now to make up the deficit in an orderly manner. The Mission recognizes that the achievement and maintenance of results under this environmental S.O. requires a long-term commitment and that this commitment is crucial in order to provide a foundation for sustainable development and durable peace. In fact, USAID stands out among other donors for its commitment to sustainability and environmental standards.

Diversified Incomes & Sustainability

Luciano is a Chorti maya who was forcibly moved by an army counter-insurgency program 14 years ago to Centro Campesino in northern Peten. Like most families there, Luciano's survived on an average income of \$85/month from swidden corn agriculture. Since 1994, Luciano has joined ranks with over 2000 other families in the region who have diversified their income through the support of the Maya Biosphere Project. Luciano now practices agro-forestry, rents mules to tourists, and supports the park system in the area. His greater income (\$100/month from tourism alone) has been invested in improved diet and education for his children, a floor in the kitchen and a new radio, allowing his family to listen to "radio Chorti." Says Luciano, "conserving the forest will give us all a better future."

The Mission proposes to restructure some results packages and activities of this SO to more clearly delineate them in terms of IR 1, "People" (supporting more sustainable economic practices), IR 2, "Policy" and IR 3, institutional strengthening *and protected area management for the conservation of biodiversity*. We also plan to conduct a study of the relationships between various agricultural and agro-forestry activities and the conservation goals of the project. A formal evaluation to be carried out in FY 98 will support the design of a new umbrella SOAG with the GOG. An approach the Mission plans to promote involves more comprehensive community, municipal and private sector participation in park management to improve sustainability. We will also support initiatives to earmark funds from a tourist tax for park management and to create a special private trust for parks. Other targets on the policy front include increased efficacy in policy making while assuring consideration of all legitimate stakeholders through open debate; greater specification in rules; improved policy enforcement and application; ex-post policy appraisal; and revision or discontinuation of obsolete policy.

3. Performance Data Tables

Current performance data tables are presented followed by tables including new indicators as approved in the Mission strategy. The new indicators help capture the relationship between priority peace programs of the GOG and our ongoing environmental program and are summarized below with notes on progress to date.

Indicator: Sustainable productive enterprises established at the community level. Over 15 new enterprises have been initiated based on tourism, non-timber products, forestry and more sustainable agricultural production and processing. One local enterprise, the Ecoescuela of San Andres, Peten, fulfills the established criteria for this indicator, that is the enterprise has a clearly established legal status, business and financial plan, profit sharing among workers and marketing strategy. The Ecoescuela was transferred to 65 community owner-workers in 1996.

Indicator: Families receive legal and technical support for titling; Number of titles granted. To date, 483 families, mostly Mayan K'ekchi are in the process of legalizing their land; 21 of them are female heads of household. This pioneering work is serving as a model for larger GOG initiatives with other donors and is a key component in the strategy to peacefully resettle people outside of protected areas and provide them with an incentive to consolidate the agricultural frontier, rather than continue to expand it into the forest.

Indicator: Number of families that adopt more sustainable income generating practices and show evidence of improved welfare. This indicator integrates two previous indicators, as described above.

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID STRATEGIC OBJECTIVE NO. 3: Sustainable Land Use Management and Conservation of Biodiversity in Priority Areas				
S.O. Indicator: People adopting more sustainable income generating practices				
Unit: Percent of total population in target areas		Year	% Planned	% Actual
Source: Annual inventories by implementors with USAID verification	Baseline	1991	0	0
<p>Comments: Original target population was the estimated 25,000 people MBR and buffer zone area. Given that original 1995 and 1996 targets were substantially exceeded, and given better population data and a new target area for the project, a new target population of 35,000 people was identified for 1996-1999. Assuming increased funding under the Mission Strategy beginning 1998, the target will be further expanded to 70,000 in close coordination with the Peace Programs of the GoG.</p> <p>GENDER AND ETHNIC PARTICIPATION Area: Peten Men: 81% Women: 19% Indigenous people: 17% of total</p>		1992	2	2
		1993	15	20
		1994	28	30
		1995	40	64
		1996	58	106
	New Target	1996	20	30
	New Target	1997	35	
	New Target	1998	48	
	New Target	1999	55	
	S.O. Indicator: Area of natural habitat (primarily forest) saved from conversion to other uses (primarily agriculture) in comparison to historic trends (1970 - 1990)			
Unit: Hectares conserved compared to baseline trend		Year	Planned	Actual
<p>Source: Biannual analysis of satellite imagery. Historic trend and 1993 data are derived from GOG-SEGEPLAN reports. The Mission still expects to receive SEGEPLAN reports on forest cover in Peten for 1995 and 1997, using the methodology applied to generate the baseline and 1993 data. Meanwhile, based on recent analysis of satellite imagery by NASA-CI, the Mission is confident that the area reported as actual for 1995 is a good conservative figure. Also, preliminary data for 1997 are to be available from NASA-CI-University of Maine, for next R4.</p>	Baseline	1991	0	0
		1993	170,000	340,000
		1995	310,000	410,000
		1997	520,000	
	Target	1999	670,000	

SO 3: (i)

S.O. Indicator: Total area officially protected in Guatemala				
Unit: Hectares		Year	Planned	Actual
Source: CONAP and Congress (official GOG legislation)	Baseline	1990		287,000
Comments: USAID in coordination with other donors supported the establishment of areas declared since 1990. * An ongoing goal is to make adjustments between core and multiple use zoning, to facilitate improved management of approx. 200,000 hectares without any net loss in the total area officially protected.		1996	1,922,000	1,991,680
		1997	1,946,000	
		1998	1,981,000	
	Target *	1999	2,001,000	

SO 3: (ii)

SP

INTERMEDIATE RESULT NO.3.1 People Adopt more Sustainable Land Use Practices				
Indicator: Number of families adopting more sustainable, environmentally sound practices				
Unit: Number of families whose primary sources of income (50% or more) have shifted to more sustainable practices. (Cumulative)		Year	Planned (Cum)	Actual
Source: Household surveys by CI	Baseline	1993	---	0
<p>Comments: This indicator is designed to validate and complement the "% adoption" indicator at the SO level. A detailed, baseline survey of 655 households was conducted in 1992-1993 (project start) in several communities both within the MBR target areas and outside (as a control). The survey was repeated in 1996 and will be repeated near project completion (2000), to assess the degree of adoption of project-promoted practices. The 1996 survey found that project participants are making significant shifts toward more sustainable sources of income, but it is not feasible to discern "primary sources" in a reliable and cost-effective manner due to the great diversity and seasonal variations in individual household income strategies in Peten. Therefore, this indicator will be changed in the next R4</p> <p><u>GENDER AND ETHNIC DESAGRETATION</u> Women that adopted practices: 331 Indigenous people that adopted practices: 295</p>		1996	1,500	1,757
	Target	1999	5,000	
Indicator: Number of families that improve their welfare/income from environmentally sound practices				
Unit: Number of household that show physical evidence of improved welfare		Year	Planned(Cum.)	Actual
Source: Household surveys contracted by CI	Baseline	1993	---	0
<p>Comments: This indicator is designed to validate and complement the "% adoption" indicator at the SO level. A detail, baseline household survey of 655 household was conducted in 1992-1993 (project initiation) in several communities both within the MBR target areas and outside (as a control). The survey was repeated in 1996 and will be repeated near project completion (2000), to assess the degree of adoption of project-promoted practices.</p>		1996	1,000	1,406
	Target	1999	3,200	

SO 3: (iii)

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INTERMEDIATE RESULT No. 3.2 Improved policy framework for environmentally sound management and conservation of biodiversity.				
Indicator: Positive movement toward at least a majority of the 25 policy-change objectives is reflected in the legislative/regulatory framework and people's behavior.				
Unit: "Yes" or "No" based on annual review of progress towards agenda.		Year	Planned	Actual
Source: Yearly inventory independent M&E contractor	Baseline	1993	See attached agenda (Annex E)	
Comments: A policy agenda was established under the Policy component of the Maya Biosphere Project and monitored by an independent contractor in 1994-1995. In the future, the project policy advisor with the support of the policy steering committee secretariat, will continue to monitor changes toward agenda objectives.		1994	Yes	No
		1995	Yes	Yes
		1996	Yes	Yes
		1997	Yes	
		1998	Yes	
	Target	1999	Yes	

SO 3: (iv)

JP

INTERMEDIATE RESULT NO.3.3. More responsive institutions and increased local participation in decision making					
Indicator: Selected Institutions have increased annual support from non-USAID sources					
Unit: Absolute non-AID income (US\$) of CONAP		Year	Planned	Actual	
Source: Yearly assessment of CONAP expenditures by source	Baseline	1990	--	79,800	
Comments: An institution's ability to attract funds from other sources indicates not only financial sustainability, but also may be an indirect measure of effectiveness. Ability to raise funds, especially fee-for-service, is evidence that the institution is valued by clients and donors other than AID.		1991	--	460,300	
		1992	500,000	638,600	
		1993	600,000	721,900	
		1994	700,000	735,500	
		1995	800,000	855,000	
		1996	900,000	1,202,138	
		1997	1,100,000		
		1998	1,200,000		
		Target	1999	1,400,000	

SO 3: (v)

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Indicator: Contracts and agreements signed which increase local participation and improve sustainability of natural resource management				
Unit: Number of agreements		Year	Planned	Actual
Source: Official CONAP contracts and agreements	Baseline	1993	0	0
Comments: During 1996 three agreements were signed with communities and two with municipalities.		1994	1	1
		1995	2	2
		1996	4	7
		1997	6	
		1998	8	
	Target	1999	10	
Indicator: Area under sustainable concession contracts with local organizations				
Unit: Hectares		Year	Planned	Actual
Source: Official CONAP contracts	Baseline	1993	0	0
The contract and management plan for the original 1994 concession (7,043 has.) were revised and reauthorized by CONAP and some small, new contracts were signed with cooperatives. Granting community concessions became an issue in the peace negotiations and specific targets were agreed to in the final peace accords. Therefore, the GOG purposefully postponed the finalization of new contracts during 1996. However, field work continued and we expect 65,000 has. to be contracted in 1997.		1994	7,000 has	7,000 has
		1995	10,000 has	11,000 has
		1996	17,000 has	12,693 has
		1997	30,000 has	
		1998	60,000 has	
	Target	1999	100,000 has	

NEW INDICATORS:

INTERMEDIATE RESULT NO.3.1 People Adopt more Sustainable Practices				
Indicator: Number of families that adopt more sustainable practices and show physical evidence of improved welfare				
Unit: Number of families		Year	Planned(Cum.)	Actual
Source: Household surveys by CI, Rodale and CARE	Baseline	1993	---	0
Comments: This indicator unifies two indicators presented in previous R4 and is designed to measure the relationship between adoption and welfare. Assuming increased funding under the Mission Strategy beginning in 1998, the target will be further expanded to 5,800, in close coordination with the Peace Programs of the GoG.		1996	1,000	1,406
		1999	3,200	
	Target	2000	4,000	
Indicator: Sustainable productive enterprises established at the community level .				
Unit: Number of enterprises.		Year	Planned(Cum.)	Actual
Source: Annual inventories of implementors and USAID verification	Baseline	1996	0	1
Comments: This is a new indicator that was established in the 1997-2001 Strategy. Target assumes funding levels of Strategy are met.		1997	6	
		1998	12	
		1999	25	
		2000	30	

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Indicator 3:Families receive legal and technical support for titling.				
Unit: Number of land titles.		Year	Planned(Cum.)	Actual
Source:Annual inventories of implementors	Baseline	1996	0	0
Comments:This is a new indicator that was established in the 1997-2001 Strategy. Target assumes funding levels of Strategy are met.		1997	200	
		1998	400	
		1999	500	
		2000	600	

SP

TABLE 1: PEACE ACCORDS AND USAID S.O. for ENVIRONMENT

Common Goals and Objectives

GoG Peace Program Priority	USAID ENR Results (planned)
3. Sustainable productive development:	<ul style="list-style-type: none"> * Creation of 40 sustainable productive enterprises at the community level.
3.1.2 Creation of productive enterprises in rural and marginal urban areas.	<ul style="list-style-type: none"> * Community forest concessions in Petén improved and applied on 150,000 has.
3.2.2 Community forestry concessions in Petén: 100,000 has.	<ul style="list-style-type: none"> * 5,700 families on marginal lands in Zonapaz adopt improved land use practices and improve their welfare.
3.2.3 Small productive agricultural, fishing and animal production investments for impoverished groups.	<ul style="list-style-type: none"> * Integrated land-use management plans are prepared and applied on 70,000 has. of small-farmer holdings in resettlement areas.
3.2.4 Natural-resource management plans in resettlement areas.	<ul style="list-style-type: none"> * Increased budgetary support for environmental protection and management.
3.2.5 Guatemalan Environmental Fund (FOGUAMA) to improve environmental management.	<ul style="list-style-type: none"> * Technical assistance, training and policies facilitate: <ul style="list-style-type: none"> - Credit mechanisms for small farmers - Soil improvement (green manure) - Ecotourism - Forest management for timber and non-timber products - Cultural traditions favorable to sustainable land use - Handicraft and other value-added processes
3.2.7 Financial mechanisms to support small entrepreneurs.	
3.2.8 Sustainable development of Petén.	
3.2.9 Sustainable development projects for displaced and repatriated populations in fragile rainforest regions.	
3.3.1 National Land Fund (FONATIERRA) to support rural titling.	<ul style="list-style-type: none"> * 1,000 families receive legal titles; at least half will be indigenous.
4. Strengthening and modernization of state:	<ul style="list-style-type: none"> * Strengthened role of municipalities and communities in conflict resolution, planning, environmental management.
4.8.2 Development Councils Program (decentralization and delegation).	<ul style="list-style-type: none"> * Decentralization and delegation of natural resource management authority and responsibility to local-community and municipal levels.
4.9.1 Municipal Strengthening Program.	
4.10 Registry and cadastre program (SEPAZ and Legal Assistance for Conflict Resolution) to provide tenure security in resettlement areas.	<ul style="list-style-type: none"> * Resolution of land tenure conflicts and clarification of ownership affecting 370,000 has.

The peace program priorities listed were presented in Guatemala's Report for the Brussels Consultative Group. The corresponding results supported by USAID S.O. #4 are based upon the USAID/G-CAP Strategy for Assistance to Guatemala, 1997-2001.

D. Increased Guatemalan Participation in Global Markets

SO 4: Increased Guatemalan Participation in Global Markets	
R E S U L T S	Improved Labor Relations
	Improved Trade Policies
	Increased Capacity to Expand Non-Traditional Exports

1. Performance Analysis

SO Level:

This SO has fully met the targets set for 1996 as Guatemala's participation in global markets, and trade performance improved significantly during 1996. USAID's indicators at the Strategic Objective level clearly demonstrate the SO achievement not just in the past year, but over the entire life of the SO.

Indicator: Trade as Percentage of GDP: Reflecting a decline in traditional exports (see below), due in part to a deteriorating terms of trade, Guatemala's total merchandise trade as a percent of GDP rose only marginally during 1996. This slackening in traditional exports, together with a decline in imports following a large build up of inventories in 1995, is reflected in the marginal 0.2 point increase for 1996 in the ratio of trade to GDP. Nevertheless, efforts toward narrowing the common external tariff band from 5-20 percent to 1-15 percent continued during 1996.

Indicator: Export earnings: Exports in 1996 rose by only 2 percent, as falling prices for coffee and cardamom more than offset volume and price increases for bananas and petroleum (see above), so that traditional export earnings fell by 10 percent. Nontraditional exports to markets outside Central America, however, rose by a strong 36 percent. Moreover, Guatemala's export base has become more diversified, as traditional exports in 1996 were down to 46 percent of total merchandise exports compared with 55 percent in 1990. Exports to the Central American Common Market (CACM) grew by only 3 percent in 1996, a reflection of the slowdown in economic activity in all Central American countries (except Nicaragua) due to the effects of lower coffee prices.

Indicator: Merchandise trade with the U.S.: Guatemala's total merchandise trade with the United States increased 20 percent in 1995, and then, based on preliminary estimates, increased by only 1.3 percent in 1996. Contributing to this decelerating trend was the aforementioned decline in total imports due to a large build up of inventories in 1995. Notwithstanding this slowdown, the actual figure for 1996 is larger than the planned figure for that same year.

Intermediate Results:

I R 4.1.: Improved Labor Relations

Indicator: Continued GSP Eligibility: Guatemala remained eligible for GSP benefits over past year as planned. Guatemala is currently under review for alleged violations of workers' rights and will remain under review until May 31, 1997. The Ministry of Labor has taken steps to enforce labor rights. For example, a training program was initiated to publicize and disseminate in Mayan languages (K'ichee', Maam, Kaqchi' and Q'eqchi') information on labor rights and obligations in the areas where the major Guatemalan ethnic groups are located. Training courses are being conducted in Mayan languages on these rights and obligations.

Guatemala signed an Agreement on the Identity and the Rights of Indigenous Populations (No. 169 of the International Labor Organization), by which the government assumed the commitments of fighting against discrimination and reforming existing legislation. On May 6, 1996, Guatemala signed the Agreement on Socio-Economic Issues and the Agrarian Situation. This includes areas such as social and productive sectors, land issues, labor, and the modernization of the state.

María Elena Coc Salvador, from Chichicastenango, El Quiché, is a Mayan woman who is now able to understand, comply with, and teach other Mayan women and men (employers and employees) on their rights and responsibilities as stated in the Guatemalan Labor Code, in their own Q'eqchi' language, and within the context of their own living style and needs.

María Elena is very proud to teach her fellow Mayans about the importance of contributing to improved labor relations. She is one of 460 (193 women and 267 men) trained to be facilitators in the four major Mayan languages (K'ichee', Maam, Kaqchi' and Q'eqchi').

Indicator: Resolution of labor disputes prior to entering to the court system: The Tripartite Commission, mandated by ILO

Convention No.144, was seated on February 9, 1996. The Commission has three representatives from labor, three from the business sector, and two from the Ministry of Labor. The Ministry of Labor established a mechanism for administrative arbitration to resolve labor disputes before they are entered into the overloaded labor court system. Based on preliminary and incomplete estimates, the performance under this indicator fell 15% shorter than expected. (Ministry of Labor's Officials expect to have the final figure by the end of April 1997, since four regional offices are pending to submit this report.)

USAID is also contributing to the development and enforcement of the labor relations in the rural area, supporting the Ministry of Labor's "Modernization and Decentralization Program", with the opening of 4 of 8 regional offices during 1996. These include: Region VI in Quetzaltenango, Region II in Cobán, Alta Verapaz, Region V in Escuintla, and the Region VII in Huehuetenango. Through this program the Ministry of Labor is expanding and strengthening its services to all rural Guatemalans. This program covers tripartite training in the areas of employment, win-win bargaining, productivity, health and safety at the work place, and conciliation techniques.

IR 4.2.: Improved Trade Policies

Indicator: WTO Accession Agreement Compliance: The performance of this indicator over the past year was successfully met, since in 1996, Guatemala again remained without negative World Trade Organization panel findings. Guatemala continues supporting the FTAA process, and continues to implement its WTO commitments.

Indicator: Composite Readiness Score: This indicator is based on a methodology developed by the Institute for International Economics. The indicator is a composite of objective and subjective scores on eight factors: 1) price stability, 2) budgetary discipline, 3) external debt, 4) currency stability, 5) market-oriented policies, 6) reliance on trade taxes, 7) functioning democracy, and 8) human development. Countries are scored on a scale of 0 to 5, with 5 being the most ready for participating in a Free Trade Agreement. As a point of reference, the U.S. received a score of 4.7 in 1992. The performance of the readiness indicator for Guatemala reached 3.2, substantially exceeding the planned target of 2.95 for 1996.

IR 4.3.: Increased Capacity to Expand Non-Traditional Exports

Indicator: Light manufacturing exports: Exports of light manufactured products, excluding maquila, exceeded by 88% the planned targets estimated by USAID during 1996. The Guild of Non-Traditional Product Exporters and the Entrepreneurial Chamber are contributing to the achievement of the overall objective by promoting a policy climate more conducive to expand trade, by increasing non-traditional exports through more effective promotion and marketing, and improving skills of local exporters through technical assistance and training in order to fully comply with world quality requirements.

Indicator: Non-traditional agricultural exports: Exports of vegetables, fruits and preservatives, flowers and ornamental plants, and shrimp and related seafood, grew by 25% during the period exceeding the projected 10% annual growth targets projected by the Mission. The Guild for Non-Traditional Product Exporters encourages the sustainable use of natural resources in non-traditional export development. This is being accomplished by providing funding for an applied agricultural research fund, a program for the integrated use of pesticides and environmentally-related studies.

2. Expected Progress through FY 1999 and Management Actions

The Mission will continue to work towards increased Guatemalan participation in global markets as part of the Regional Strategic Objective "Increased Central American Participation in Global Markets" as this strategic objective phases out of the bilateral program. Other Mission activities aimed at broad based economic growth are contained in the recently approved Poverty Reduction SO.

During the strategy review in March 1997, the Mission agreed to modify IR2 of its new Poverty Reduction SO and present a revised results framework in this R4. The framework is attached as Annex F. Further the Mission was asked to provide additional information on the linkages between the regional Trade SO, the bilateral Special Peace Objective, and the bilateral poverty reduction activities targeted to selected geographic areas of Guatemala. Those linkages are briefly described also in Annex F.

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID STRATEGIC OBJECTIVE NO. 4 Increased Guatemalan Participation in Global Markets				
Indicator: Trade as a percentage of GDP				
Unit: Percentage		Year	Planned	Actual
Source: Central Bank	Baseline	1994	---	34.5
Comments: The indicator is defined as trade, merchandise exports--including maquila--(fob) plus imports (cif), as a percent of GDP. The "actual" figure for 1995 has been adjusted downward to remove the impact of higher coffee prices. The figure including the exceptional gains from coffee was 37.2 percent.		1995	---	34.6
		1996	35.0	34.8
		1997	35.5	
		1998	36.0	
	Target	1999	36.5	
Indicator: Increase in export earnings (including maquila)				
Unit: Millions of U.S. dollars		Year	Planned	Actual
Source: Central Bank	Baseline	1991	---	1,298
Comments: Assumes -3% annual growth rate for traditional products and a growth rate for non-traditional products of 15% annually until 1994 and 10% annually thereafter. The "actual" figure for 1995 has been adjusted downward to remove the impact of higher coffee prices. The figure including the exceptional gains from coffee was \$2,155.5 million for 1995.		1992	1,118	1,380
		1993	1,177	1,462
		1994	1,248	1,687
		1995	1,299	1,765
		1996	1,357	2,208
		1997	1,423	
	Target	1998	1,498	

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Indicator: Merchandise trade with U.S.				
Unit: Millions of U.S. dollars		Year	Planned	Actual
Source: U.S. Department of Commerce	Baseline	1991	----	1,842
Comments: Assumes 15% annual growth through 1993 and 10% annual growth thereafter. The 1996 figure is an estimate from the U.S. Department of Commerce.		1992	2,194	2,277
		1993	2,413	2,488
		1994	2,654	2,638
		1995	2,920	3,161
		1996	3,212	3,253
		1997	3,533	
		Target	1998	3,886

INTERMEDIATE RESULT NO. 4.1 Improved Labor Relations

Indicator: Adherence to internationally-recognized labor relations standards, evidenced by continued eligibility of Guatemala for GSP benefits.				
Unit: Yes-No		Year	Planned	Actual
Source: U.S.T.R.	Baseline	1991	Yes	Yes
Comments: Guatemala is currently under review for alleged violations or concerns rights.		1992	Yes	Yes
		1993	Yes	Yes
		1994	Yes	Yes
		1995	Yes	Yes
		1996	Yes	Yes
		1997	Yes	
		Target	1998	Yes

Indicator: Resolution of labor disputes prior to entering into the court system				
Unit: Number of labor disputes attended per year		Year	Planned	Actual
Source: Ministry of Labor	Baseline	1991	--	2,884
<p>Comments: The number of labor disputes is based on the number of cases reported to the labor inspectors and the number of violations the labor inspectors find in proactive inspections. Due to the inefficiency of the court system and the lack of punitive powers in the Ministry of Labor, the inspectors are focusing on finding ways to administratively resolve labor disputes or on using mediation to find a solution so that a lesser percentage of labor cases are referred to the court system.</p> <p>** The 1996 figure does not include data from 4 regional offices. This information will be provided by the MOL by the end of April 1997.</p>		1992		2,992
		1993		3,326
		1994		3,495
		1995	3,600	3,521
		1996	3,700	**3,113
		1997	3,800	
	Target	1998	3,900	

INTERMEDIATE RESULT NO. 4.2 Improved trade policies

Indicator: WTO agreement compliance				
Unit: Number of WTO panel findings against Guatemala		Year	Planned	Actual
Source: United States Trade Representative	Baseline	1991	-----	0
<p>Comments: The assumption is that an open trade policy is maintained unless WTO panel rulings are against Guatemala. Negative WTO findings will be reflected in a change from zero to the number of actual findings in any given year.</p>		1992	0	0
		1993	0	0
		1994	0	0
		1995	0	0
		1996	0	0
		1997	0	
	Target	1998	0	

SS

Indicator: Readiness composite for NAFTA accession				
Unit: Composite		Year	Planned	Actual
Source:	Baseline	1992	-----	2.4
Comments:	Baseline	1993	-----	2.8
		1994	-----	3.0
		1995	-----	3.1
		1996	2.95	3.2
		1997	3.00	
		1998	3.10	

INTERMEDIATE RESULT NO. 4.3 Increased capacity to expand non-traditional exports

Indicator: Light manufacturing exports				
Unit: Millions of U.S. dollars		Year	Planned	Actual
Source: Central Bank	Baseline	1991	---	67.6
Comments: Includes processed food, glass, metal and chemical products, and wood and wood manufactures. Growth is projected at 15% annually through 1994, and 10% annually thereafter. n.b. Excludes maquila.		1992	65.4	73.0
		1993	75.3	98.2
		1994	86.5	140.5
		1995	95.1	210.3
		1996	104.6	196.7
		1997	115.1	
		Target	1998	126.6

Indicator: Non-traditional agriculture exports				
Source: Central Bank		Year	Planned	Actual
Comments: Includes vegetables, fruits and preservatives, flowers and ornamental plants, and shrimp and related seafood. Growth is projected at 15% annually through 1994, and 10% thereafter. To measure the impact of the growth of non-traditional agricultural exports on the standard of living of the poor, the Mission is currently conducting case studies covering berries, snow peas and seafood in targeted geographic areas.	Baseline	1991	---	97.2
		1992	102.0	105.0
		1993	117.0	134.5
		1994	135.0	172.5
		1995	148.0	187.8
		1996	163.0	203.1
		1997	179.5	
	Target	1998	197.4	

E. Better Education for Rural Children

SO 5: Better education for rural children	
R E S U L T S	Improved classroom environment
	Improved efficiency in the allocation and use of resources
	Increased equity of education policies and practices

1. Performance Analysis

SO Level:

Guatemala has the lowest human capital accumulation indicators in Latin America. In terms of literacy, Guatemala is at 55%, disputing last place with Haiti. In terms of current rates of school enrollment, Guatemala vies with Haiti and El Salvador for last place. As in many countries in Latin America, these averages obscure regional and/or ethnic disparities, yet in few countries are the disparities as extreme as in Guatemala, where primary school enrollment rates may vary by as much as 40 to 50 points from one region to another (e.g. 100% in the capital or El Progreso versus 50% for the Northwest Region). In addition, whereas in Latin America as a whole gender disparities in access and persistence are minor, in Guatemala gender-based disparities are significant, particularly in primary education.

The BEST Project was designed to improve the quality, efficiency and equity of primary education services in Guatemala by demonstrating successful approaches for rural areas. Three pilot activities - active learning through the "new one-room school" (NEU), girls' education and bilingual education - were designed and implemented in about 1000 of the country's 12,000 primary schools, with the understanding that a least one multi-lateral development bank would finance the scaling up of the interventions. The targets for the SO-level indicators were set in 1990-91 with the assumption that this bank financing would be on-line by 1992-93. Although the bank funding is yet to start flowing, the original targets have never been changed. Hence, as we analyze the final year's performance data, we see that the BEST Project had mixed results in achieving the targets; in other words, the relatively small pilot efforts did not effect national-level education statistics. In fact, it is not surprising that the Project shows uneven trends for enrollment, repetition and drop-out indicators. There is a logic to this, in that efforts to reach remote rural areas, where students are not as pre-disposed to enroll, much less remain in school, initially tends to increase repetition and drop-out rates.

Of the five national level indicators used to measure SO-level performance, one indicator (repetition) shows the opposite direction of the trend desired; two (3rd and 6th grade completion) surpassed the targets; one (girls' enrollment) showed no change; and one, (Mayan enrollment) showed an overall positive trend, but fell short of the 1996 target. It should be noted that one reason for the leveling off of Mayan enrollment in 1996 is USAID/G-CAP's

decision not to support further expansion of the bilingual program, in favor of greater consolidation of the program in the existing schools. In terms of overall Mayan enrollment in schools run by the General Directorate for Bilingual Education (DIGEBI), enrollment has increased by 34% since 1992, compared to 11% during the same period for comparison schools, indicating the Project has had impact on access/coverage.

Despite the mixed performance at the national level, the BEST Project has indeed contributed a number of results to the sector. When compared with control schools, BEST schools show a marked advantage in retaining children in the upper grades (grades 4 through 6). Keeping children in school longer and progressing them through to the higher grades is likely the greatest impact of BEST, indicating that the Project has had an impact on quality. Development impact of girls' education (such as reduced infant and maternal mortality) tend to be associated with at least 4 to 6 years of schooling.

Approximately 40% of all primary schools in Guatemala are unitary (one-room) schools, the majority of them located in indigenous areas. There is substantial evidence that the quality of education in unitary schools is inferior to that of complete schools (grades 1 to 6). The BEST Project developed a "new one-room school" model, called NEU (Nueva Escuela Unitaria) through a pilot intervention carried out in 200 schools. In NEU schools, one teacher manages the equivalent of six grades. The NEU model includes active, self-paced learning, a student-centered curriculum, peer and small group teaching/cooperative learning, flexible promotion and community involvement. NEU has succeeded in improving the coverage and quality of education in unitary schools. Research has shown that NEU students perform better on language arts tests, and that girls in NEU schools in particular perform better than in comparison schools. Data also show that NEU is more cost-effective than the regular unitary school in terms of students reaching sixth grade in 6 years. Participation in small groups is a key factor in higher achievement levels, as is increased parental achievement in schools. One of BEST's sustainable legacies is the fact that the NEU model is already being replicated in an additional 800 rural schools with financing from other donors and the Ministry of Education, in December 1996, announced its plans to disseminate the model to all rural unitary schools in the country with funding from the World Bank, IDB and the European Community.

USAID was the first donor to promote bilingual education in Guatemala. There has been tremendous teacher turn-over for DIGEBI schools, a situation which has proven difficult to overcome in the short-term. It is difficult to attract and maintain teachers in remote rural schools, especially given the lack of incentives for teachers who must work far from urban centers in bilingual multi-grade settings. The BEST Project demonstrated that DIGEBI's bilingual education program was more cost-effective than the comparison group in terms of both male and female children reaching sixth grade in six years. DIGEBI programs will lead to increased educational attainment for the indigenous in the long run, thereby decreasing the earnings differential between indigenous and non-indigenous Guatemalans, and increase the overall productivity of the country. During the past several years, USAID promoted the de-concentration of DIGEBI technical and administrative personnel through the transference of teaching positions from the central to the Departmental level. Nominations for teaching positions are also now made at the local level. It should also be noted that several local NGOS, drawing on DIGEBI trained teachers, have initiated bilingual intercultural education programs, in some cases in coordination with the NEU model.

The girls' education initiative was initiated in the early 1990s with the ultimate objective of promoting girls' school attendance and promotion through the 6th grade. The initiative has brought together the public and private sectors, and successfully raised awareness about the contribution of girls' education to national social and economic development. As the BEST Project ends, the girls' initiative leaves in place an active national Girls' Education Association and a girls' scholarship fund, managed by and partially financed by the private sector. These activities represent the major thrust of USAID support over the past 6 years. In addition, the 36 BEST pilot schools have shown various key impacts: (1) increased enrollment in all grades; (2) an increase (by over 20%) in the number of effective days of instruction; and (3) marked advantage (6.9%) in upper grade completion.

The BEST Project has also laid the foundation for improved, decentralized decision-making in the country by establishing a management information system in each of the 8 regions of the country, and providing complementary training in the use of the system. Various of the regions are now producing their own annual statistics reports (Anuario Estadístico) to support decision-making. The World Bank plans to decentralize this system to the Departmental level beginning in 1998.

Intermediate Results

IR 1: Improved Classroom Environment

USAID activities directed to the classroom level are measured by indicators that track student achievement scores in third grade in both Spanish language arts and mathematics, as well as the percentage of BEST teachers (in NEU, girls' and bilingual schools) who effectively apply project interventions. Regarding achievement scores, BEST has been successful only in improving Spanish language arts scores in NEU schools. The fact that the bilingual and girls' education scores do not show significant changes over time reflects, at least in part, the inappropriate timing of testing - at best, children in third grade bilingual schools have had only one full year of Spanish language arts instruction. BEST bilingual school children and comparison group children have similar test scores, indicating that the provision of bilingual education has no negative impact on the acquisition of Spanish. With respect to girls' education, the program operates in 36 DIGEBI schools and has been directed toward attitudinal change (e.g., parental support for girls' enrollment and retention) rather than achievement. Hence, the validity of tracking the achievement scores as an indicator must be questioned. The BEST Project has not focused directly on mathematics materials development or teaching methodologies, thus this indicator shows no impact over time. Future USAID assistance will include specific efforts to improve this area.

With USAID support, Guatemala has trained thousands of indigenous as bilingual educators. An unintended, but positive impact of the BEST Project and its predecessor PRONEBI has been the development of a pool of Mayan professionals who have now filled the ranks of Mayan organizations, Guatemalan universities and the local offices of international donor agencies. DIGEBI unquestionably has been, and continues to be, the laboratory and proving-ground for the preparation of Mayan educational professionals.

With respect to teachers' application of innovative classroom methodologies, NEU has maintained high levels of teacher effectiveness; however, the data for 1995-96 do show some decline in effectiveness. Teachers assigned to the Bilingual and Girls' Education schools did not show effective application of these modalities. There are two basic reasons for this performance shortfall: (1) the rapid turnover of teachers in the project schools and (2) the lack of adequate training of new teachers. BEST Project schools are located in remote areas; the lack of economic incentives for retaining rural bilingual teachers has proven a severe shortcoming for the project - especially since training for new teachers has not been maintained at the same intensive level throughout the Project's duration. In fact, the drop in NEU teacher performance in the BEST schools may well be linked to the loss of experienced teachers to urban centers and to the new NEU NGO schools that have been created in the past few years. In future designs, sustainable teacher training methodologies such as DIGEBI's "círculos de calidad" and placement/incentives must be strengthened. USAID is considering strengthening bilingual teacher training programs in selected normal schools under the newly approved strategy.

IR 2: Improved Efficiency in the Allocation and Use of Resources

Since education is so closely linked to income growth, and hence poverty, it is clear that education allocation decisions affect both the average level of income and its distribution in subsequent years. Guatemala falls into a pattern typical of poor Latin American countries with a tradition of under-investment and mis-allocation in education. Data on the rates of return to education suggest that Guatemala over-invests public resources at the tertiary level, a trend which will be difficult to reverse given the Constitutional mandate to fund the national university. With respect to overall Government investment in education as a percentage of GDP, Guatemala is the worst in the entire hemisphere, including Haiti. The 1996 Accord on the Socio-Economic and Agrarian Situation committed the Government to increase by 50% the percentage of GDP assigned to education. While it is not surprising that the 1996 percentage was unchanged compared to the 1995 figure (since the Arzu administration inherited the budget from the prior government), it is highly disappointing to report that the planned level for 1997 remains stagnant. During late 1996 and early 1997, USAID/G-CAP asked the BEST Project to develop a set of public awareness materials directed at local policy makers, with the hope of increasing commitment to investment in the sector.

The newly launched PRONADE model holds promise as a more efficient administrative mechanism for supporting community schools in previously unattended areas. The government is experiencing both political and financial barriers in initiating the model; however, if PRONADE can be consolidated over time, it represents tremendous promise for rural education. Through PRONADE, community committees would assume greater responsibility for school management and teacher selection. PRONADE must be strengthened and monitored early on to ensure that quality interventions, such as bilingual education and active learning approaches, are firmly embedded in the teacher training and materials development.

IR 3: Increased Equity of Education Policies and Practices

The targets for the participation indicators (for girls and Mayans) were not met. Over the years, performance on these indicators has varied, and even dropped. Despite the annual ups

and downs, the pattern still exists whereby boys participate more than girls and non-Mayans participate more than Mayans. One plausible explanation for the lack of change on the Mayan student participation indicator is that individual student-teacher verbal interactions may not be a sensitive indicator of classroom participation when Mayan cultural norms dictate cooperative peer group interactions, both inside and outside the classroom. Another key factor is the rapid teacher turnover in the bilingual schools, leaving as many as one-third of all schools without teachers trained in appropriate methodologies. In terms of girls' participation, the BEST Project did not carry out the design of specific materials or methodologies directed to classroom interaction until 1996. The time frame for the assessment of these materials stretches beyond the Project PACD. An unanticipated, but logical, outcome of the NEU program has been the increased participation of girls in the classroom. Since boys also participate more actively, the gender gap remains an issue, however, classroom participation has improved.

2. Expected Progress Through FY 1999 and Management Actions

In August 1996, the Ministry of Education expressed its concern that the BEST Project was scheduled to end prior to the initiation of the joint World Bank/International Development Bank (WB/IDB) education sector loan in the fourth quarter of 1997. USAID agreed to extend BEST for one year in order to bridge with the banks' new program. The BEST Bridge Project focuses on setting the stage for broader implementation of the pilot interventions, primarily through further consolidation of programs at the classroom level and the preparation of plans for taking the interventions to scale. According to one World Bank (WB) education specialist, BEST was responsible for leveraging \$40 to \$60 million in WB/IDB loan funds for expansion of access and coverage of primary education in rural areas.

In early 1996, USAID/G-CAP presented a new strategic objective for the reduction of poverty in selected geographic areas of the country. Given the prominence placed by the Peace Accords on bilingual education in rural areas, the Mission will continue to focus on this critical need. The new strategy will build upon the lessons learned from the BEST Project, seeking to blend the best of the three pilot interventions under a single program targeted on improving access to and quality of bilingual intercultural education. During 1997, one of the Parity Commissions called for in the Peace Accords will develop a proposal for educational reforms required to improve equitable access to quality education for the historically disenfranchised Mayan communities. USAID/G-CAP will support the implementation of these reforms by working with DIGEBI and the private sector. The focus of the program will be on teacher training (both pre- and in-service); the continued development of effective materials and methods, especially in the area of constructivist curricula; community involvement; and the development and coordination of effective policies to strengthen bilingual intercultural education. As the design efforts proceed, USAID/G-CAP will finalize the indicators and targets for this new IR under the Poverty SO.

During the DAEC review of the new bilateral strategy held in March 1997, the Mission agreed to provide its Education Sector Policy Agenda in this R4. The Agenda is provided in Annex E.

3. Performance Data Tables

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID STRATEGIC OBJECTIVE NO. 5 Better Educated Children in Rural Areas				
Indicator: Repetition rates in first through third grades				
Unit: Percentage		Year	Planned	Actual
Source: Ministry of Education	Baseline	1991	---	20.5
Comments: BEST project interventions focus on enrollment, retention and completion rates. The pilot interventions are small in scope and therefore, their impact at the national level is limited. Moreover, it was expected that other projects (World Bank/IDB) would complement BEST interventions to decrease repetition rates at the national level. This indicator, as that of completion rates, ideally should not be measured annually given that real change can only be measured over a longer time frame. (NB: There was no 1996 target, but we are reporting because this was the last year of BEST).		1992	20.2	21.8
		1993	19.8	22.4
		1994	19.6	21.6
	Target	1995	19.3	22.0
		1996		21.4
Indicator: Completion rates in third grade				
Unit: Percentage		Year	Planned	Actual
Source: Ministry of Education	Baseline	1991	---	47.4
Comments: This indicator has increased significantly during the life of the project and has shown impact at the national level. During the last three years, however, this indicator has shown some leveling. It should be noted that completion of third grade increases the likelihood that children will be retained through the sixth grade. (NB: There was no 1996 target, but we are reporting because this was the last year of BEST).		1992	48.7	50.1
		1993	50.0	51.6
		1994	51.3	55.4
	Target	1995	52.7	57.0
		1996		55.4

Indicator: Completion rate in sixth grade				
Unit: Percentage		Year	Planned	Actual
Source: Ministry of Education	Baseline	1991		27.8
Comments: This indicator has increased significantly during the life of the project, displaying impact at the national level. Percentages have tended to level over the past three years, however. Indicators measuring the retention of children in the upper grades of primary represent the most significant impact of BEST interventions. (NB: There was no 1996 target, but we are reporting because this was the last year of BEST).		1992	28.5	28.0
		1993	29.3	30.3
		1994	29.9	33.3
	Target	1995	30.7	35.0
		1996		34.1
Indicator: Girls enrollment in third grade				
Unit: Percentage		Year	Planned	Actual
Source: Ministry of Education	Baseline	1991		45.1
Comments: This indicator, the percentage of girls enrolled in third grade, is designed to measure reductions in the gender gap between boys' and girls' school attendance. The girls' education project is implemented in only 36 pilot schools, and thus it has had no national impact as yet. However, in the pilot schools, increase in girls' enrollment in grades 3-6 has been significant, from 36.1% in 1993 to 43% in 1996.		1992		44.8
		1993	46.1	44.8
		1994	46.6	45.0
		1995	47.1	45.0
	Target	1996	47.0	45.4

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Indicator: Mayan students (5-12 years old) enrolled in bilingual pre-primary and primary programs				
Unit: Number		Year	Planned	Actual
Source: Ministry of Education	Baseline	1992		159,259
Comments: This indicator measures the number of students enrolled in the USAID-supported national bilingual education program (DIGEBI). The percentage of student enrollment in DIGEBI schools, as compared to total student enrollment (Mayan and non-Mayan) in the public school system, has increased significantly, by 34 %, since the 1992 baseline. Compared to an 11% overall endowment, increase for the same period.		1995	208,249	215,000
	Target	1996	224,579	218,000

INTERMEDIATE RESULT No. 5.1: Improved classroom environment						
Indicator: Average student achievement scores in third grade (Bilingual Education)						
			Lang.		Math.	
Unit: Percentage		Year	Pl.	Act.	Pl.	Act.
Source: Ministry of Education	Baseline	1994		48		45
Comments: Achievement scores of third grade students in bilingual schools are not significantly different from those of students in the comparison Spanish-only schools. This indicates that although DIGEBI schools have more students enrolled in third grade, quality has not decreased nor has mother tongue instruction impeded the children's acquisition of Spanish literacy skills and mathematics.		1995	50	46	47	47
	Target	1996	52	48	49	46

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Indicator: Average student achievement scores in third grade (Girls' Education)						
			Lang.		Mat	
Unit: Percentage		Year	Pl.	Act.	Pl.	Act.
Source: Ministry of Education	Baseline	1994		50		44
Comments: The Girls' education program has largely focused on changing attitudes toward girls' education and not on increasing girls' achievement in the classroom. Because this intervention is implemented in bilingual schools, the indicator measures girls' achievement in their second language (Spanish).		1995	51	49	46	48
	Target	1996	52	50	48	46
Indicator: Average student achievement scores in third grade (Nueva Escuela Unitaria)						
			Lang.		Mat	
Unit: Percentage		Year	Pl.	Act.	Pl.	Act.
Source: Ministry of Education	Baseline	1994		55		41
Comments: The indicator for language achievement in NEU was met due to the significant emphasis placed in NEU on language arts and communication skills. To date mathematics instruction has not been a directed focus of attention.		1995	57	62	43	50
	Target	1996	59	59	45	44

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Indicator: Percentage of Teachers effectively applying <i>Nueva Escuela Unitaria</i> (NEU), Bilingual Education, and Girls' Education methodologies in target schools								
			NEU		Bilingual		Girls' Ed	
Unit: Percentage		Year	Plan	Act	Plan	Act	Plan	Act
Source: Ministry of Education	Base	1994		69		45		36
Comments: The BEST project is developing and implementing qualitative measures for assessing the comparative effectiveness of pilot school teachers in applying the project methodologies. The appointment of new teachers as well as teacher attrition especially in bilingual education has made it difficult to increase the percentage change of this indicator.		1995	72.4	82	56.7	41	49.0	56
	Target	1996	75.7	81	68.3	41	62.0	56
INTERMEDIATE RESULT NO. 5.2 Improved efficiency in the allocation and use of resources								
Indicator: Percentage of GDP assigned education in targeted areas								
Unit: Percentage		Year	Planned		Actual			
Source: Ministry of Education	Baseline	1995	1.7%		1.7			
Comments: The new administration of the of the MOE has committed to increase the percentage of the GDP devoted to education to 2.6% by 2000.	Target	1996	2.2%		1.9			

Indicator: Percentage of teachers appropriately assigned				
Unit: Percentage		Year	Planned	Actual
Source: Ministry of Education	Baseline	1993	---	81.6
Comments: Appropriate assignment includes: (1) assignment to the teacher's native language linguistic area; (2) assignment to the teacher's county of origin; and (3) assignment of a maximum of 40 students per teacher. The BEST Management Information System activity began collecting these data during 1993. Until recently, only the Minister of Education was legally authorized to appoint teachers. Since 1996 communities have become involved in local appointment of teachers through Education Committees (Coeducas).		1994	82.5	82.0
		1995	83.3	71.3
	Target	1996	84.2	80.0

INTERMEDIATE RESULT NO. 5.3 Increased equity of educational policies and practices				
Indicator: Active participation of girls in target areas				
Unit: Percentage/Number		Year	Planned	Actual
Source: Ministry of Education	Baseline	1994	---	68%
Comments: This indicator measures increases in student-teacher classroom interaction measured through the application of student-teacher interaction protocols. According to research findings, the difference in the results for years 1994 and 1996 is not significantly different.		1995	75%	64%
	Target	1996	81%	59%
Indicator: Active participation of Mayan students in target areas				
Unit: Percentage/Number		Year	Planned	Actual
Source: Ministry of Education	Baseline	1994	---	88%
Comments: This indicator measures increases in classroom interaction by Mayan students in project target areas. Lack of clear progress on this indicator is explained at least in part, by attrition of trained teachers.		1995	93%	90%
	Target	1996	97%	79%

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F. Support the Implementation of the Peace Accords

SpO: Support the Implementation of the Peace Accords	
R E S U L T S	Strengthened and more representative community organizations in Ixcán and Barillas
	Income generation models developed in Ixcán and Barillas
	Increased resources for social and physical infrastructure in under-served areas
	National entities strengthened to improve protection of human rights

1. Performance Analysis

SpO - level

In expectation of the signing of the Final Peace Accords, and based on the Mission's experience with grant funds previously provided under this Special Objective, the Mission moved forward in late 1996 with the development of a full program of support to the timely implementation of the principal commitments of the Accords. Our SpO is now designed to support the four emphasis areas of the GOG peace plan: demobilization, incorporation and reconciliation, human capacity development, productive investments and modernization of the State. In the Consultative Group held in January 1997, the USG pledged a total of \$260 million in assistance over the next four years for this peace program.

USG support to the peace process gained high visibility as a result of our joint efforts with the United Nations, OAS, and European Union in assisting the demobilization of nearly 3,000 ex-combatants. With special emergency support from the Office of Transition Initiatives, eight demobilization camps were readied in early February 1997 and the first phase of demobilization moved quickly forward. This quick response from the USG, combined with our sizeable pledge, assures our role as a key player in the Guatemalan Peace process.

Other activities carried out under the SpO were some of the first to generate near-term economic activity in the ex-conflictive zones, and began the process to secure a commitment to peaceful resolution of conflicts. Through financial support to MINUGUA and the activities of ICITAP, the SpO also contributed to strengthening GOG entities which influence the protection of human rights called for in the specific Accord on Human Rights within the framework of peace. All targets for indicators in these areas were met. In addition, our program provided institutional support to SEPAZ, the GOG structure responsible for the entire Peace Program implementation.

The Mission proposed a qualitative indicator to track performance at the SpO level which would measure the degree to which USAID experience and models were incorporated in GOG and other donors peace activities. In last year's R4, the Mission cited examples of collaboration with the IDB, FAO/IFAD, the Japanese and MINUGUA. USAID influence continued to be felt in the preparations for the Consultative Group held in January 1997 as USAID worked closely with the GOG to shape its proposal around a set of sound development

initiatives. Among the major donors, USAID's on-the-ground experience influenced the design of the IDB's DECOPAZ program for Huehuetenango approved in 1996. USAID's judicial focus center model is drawing the interest of other donors for possible expansion as is also the MotherCare maternal neonatal health model which is being replicated by the European Union.

IR 1: Strengthened and More Representative Community Organizations in Ixcan and Barillas

Indicator: Community organizations formally established: The two municipalities of Ixcan and Barillas are as diverse in productive activities as they are in populations. In the Ixcan, 32 local organizations, two credit unions, 21 agricultural cooperatives, two consumer cooperatives, 16 micro regional committees and 13 farmer business associations have received varying levels of technical assistance from donor and governmental organizations. A USAID-funded PVO selected three technical assistance and credit providers in the Ixcan region for targeted institutional strengthening assistance, including steps toward securing operational and financial viability. Likewise in Barillas, after extensive surveys of the area, a USAID-funded PVO has selected four local organizations and has begun working with them to expand their outreach and range of services to populations most affected by the violence. In addition, an essential component of the program in both areas is to support local governments through their Technical Planning Units.

Indicator: Community based conflict resolution mechanisms available: Based on the fundamental differences in the two municipalities, conflict resolution mechanisms had to be tailored for each locality. In Ixcan, hostility between and within communities requires an approach through which communities work together on the identification, design and implementation of joint projects. Collaboration on a problem, whether it is how to bridge a river or how to assure a potable water supply, brings contentious communities together working for a common goal and diminishing conflict. The Mission's Special Development Fund was specially directed to this process of integrating conflict resolution into community development projects. USAID's main partner in the Ixcan, CHF, also works closely with the Organization of American States' program of conflict resolution. In Barillas, working with MINUGUA, USAID's partner, CECI, has adopted the "Fisher" (Harvard) methodology of conflict resolution and is training community leaders in mediation techniques to create an environment in which tolerance is prevalent.

IR 2: Income Generation Model Developed in Ixcan and Barillas:

Indicator: Technologies for sustainable on and off farm activities defined: Improved technologies for coffee, organic coffee, rubber, hard wood forestry products, heart of palm, innovative construction materials (solar energy) are being tested by USAID-funded PVOs with local organizations. Additionally, new techniques for providing technical assistance, marketing and credit services to client groups in more rural areas to expand microenterprise development are being developed.

One example of a successful new technology introduced is the production of roofing tiles with raw materials yielding a lighter weight product appropriate for production by women. The roofing tiles were not accepted by some people in their communities because they were made by the women. However, based on the quality and price of the product, other community construction projects have begun to purchase the tiles and the program continues to expand.

Indicator: Innovative credit mechanisms tested: Building on the credit model used under the Small Farmer Coffee Improvement project for production credit, USAID's partner PVO in Barillas adopted the model for marketing credit. Revolving lines of credit for marketing had not been offered previously, however, with this innovation, a local organization was able to launch into buying and selling coffee. This mechanism leveraged half again as much from a national exporter who had not previously worked in the Barillas area. Additionally, the establishment of a market in the zone raised the prices received by the small producers by 32%. In the Ixcán, credit systems have been corrupted so dramatically that USAID's partner PVO has had to take a much more conservative route. There, the focus will be on supporting organizations that provide microenterprise training and credit and working with the National Agricultural Development Bank to become more active and effective in the area.

IR 3: Increased Resources for Social and Physical Infrastructure in Under-served Areas:

Indicator: USAID NGO "partners" implementing activities: Both areas of the country, the Ixcán and Barillas, are remote and extraordinarily under-served. USAID partner PVOs have leveraged other international organizations, for example CECI/UNHCR and UN/Habitat working in the area. With the Mission's encouragement, the USPVOs implementing our PL 480 Title II activities have for the most part now focussed their activities in the Zonapaz in order to better target resources on those populations which were most affected by the violence. Further, our Highlands Water and Sanitation Project (PAYSA/520-0399) was amended in 1996 to concentrate the remaining 37 systems in municipalities that are home to returning refugees and/or internally displaced populations, such as Ixcán and Barillas. The full commitment mid-year 1996 of our Special Development Fund activities to Ixcán and Barrillas resulted in 13 new community-supported small infrastructure projects completed in those municipalities. Thirty-five additional small projects have been approved for SDF funding.

Indicator: GOG Counterpart to USAID projects executed: The Mission is tracking GOG owned local currency which support USAID activities in the Zonapaz. The most substantial contributions of GOG funds for activities over this period were for road construction to increase market access to the Ixcán (over \$1 million). The GOG has contributed approximately \$500,000 in support of community based infrastructure and conflict resolution activities both through cash and in-kind contributions of equipment, staff and facilities at the local government level in Ixcán and Barillas.

The Special Development Fund, as noted above, had a catalytic effect on the program in the Ixcán and leveraged \$420,000 in counterpart funds.

IR4: National entities strengthened to improve protection of human rights:

Indicator: Cases brought to conclusion by PM: In the first six months of 1995 funding, MINUGUA had already surpassed its goal of 100 cases by 50%, beyond which exact statistics are not available. Based on this high success rate in the first year of funding, the 1996 target was adjusted upward to 300, a figure which was also surpassed. While the high success of these initiatives would provide an excellent grounds for continuing with the same approach, it was felt that public defense work was even more critical. Consequently, funding in 1997 was programmed toward that end.

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Indicator: Police reform benchmarks met: Since the 1995 baseline, ICITAP has achieved at least six major benchmarks over the period, as follows:

ICITAP has completed a draft of the PN organic law, including provisions for civilian control, merit-based promotions, educational reform, enhanced selection criteria, enhanced internal affairs (OPR), career development, and improved training for new recruits, in-service personnel, and mid-and command level officials.

ICITAP has supported the enactment of a new organic law for the NP with a consolidated civilian police force, and promoted police academy development.

ICITAP has completed the training of new criminal investigators, including the NP (OPR and DIC), Public Ministry, Treasury Police and Department of Corrections. The ICITAP training has consisted of basic, intermediate and advanced level courses. ICITAP has developed task force procedures and objectives within the Public Ministry, the Ministry of Government and the PN, ICITAP has equipped task force elements with the necessary computer support and case management capabilities to efficiency track profile cases.

2. Expected Results through FY 99 and Management Actions

A complete redefinition of the Special Objective and new results framework were approved in the March 1997 review of the Mission's new five-year Bilateral Strategy. The DAEC recommended modifications to two IR statements and a review of the Indicators. In keeping with DAEC suggestions, the Mission confirms that the first IR will be limited to "Ex-combatants demobilized and reintegrated" rather than including the reintegration of displaced populations which is more appropriately addressed by the two IRs pertaining to human capacity development and sustainable production. The third IR will read "Sustainable production fostered in ex-conflictive areas" thus taking a more modest measure of what our activities can achieve over the life of the SpO. Further the DAEC recommended that the Mission review its indicators which would track GOG progress against commitments made to increase revenues and raise spending in the social sectors. The Mission will review the indicators and targets as described in the strategy document after the July 1997 Consultative Group follow-on meeting which will help to gauge the real levels and timing of other donor resources which are important also to achieving the results.

Assuming that the commitment to provide a total of \$100 million of ESF in support of this Special Objective over the next four years is met, the Mission expects that with other donor support and increased GOG contributions, the major commitments made under the Peace Accords will be met within established timeframes. Demobilization and reincorporation of ex-combatants will be completed in all its phases by early 1998 with the support of USAID being critical in the pre-implementation and first phases of the plan. It is expected that progress will be made on land issues through the establishment of the GOG's Land Fund which will be partially capitalized with ESF local currency generations. Under this SpO, funding for sustainable production in ex-conflictive areas should yield increased incomes for both on-farm and off-farm producers. Scholarships for university education for Mayans will help build the human resource base in Guatemala as will increased bilingual education provided to displaced populations by certified bilingual education promoters. Finally, USAID will make a substantial contribution to the modernization of the State especially in the areas of judicial reform,

congressional strengthening, fiscal and customs reform and decentralization -- all critical to the implementation of the Peace Accords.

STRATEGIC OBJECTIVE PERFORMANCE

Guatemala				
USAID SPECIAL OBJECTIVE: Support the Implementation of the Peace Accords				
PERFORMANCE MEASURE: USAID experience and models incorporated into GOG and other donor peace activities.				
INTERMEDIATE RESULT: Uprooted Population Accord (Strengthened and more representative community organizations - Ixcán and Barillas)				
Indicator: Community committees (organizations) formally established				
Unit: cumulative number of committees		Year	Planned	Actual
Source: Grantees reports	Baseline	1995	0	
Comments: The NGOs working in Ixcán and Barrillas (CHF and CECI) have identified and initiated support to 7 local productive and/or service organizations (3 in the Ixcán and 4 in Barillas). These local organizations are providing microenterprise and sustainable agricultural development assistance.		1996	2	7
	Target	1997	4	
Indicator: Community-based conflict resolution mechanisms available				
Unit: Cumulative number of mechanisms		Year	Planned	
Source: Grantees reports	Baseline	1995	0	Actual
Comments: Based on the fundamental differences in the program areas, the grantees have adopted diverse conflict resolution mechanisms.	Target	1996	1	2
	Target	1997	2	

SpO: (i)

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INTERMEDIATE RESULT: Uprooted Population Accord (Income generation models developed - Ixcan and Barrillas)				
Indicator: Technologies for sustainable on -and off- farm activities defined				
Unit: Cumulative number of technologies		Year	Planned	Actual
Source: Grantees report	Baseline	1995	0	
Comments: Improved technologies for coffee, organic coffee, rubber hard wood forestry products and heart of palm are being tested with local organizations. Additionally, new techniques for providing technical and credit services to client groups in more remote areas to expand microenterprise development are being developed.		1996	3	5
	Target	1997	6	
Indicator: Innovative credit mechanisms tested				
Unit: cumulative number of mechanisms		Year	Planned	Actual
Source: Grantees report	Baseline	1995	0	
Comments: In Barillas, introduction of the line of credit for coffee marketing under the program stimulated the availability of cash for diverse commercial transactions in both banking institutions in the area. over and above that available through the program.		1996	1	1
	Target	1997	2	

INTERMEDIATE RESULT: Uprooted Populations Accord (Increased resources for social and physical infrastructure in underserved areas)				
Indicator: USAID "partners" implementing activities				
Unit: cumulative number of organizations		Year	Planned	Actual
Source: internal survey	Baseline	1995	0	
Local governmental and non-governmental organizations have coordinated and collaborated extensively in the implementation of activities under the program in both areas.		1996	6	6
	Target	1997	8	
Indicator: GOG counterpart to USAID projects executed				
Unit: \$ equivalent		Year	Planned	Actual
Source: Internal project counterpart control reports	Baseline	1995	0	0
These funds were not required through agreements but were leveraged to increase the reach of funding for both program areas. The most substantial contributions of GOG funds for activities over this period were for infrastructure in increase market access to the Ixcan (over \$1m), and support for community based infrastructure and conflict resolution activities (over \$500,000) at the local government level.		1996	\$ 1 m	\$1.5 million
	Target	1997	\$1 m	

INTERMEDIATE RESULT: Human Rights and Indigenous Accords (National entities strengthened to improve protection of human rights)				
Indicator: Cases brought to conclusion by Public Ministry				
Unit: Number of cases per year		Year	Planned	Actual
Source: MINUGUA report/Public Ministry statistics	Baseline	1995	100	150 cases in first 6 months
Comments: A target for 1997, or the development of a new indicator, will be determined in relation to new activities in justice sector reform under the revised SpO approved in the new bilateral strategy March 1997.		1996	300	At least 300 cases
	Target	1997	TBD	Public Defense Only
Indicator: Police reform benchmarks met				
Unit: Cumulative number		Year	Planned	Actual
Source: ICITAP reports	Baseline	1995	0	2
Comments: Four major benchmarks will be tracked.		1996	2	4
	Target	1997	4	6

AP

III. Status of Management Contract

The four major changes to the Management Contract suggested by the June 1996 DAEC review of the Mission's R4 were addressed in the Bilateral Strategy document approved in March 1997. Those items were: the design of a separate Special Objective to embody the set of discrete activities related to support the GOG's near-term needs under the Peace Accords and a rethinking of the Poverty Reduction SO; a look at chronic nutrition through the Mission's assistance program; integrating food security elements into the strategy; and a review of impact indicators.

To complete the new Management Contract represented by the recently approved strategy, the March 1997 DAEC requested five actions which are addressed in Part II of this R4 and are summarized here: two IRs under the Peace SpO were revised to better reflect the actual extent of our responsibility for the results; targets under the SpO tied to GOG full achievement of certain commitments under the Peace Accords will be reviewed after the July 1997 CG follow-on meeting; the indicator regarding convictions in criminal cases under our Democracy IR 1.2 was revised; a discussion of the linkages between the regional Trade SO and the bilateral Poverty SO and a revised Poverty SO framework are included as Annex F.

In our new Bilateral Strategy, the Mission also included an annex on environmental compliance with a listing of possible IEES and EAs which will be required for the coming year. No new requirements have been identified.

IV. RESOURCE REQUEST

A. Financial Plan

The Mission anticipates that commitments made by the USG in the Consultative Group on Guatemala will be met during the period covered by this resource request. The USG pledged a total of \$260 million over a four year period to support the implementation of the Final Peace Accords concluded on December 29, 1996. Of that total, the amounts directly managed by the Mission in ESF, DA and non-emergency Title II resources are proposed to be obligated by Strategic/Special Objectives as shown in the table below. Other funds not managed directly by the Mission which round out the total USG support to the Guatemala Peace Program were discussed in the Mission's recently approved five-year strategy.

During the review of the strategy the DAEC recommended that the integration of the Peace Special Objective Activities and associated resources in the Mission's ongoing SOs supporting our sustainable development program be reviewed in next year's R4. For this presentation all ESF funding for Peace is shown under the SpO through FY 1999 even though there are substantial activities in FY 1998 and FY 1999 that contribute equally to our Democracy and Poverty Reduction SOs.

Bilateral Guatemala Program
(\$000s)

Strategic Objective/Special Objective		FY 1997	FY 1998	FY1999
SpO: Support the Implementation of the Peace Accords	ESF	25,000	25,000	25,000
	DA	440	300	300
SO 1: More Inclusive and Representative Democracy	ESF	1,600	---	---
	DA	40	2,000	4,000
SO 2: Poverty Reduced in Selected Geographic Areas	ESF	1,400	--	--
	DA	4,740	4,188	2,700
	PL 480 II	11,902	12122	12000
SO 3: Better Health for Rural Women/Children	DA	13,999	12,215	10,685
SO 4: Improved Natural Resource Management and Conservation of Biodiversity	DA	2,500	4,625	4,500
TOTAL		61,981	60,460	61,185

B. Prioritization of Objectives

Based on the technical performance of the Mission's SOs and SpO, the importance of each to our sustainable development program, and their relation to USG foreign policy interests in supporting the Peace process in Guatemala, it would be impossible to eliminate any one of our objectives without a drastic change in our strategy and the Management Contract it represents.

If the program does face resource constraints in FY98 and FY99, we expect that the account most affected will be unrestricted DA which is essential for funding our highest priority (and high performance) Democracy SO. A decrease from the minimum projected unrestricted funds showed in the Financial Plan would force the Mission to look first to its Environmental SO to redistribute scarce unrestricted funds to the higher priority Democracy and Poverty SOs despite the excellent performance of the Environmental SO and its linkages to the Peace Program.

A reduction in PL 480 Title II resources would affect our second priority Poverty SO only and though it could seriously impair the full achievement of IR2, it would not present the Mission with new strategic choices.

Without the full complement of ESF funds pledged to support the implementation of the Peace Accords (\$100 million over 4 years), the Mission would not have DA resources available to substitute for any shortfalls. Our strategy to support this important USG foreign policy goal would have to be revamped based on resource levels available apart from our regular sustainable development program.

C. Summary Global Field Support and Non-Emergency Title II

The major part of the Mission's field support needs have been identified for the use of Global projects in the population and child survival areas. The Mission has been offered a WID fellow for approximately a six month period from August 1997 to January 1998 to be funded by Global Bureau with some assistance from the Mission to cover in-country travel costs with program funds. Details of the field support needs through FY 1999 are found in Annex A.

The Mission's new five-year strategy approved in March 1997 includes a Poverty Reduction SO which integrates our requested non-emergency Title II resources into a results framework aimed at broadbased economic growth and a reduction of poverty in selected geographic areas. By fully integrating food assistance into this SO, the Mission is better able to address food availability, access, and utilization through a more diverse program supported both by DA and Title II resources. Poverty reduction requires a population base that is healthy and food secure in order to lead productive lives. Without the Title II resources, the integrated approach to poverty reduction would fail since our IR2, "Improved Nutrition of Food and Program Participants" would be eliminated.

D. Workforce and Operating Expenses

The Mission's overall staffing, both program and OE funded, dropped from a total of 347 employees in FY 90 to 152 currently. OE funded personnel dropped from 288 to 116 in the same period. Despite this dramatic reduction, fifty per cent of the Mission's OE costs are still in FSN salaries. Although we have experienced a significant workload increase due to the build up of program activities related to Peace, no increase in OE funded FSN staffing is planned.

Mission support offices will bear the burden of the increased pressure brought on as a result of a greatly expanded assistance program to respond to the Peace Process. These offices handling program development, contracting, and financial management are totally OE funded and given the severe limits of the Operating Expense Budget, are not able to increase the human resources needed to complete their growing responsibilities. The Strategic Objective Teams, however, were able to slightly increase program and funded staff by four in FY97 and an additional four in FY98 to increased work in design and implementation in several SOTs. This increase is still below the minimum requirements needed for dealing with a doubling of our assistance program and thus, we are seeking an additional three program funded staff for FY98. This would bring the total program funded staff to 43 in FY98 and FY99.

The Mission is budgeting FY 98 training and operational travel at an amount only slightly above the FY 97 level despite the increase in USDH staffing (three officers including an IDI). The Mission plans to continue to limit travel to the minimum possible, making each trip, particularly those related to the regional program, as cost effective as possible. For future

training, the Mission plans an increase in correspondence courses where costs are quite economical, thus putting the training travel budget at a very low \$11,000.

FY 98 NXP is budgeted at \$86,000 and FY 99 NXP is budgeted at \$88,600. This NXP represents only the minimal requirements that are necessary in a prudent property replacement program for vehicles, appliances and automation equipment necessary to support NMS.

The Mission recently completed a thorough review of each budget line item with one major result being justifiable increases in charges to institutional contractors and RHUDO. These charges in turn create credits to Mission Operating Expense Accounts.

USAID/G-CAP manages bilateral, as well as, regional Strategic Objectives. Therefore, the appropriate classification for staffing levels provided in the Agency guidance set forth in the Overseas Workforce Restructuring Analysis is "Full Mission Program with support to Limited". When comparing the R4 workforce tables with the guidance for Management, Support and Technical Offices, most offices and teams fit within the prescribed limits. There are only three offices that exceed the limits stated above (but are within the levels given by LAC in Secstate 68921 dated April 14, 1997). These overages are minimal, considering the large and sudden increase in the program due to the signing of the Peace Accords in December 1996.

Requested Increases.

FY 1998: USAID plans an 11% increase, (\$448,900), in operating expense costs in FY 98, net of FAAS and ICASS. This is due principally to three reasons:

1. An increase of two USDH staff costing \$100,000 who will arrive at post during FY 98. The full year effect of the arrival in summer, FY 97, of an IDI costing \$35,000 in FY 98.
2. FSN salary increase and normal PSIs. In FY 97 the FSNs were granted half of the suggested salary increase and based on that trend, we expect an increase of approximately 7.5%, (\$145,000), in FY 98. Normal FSN PSIs will cost \$87,000.
3. Normal inflation estimated at 3%, (\$46,000).

If the Mission does not obtain the increase requested, implementation of critical program elements especially those related to USG support to the implementation of the Final Peace Accords would be severely hampered and the Mission would be unable to fund the two new USDH positions required for the full implementation of our Management Contract represented by the recently approved five-year strategy.

FY 1999: For FY 99 the Mission has budgeted an increase of 6%, \$281,000, over FY 98. The increase is due to general inflation and normal salary increases. No structural change in the mission's management is planned.

ICASS The USAID EXO and Controller staff worked long hours with the ICASS working groups, the ICASS Council and has also identified all ICASS Program Funded Costs to reduce

overall costs and reduce OE funded costs. It is understood that any additional funding for ICASS will have to be provided from AID/W on a one to one ratio to cover the OE ICASS costs that are being added in FY98 & 99.

Trust Fund.

As presented in the Trust Fund table, the Operating Expense Trust Fund will terminate in the year 2000. This is based on maximum use (virtually all Quetzal payments would be paid from the Trust Fund) of principal and interest earnings as well as the tentatively planned \$500,000 deposit to be generated from a FY 98 Peace Process Cash Transfer.

Opening up the deposit of the Trust Funds to two banks has created competition and allowed the Trust Fund to earn satisfactory interest from the funds on deposit.

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GLOBAL FIELD SUPPORT

Objective Name	Field Support: Activity Title & Number	Priority *	Duration	Estimated Funding (\$000)					
				FY 1997		FY 1998		FY 1999	
				Obligated by:		Obligated by:		Obligated by:	
				Operating Unit	Global Bureau	Operating Unit	Global Bureau	Operating Unit	Global Bureau
S.O.1: More Inclusive Democracy	598-0813 LAC Democratic Initiatives Proj. Civil Society	Medium	1 Year (1997-98)	225	----	----	----	----	----
S.O.2 Poverty Reduced	World WID Fellowship	Medium	6 months (1997)	----	**	----	----	----	----
S.O.3: Better Health for Rural Women/Children	936-3038 Family Planning Logistical Management	High	5 years (1997-01)	----	100	----	100	----	100
S.O.3: Better Health for Rural Women/Children	936-3030 INOPAL	Medium-High	5 years (1997-01)	----	100	----	100	----	100
S.O.3: Better Health for Rural Women/Children	936-3055 Family Planning Mgmt. Development	Medium	3 years (1997-99)	----	125	----	200	----	200
S.O.3: Better Health for Rural Women/Children	936-3057 Central Contraceptive Procurement	high	3 years (1999-01)	----	----	----	----	----	700
S.O.3: Better Health for Rural Women/Children	936-3068 Assoc. Voluntary Surgical Contraception	High	2 years (1997-98)	----	300	----	300	----	----
S.O.3: Better Health for Rural Women/Children	936-3069 JH PIEGO	Medium	2 years (1997-98)	----	200	----	300	----	----
S.O.3: Better Health for Rural Women/Children	936-3078 Policy Analysis Planning Action	High	5 years (1997-01)	----	250	----	400	----	400
S.O.3: Better Health for Rural Women/Children	936-5966 Mother Care	High	5 years (1997-01)	----	200	----	300	----	300
S.O.3: Better Health for Rural Women/Children	936-5994 Environmental Health	Low-Medium	1 year (1997)	----	35	----	----	----	----
S.O.3: Better Health for Rural Women/Children	936-6006 BASICS	High	2 years (1997-98)	----	194	----	200	----	----
S.O.4: Sustainable Nat. Res Mgmt.	936-5556 Forest Resource Management II	Medium-High	1 mon/yr (1997-99)	5	----	5	----	5	----
GRAND TOTAL.....				230	1,504	5	1,900	5	1,800

*For Priorities use high, medium-high, medium, medium-low, low

** Global Funds. No Mission Funds

USAID FY 1997 Budget Request by Program/Country
(\$000)

09-May-97
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Country/Program: USAID/Guatemala

S.O. #	Title	Approp Acct	Bilateral/Field Spt	Est. SO Pipeline at end of FY 96	FY 1997 Request								Est Expend. FY 97	Est Total cost life of SO	Mortgage at end of 1997		
					FY 1997 Total Request	Basic Education for Chldrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ				D/G	
SO 1: More Inclusive and Representative Democracy																	
DA	Bilateral			3,144	400	0	0	0	0	0	0	0	400	1,845	18,777	3,997	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			3,144	400	0	0	0	0	0	0	0	400	1,845	18,777	3,997	
ESF	Bilateral			7,176	1,375	0	0	0	0	0	0	0	1,375	5,489	24,178	4,419	
	Field Spt			225	225	0	0	0	0	0	0	0	225	450	450	0	
	Total			7,401	1,600	0	0	0	0	0	0	0	1,600	5,939	24,628	4,419	
SO 2: Poverty Reduced in Selected Geographic Areas																	
DA	Bilateral			0	4,740	2,790	1,950	0	0	0	0	0	0	2,850	25,000	20,260	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			0	4,740	2,790	1,950	0	0	0	0	0	0	2,850	25,000	20,260	
ESF	Bilateral			0	1,400	0	1,400	0	0	0	0	0	0	1,000	12,000	600	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			0	1,400	0	1,400	0	0	0	0	0	1,000	12,000	600		
PL 480	Bilateral			0	11,902	0	11,902	0	0	0	0	0	0	11,902	40,000	28,098	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			0	11,902	0	11,902	0	0	0	0	0	11,902	40,000	28,098		
SO 3: Better Health for Rural Women and Children																	
	Bilateral			7,326	12,395	0	0	7,125	5,270	0	0	0	0	12,335	80,370	38,396	
	Field Spt			1,047	1,604	0	0	1,075	529	0	0	0	0	2,148	5,285	670	
	Total			8,373	13,999	0	0	8,200	5,799	0	0	0	0	14,483	85,655	39,066	
SO 4: Improved Natural Resource Management and Conservation of Biodiversity																	
	Bilateral			4,143	2,500	0	0	0	0	0	0	2,500	0	3,750	27,000	9,083	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			4,143	2,500	0	0	0	0	0	0	2,500	0	3,750	27,000	9,083	
SPO 1 Support the Implementation of the Peace Accords																	
DA	Bilateral			1,949	440	210	0	230	0	0	0	0	0	1,640	5,900	73	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			1,949	440	210	0	230	0	0	0	0	0	1,640	5,900	73	
ESF	Bilateral			5,153	25,000	0	19,700	0	0	0	0	0	5,300	0	113,100	81,151	
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0	
	Total			5,153	25,000	0	19,700	0	0	0	0	0	5,300	0	113,100	81,151	
Total Bilateral					60,152	3,000	34,952	7,355	5,270	0	0	2,500	7,075				
Total Field Support					1,829	0	0	1,075	529	0	0	0	225				
TOTAL PROGRAM					30,163	61,981	3,000	34,952	8,430	5,799	0	0	2,500	7,300	43,409	352,060	186,747

FY 97 Budget Request by Appropriation - (\$000's)

Development Assistance	22,079
Development Fund for Africa	0
Economic Support Funds	28,000
SEED	0
FSA	0
PL 480 Title II	11,902
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

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USAID FY 1998 Budget Request by Program/Country
(\$000)

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Country/Program: USAID/Guatemala

S.O. #	Title	Approp Acct	Bilateral/ Field Spt	Est. SO Pipeline at end of FY 97	FY 1998 Request								Est Expend. FY 98	Est Total cost life of SO	Mortgage at end of 1998			
					FY 1998 Total Request	Basic Education for Chldrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ				D/G		
SO 1: More Inclusive and Representative Democracy																		
DA	Bilateral			1,134	2,000	0	0	0	0	0	0	0	2,000	2,354	18,777	9,704		
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			1,134	2,000	0	0	0	0	0	0	0	2,000	2,354	18,777	9,704		
ESF	Bilateral			3,365	0	0	0	0	0	0	0	0	1,700	24,178	4,822			
	Field Spt			0	0	0	0	0	0	0	0	0	0	450				
	Total			3,365	0	0	0	0	0	0	0	0	1,700	24,628	4,822			
SO 2: Poverty Reduced in Selected Geographic Areas																		
DA	Bilateral			1,890	4,188	1,700	2,488	0	0	0	0	0	0	3,700	25,000	16,072		
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			1,890	4,188	1,700	2,488	0	0	0	0	0	0	3,700	25,000	16,072		
ESF	Bilateral			400	0	0	0	0	0	0	0	0	400	12,000	600			
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			400	0	0	0	0	0	0	0	0	400	12,000	600			
PL 480	Bilateral			0	12,122	0	12,122	0	0	0	0	0	12,122	40,000	0			
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			0	12,122	0	12,122	0	0	0	0	0	12,122	40,000	0			
SO 3: Better Health for Rural Women and Children																		
DA	Bilateral			7,386	10,515	0	0	5,600	4,285	130	500	0	0	11,900	80,370	41,981		
	Field Spt			503	1,700	0	0	1,300	400	0	0	0	0	1,509	5,285	70		
	Total			7,889	12,215	0	0	6,900	4,685	130	500	0	0	13,409	85,655	42,051		
SO 4: Improved Natural Resource Management and Conservation of Biodiversity																		
DA	Bilateral			2,890	4,635	0	0	0	0	0	0	4,635	0	4,200	27,000	4,448		
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			2,890	4,635	0	0	0	0	0	0	4,635	0	4,200	27,000	4,448		
SP0 1 Support the Implementation of the Peace Accords																		
DA	Bilateral			15,653	25,000	0	20,000	0	0	0	0	0	5,000	25,902	5,900	56,151		
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			15,653	25,000	0	20,000	0	0	0	0	0	5,000	25,902	5,900	56,151		
ESF	Bilateral			1,075	300	300	0	0	0	0	0	0	1,305	113,100	73			
	Field Spt			0	0	0	0	0	0	0	0	0	0	0	0	0		
	Total			1,075	300	300	0	0	0	0	0	0	1,305	113,100	73			
Total Bilateral					58,760	2,000	34,610	5,600	4,285	130	500	4,635	7,000					
Total Field Support					1,700	0	0	1,300	400	0	0	0	0					
TOTAL PROGRAM					34,296	60,460	2,000	34,610	6,900	4,685	130	500	4,635	7,000	65,092	346,209	138,803	

FY 98 Budget Request by Appropriation - (\$000's)

Development Assistance	23,338
Development Fund for Africa	0
Economic Support Funds	25,000
SEED	0
FSA	0
PL 480 Title II	12,122
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

**USAID FY 1999 Budget Request by Program/Country
(\$000)**

09-May-97
12:50 PM

Country/Program: USAID/Guatemala

S.O. #	Title	Est. SO Pipeline at end of FY 98	FY 1999 Request									Est Expend. FY 99	Est Total cost life of SO	Mortgage at end of 1999	
			FY 1999 Total Request	Basic Education for Childrn	Other Economic Growth	Population	Child Survival	HIV/AIDS	Other Health	Environ	D/G				
SO 1: More Inclusive and Representative Democracy															
DA	Bilateral	755	4,000	0	0	0	0	0	0	0	0	4,000	3,530	18,777	4,412
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	755	4,000	0	0	0	0	0	0	0	0	4,000	3,530	18,777	4,412
ESF	Bilateral	676	0	0	0	0	0	0	0	0	0	676	676	24,178	8,304
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	450	0
	Total	676	0	0	0	0	0	0	0	0	0	676	676	24,628	8,304
SO 2: Poverty Reduced in Selected Geographic Areas															
DA	Bilateral	4,200	4,700	2,000	2,700	0	0	0	0	0	0	4,200	4,200	25,000	11,372
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	4,200	4,700	2,000	2,700	0	0	0	0	0	0	4,200	4,200	25,000	11,372
ESF	Bilateral	0	0	0	0	0	0	0	0	0	0	1,800	1,800	12,000	600
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	0	0	0	0	0	0	0	0	0	1,800	1,800	12,000	600
PL 480	Bilateral	0	12,000	0	12,000	0	0	0	0	0	0	12,000	12,000	40,000	5,976
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	12,000	0	12,000	0	0	0	0	0	0	12,000	12,000	40,000	5,976
SO 3: Better Health for Rural Women and Children															
DA	Bilateral	0	8,785	0	0	4,900	3,885	0	0	0	0	7,201	7,201	80,370	17,296
	Field Spt	0	1,900	0	0	1,600	300	0	0	0	0	0	0	5,285	0
	Total	0	10,685	0	0	6,500	4,185	0	0	0	0	7,201	7,201	85,655	17,296
SO 4: Improved Natural Resource Management and Conservation of Biodiversity															
DA	Bilateral	3,325	4,500	0	0	0	0	0	0	4,500	0	4,000	4,000	27,000	0
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	3,325	4,500	0	0	0	0	0	0	4,500	0	4,000	4,000	27,000	0
SPO 1 Support the Implementation of the Peace Accords															
ESF	Bilateral	0	25,000	0	21,000	0	0	0	0	0	4,000	20,000	20,000	113,100	25,000
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	25,000	0	21,000	0	0	0	0	0	4,000	20,000	20,000	113,100	25,000
DA	Bilateral	0	300	300	0	0	0	0	0	0	0	285	285	5,900	25,000
	Field Spt	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	Total	0	300	300	0	0	0	0	0	0	0	285	285	5,900	25,000
Total Bilateral			59,285	2,300	35,700	4,900	3,885	0	0	4,500	8,000				
Total Field Support			1,900	0	0	1,600	300	0	0	0	0				
TOTAL PROGRAM			8,956	61,185	2,300	35,700	6,500	4,185	0	0	4,500	8,000	53,692	352,060	97,960

FY 99 Budget Request by Appropriation - (\$000's)

Development Assistance	24,185
Development Fund for Africa	0
Economic Support Funds	25,000
SEED	0
FSA	0
PL 480 Title II	12,000
PL 480 Title III	0
Micro & Small Ent. Dev. Credit Program	0
Housing Investment Guarantee Program	0
Enhanced Credit Program	0
Disaster Assistance	0

Totals by Staffing Category - FY 1997 Ceiling

Staff										Support Offices							Subtotal Support Staff	Grand Total Staff
	Strategic Objective 1: Bilateral DEMOCRACY	Strategic Objective 2: Bilateral POVERTY	Strategic Objective 3: Bilateral HEALTH	Strategic Objective 4: Bilateral NAT. RESOURCES	Special Objective 1: PEACE	Strategic Objective 1: Regional GLOBAL MARKETS	Strategic Objective 2: Regional ENVIRONMENT	Strategic Objective 3: Regional HIV	Subtotal S.O. Staff	Mission Mgt.	Con-troller	EXO	Con-tracts	Legal	Program	Other		
USDH	1.00	1.50	0.50	0.00	3.00	1.00	1.50	0.00	8.50	3.00	1.00	1.00	1.00	1.00	1.50	0.00	3.50	17.00
USPSC (OE/TF)**	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
USPSC (Program Funded)	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.00
Total USPSCs	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	7.00
FSN/TCN Direct Hire (OE/TF)	0.00	0.00	0.00	0.50	1.00	0.00	0.50	0.00	2.00	1.00	3.50	2.00	1.50	0.00	0.00	0.00	8.00	10.00
FSN/TCN Non Direct Hire (OE/TF)	5.00	1.50	2.50	1.00	3.00	1.50	1.00	0.00	15.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	88.00
FSN/TCN Non Direct Hire (Program Funded)	1.50	1.50	5.50	4.00	5.00	4.50	5.00	2.00	29.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	29.00
Total FSN/TCN Non Direct Hire	6.50	3.00	8.00	5.00	8.00	6.00	6.00	2.00	44.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	117.00
Total FSN/TCN (OE/TF)	5.00	1.50	2.50	1.50	4.00	1.50	1.50	0.00	17.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	98.00
Total FSN/TCN (Program Funded)	1.50	1.50	5.50	4.00	5.00	4.50	5.00	2.00	29.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	29.00
Total FSN/TCN Staff	6.50	3.00	8.00	5.50	9.00	6.00	6.50	2.00	46.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	127.00
Total Other (RSSA, PASA, IPA) (OE/TF)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Other (RSSA, PASA, IPA) (Program Funded)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total FSN/TCN Staff	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total OE/TF Staff (includes USDH)	6.00	3.00	3.00	1.50	7.00	2.50	3.00	0.00	26.00	5.00	22.50	48.00	5.50	1.00	8.00	0.00	90.00	116.00
Total Program Funded Staff	4.50	2.50	5.50	4.50	6.00	5.50	5.50	2.00	36.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	36.00
Grand Total All Staff	10.50	5.50	8.50	6.00	13.00	8.00	8.50	2.00	62.00	5.00	22.50	48.00	5.50	1.00	8.00	0.00	90.00	152.00

Notes:

* TAACs and Fellows count against G ceilings only and thus are "below the line" for field operating units. Service in the capacity of TAACs should be reported as TAACs regardless of the hiring mechanism. They should not be reported under PSCs, PASAs, RSSAs, etc.

The data in the table reflects positions: NOT on-board strength or FTEs. You can divide the positions of people working on more than one SC, but do not subdivide in units of less than a half (0.5).

Provide separate tables for FY 97, 96, and 99.

** Part-time employee

**Workforce Resources
FY 1998 Position Allocation of Staff Ceilings**

Organization: USAID/G-CAP

Staff	Strategic Objective 1: Bilateral DEMOCRACY	Strategic Objective 2: Bilateral POVERTY	Strategic Objective 3: Bilateral HEALTH	Strategic Objective 4: Bilateral NAT. RESOURCES	Special Objective 1: PEACE	Strategic Objective 1: Regional GLOBAL MARKETS	Strategic Objective 2: Regional ENVIRONMENT	Strategic Objective 3: Regional HIV	Subtotal S.O. Staff	Support Offices							Subtotal Support Staff	Grand Total Staff
										Mission Mgt.	Controller	EXO	Contracts	Legal	Program	Other		
USDH	1.00	1.50	0.50	0.00	3.00	1.00	1.50	0.00	8.50	4.00	1.00	1.00	1.00	1.00	1.50	0.00	9.50	18.00
USPSC (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
USPSC (OE/TF) *** Locally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
USPSC (Program Funded)	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.00
FSN/TCN Direct Hire (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
FSN/TCN Direct Hire (OE/TF) Locally Recruited	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	1.00	3.50	2.00	1.50	0.00	0.00	0.00	8.00	9.00
FSN/TCN Non-Direct Hire (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
FSN/TCN Non-Direct Hire (OE/TF) Locally Recruited	5.00	1.50	2.50	1.00	3.00	1.50	1.00	0.00	15.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	88.00
FSN/TCN Non-Direct Hire (Program Funded)**	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00
Other (RSSA, PASA, IPA) (OE/TF Funded)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Other (RSSA, PASA, IPA) (Program Funded)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total Staff by Objective	10.50	5.50	8.50	9.00	12.00	9.00	8.50	2.00	65.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	156.00
TAACs*	0.00	0.50	0.50	0.00	0.00	0.00	0.00	1.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.00
Fellows*																		

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Totals by Staffing Category - FY 1998 Ceiling

Staff										Support Offices							Grand Total Staff	
	Strategic Objective 1: Bilateral DEMOCRACY	Strategic Objective 2: Bilateral POVERTY	Strategic Objective 3: Bilateral HEALTH	Strategic Objective 4: Bilateral NAT. RESOURCES	Special Objective 1: PEACE	Strategic Objective 1: Regional GLOBAL MARKETS	Strategic Objective 2: Regional ENVIRONMENT	Strategic Objective 3: Regional HIV	Subtotal S.O. Staff	Mission Mgt.	Controller	EXO	Contracts	Legal	Program	Other		Subtotal Support Staff
USDH	1.00	1.50	0.50	0.00	3.00	1.00	1.50	0.00	8.50	4.00	1.00	1.00	1.00	1.00	1.50	0.00	9.50	18.00
USPSC (OE/TF)**	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
USPSC (Program Funded)	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.00
Total USPSCs	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	7.00
FSN/TCN Direct Hire (OE/TF)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	1.00	3.50	2.00	1.50	0.00	0.00	0.00	8.00	9.00
FSN/TCN Non Direct Hire (OE/TF)	5.00	1.50	2.50	1.00	3.00	1.50	1.00	0.00	15.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	88.00
FSN/TCN Non Direct Hire (Program Funded)	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00
Total FSN/TCN Non Direct Hire	6.50	3.00	8.00	8.00	8.00	7.00	6.00	2.00	48.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	121.00
Total FSN/TCN (OE/TF)	5.00	1.50	2.50	1.50	3.00	1.50	1.50	0.00	16.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	97.00
Total FSN/TCN (Program Funded)	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00
Total FSN/TCN Staff	6.50	3.00	8.00	8.50	8.00	7.00	6.50	2.00	49.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	130.00
Total Other (RSSA, PASA, IPA) (OE/TF)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Other (RSSA, PASA, IPA) (Program Funded)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total FSN/TCN Staff	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total OE/TF Staff (includes USDH)	6.00	3.00	3.00	1.50	6.00	2.50	3.00	0.00	25.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	116.00
Total Program Funded Staff	4.50	2.50	5.50	7.50	6.00	6.50	5.50	2.00	40.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	40.00
Grand Total All Staff	10.50	5.50	8.50	9.00	12.00	9.00	8.50	2.00	65.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	156.00

Notes:
 * TAACs and Fellows count against G ceilings only and thus are "below the line" for field operating units. Service in the capacity of TAACs should be reported as TAACs regardless of the hiring mechanism. They should not be reported under PSCs, PASAs, RSSAs, etc.
 The data in the table reflects positions NOT on-board strength or FTEs. You can divide the positions of people working on more than one SO, but do not subdivide in units of less than a half (0.5).
 Provide separate tables for FY 97, 98, and 99.

** Mission is discussing with LAC/EM the possibility of three (3) more FSN/Program funded positions for FY98 & 99.
 *** Part-time employee

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**Workforce Resources
FY 1999 Position Allocation of Staff Target Levels**

Organization: USAID/G-CAP

Staff	Strategic Objective : 1 Bilateral DEMOCRACY	Strategic Objective 2: Bilateral POVERTY	Strategic Objective 3: Bilateral HEALTH	Strategic Objective 4: Bilateral NAT. RESOURCES	Special Objective 1: PEACE	Strategic Objective 1: Regional GLOBAL MARKETS	Strategic Objective 2: Regional ENVIRONMENT	Strategic Objective 3: Regional HIV	Subtotal S.O. Staff	Support Offices							Subtotal Support Staff	Grand Total Staff	
										Mission Mgt.	Con- troller	EXO	Con- tracts	Legal	Program	Other			
USDH	1.00	1.50	0.50	0.00	3.00	1.00	1.50	0.00	8.50	4.00	1.00	1.00	1.00	1.00	1.50	0.00	9.50	18.00	
USPSC (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
USPSC (OE/TF) *** Locally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00	1.00
USPSC (Program Funded)	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.00	6.00
FSN/TCN Direct Hire (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
FSN/TCN Direct Hire (OE/TF) Locally Recruited	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	1.00	3.50	2.00	1.50	0.00	0.00	0.00	5.00	9.00	9.00
FSN/TCN Non-Direct Hire (OE/TF) Internationally Recruited	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
FSN/TCN Non-Direct Hire (OE/TF) Locally Recruited	5.00	1.50	2.50	1.00	3.00	1.50	1.00	0.00	15.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	88.00	88.00
FSN/TCN Non-Direct Hire (Program Funded)**	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00	33.00
Other (RSSA, PASA, IPA) (OE/TF Funded)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Other (RSSA, PASA, IPA) (Program Funded)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
Total Staff by Objective	10.50	5.50	8.50	9.00	12.00	9.00	8.50	2.00	65.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	156.00	156.00
TAACs*	0.00	0.50	0.50	0.00	0.00	0.00	0.00	1.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2.00	2.00
Fellows*	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

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CP

Totals by Staffing Category - FY 1999 Target

Staff										Support Offices							Subtotal Support Staff	Grand Total Staff
	Strategic Objective 1: Bilateral DEMOCRACY	Strategic Objective 2: Bilateral POVERTY	Strategic Objective 3: Bilateral HEALTH	Strategic Objective 4: Bilateral NAT. RESOURCES	Special Objective 1: PEACE	Strategic Objective 1: Regional GLOBAL MARKETS	Strategic Objective 2: Regional ENVIRONMENT	Strategic Objective 3: Regional HIV	Subtotal S.O. Staff	Mission Mgt.	Con-troller	EXO	Con-tracts	Legal	Program	Other		
USDH	1.00	1.50	0.50	0.00	3.00	1.00	1.50	0.00	6.50	4.00	1.00	1.00	1.00	1.00	1.50	0.00	9.50	16.00
USPSC (OE/TF)**	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	1.00
USPSC (Program Funded)	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	6.00
Total USPSCs	3.00	1.00	0.00	0.00	1.00	1.00	0.00	0.00	6.00	0.00	1.00	0.00	0.00	0.00	0.00	0.00	1.00	7.00
FSN/TCN Direct Hire (OE/TF)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	1.00	3.50	2.00	1.50	0.00	0.00	0.00	8.00	9.00
FSN/TCN Non Direct Hire (OE/TF)	5.00	1.50	2.50	1.00	3.00	1.50	1.00	0.00	15.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	88.00
FSN/TCN Non Direct Hire (Program Funded)	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00
Total FSN/TCN Non Direct Hire	6.50	3.00	8.00	8.00	8.00	7.00	6.00	2.00	48.50	1.00	17.00	45.00	3.00	0.00	6.50	0.00	72.50	121.00
Total FSN/TCN (OE/TF)	5.00	1.50	2.50	1.50	3.00	1.50	1.50	0.00	16.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	97.00
Total FSN/TCN (Program Funded)	1.50	1.50	5.50	7.00	5.00	5.50	5.00	2.00	33.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	33.00
Total FSN/TCN Staff	6.50	3.00	8.00	8.50	8.00	7.00	6.50	2.00	49.50	2.00	20.50	47.00	4.50	0.00	6.50	0.00	80.50	130.00
Total Other (RSSA, PASA, IPA) (OE/TF)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Other (RSSA, PASA, IPA) (Program Funded)	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total FSN/TCN Staff	0.00	0.00	0.00	0.50	0.00	0.00	0.50	0.00	1.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.00
Total OE/TF Staff (includes USDH)	6.00	3.00	3.00	1.50	6.00	2.50	3.00	0.00	25.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	116.00
Total Program Funded Staff	4.50	2.50	5.50	7.50	6.00	6.50	5.50	2.00	40.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	40.00
Grand Total All Staff	10.50	5.50	8.50	9.00	12.00	9.00	8.50	2.00	65.00	6.00	22.50	48.00	5.50	1.00	8.00	0.00	91.00	156.00

Notes:
 * TAACs and Fellows count against G ceilings only and thus are "below the line" for field operating units. Service in the capacity of TAACs should be reported as TAACs regardless of the hiring mechanism. They should not be reported under PSCs, PASAs, RSSAs, etc.

The data in the table reflects positions NOT on-board strength or FTEs. You can divide the positions of people working on more than one SO, but do not subdivide in units of less than a half (0.5).

Provide separate tables for FY 97, 98, and 99.

** Mission is discussing with LAC/EM the possibility of three (3) more FSN/Program funded positions for FY98 & 99.

*** Part-time employee

03

OVERSEAS MISSION BUDGET REQUEST

OE-25520.wk4

Org. Title:
 Org. No: USAID/GUATEMALA-CAP
 OC: 25520

	FY 97			FY 98			Requested FY 99			Targeted FY 99		
	Dollars	TF	Total									
11.1 Personnel compensation, full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.1 Base Pay & pymt. for annual leave balances - FNDH	0.0	189.7	189.7	0.0	198.3	198.3	0.0	219.5	219.5	0.0	219.5	219.5
Subtotal OC 11.1	0.0	189.7	189.7	0.0	198.3	198.3	0.0	219.5	219.5	0.0	219.5	219.5
11.3 Personnel comp. - other than full-time permanent	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.3 Base Pay & pymt. for annual leave balances - FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 11.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5 Other personnel compensation	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.5 USDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
11.5 FNDH	0.0	0.6	0.6	0.0	0.3	0.3	0.0	0.3	0.3	0.0	0.3	0.3
Subtotal OC 11.5	0.0	0.6	0.6	0.0	0.3	0.3	0.0	0.3	0.3	0.0	0.3	0.3
11.8 Special personal services payments	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
11.8 USPSC Salaries	27.8	0.0	27.8	22.7	0.0	22.7	25.8	0.0	25.8	25.8	0.0	25.8
11.8 FN PSC Salaries	0.0	1,039.1	1,039.1	0.0	1,200.1	1,200.1	0.0	1,328.7	1,328.7	0.0	1,328.7	1,328.7
11.8 IPA Details-In/PASAs RSSAs Salaries	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 11.8	27.8	1,039.1	1,066.9	22.7	1,200.1	1,222.7	25.8	1,328.7	1,354.4	25.8	1,328.7	1,354.4
12.1 Personnel benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1 USDH benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1 Educational Allowances	206.6	0.0	206.6	250.0	0.0	250.0	248.6	0.0	248.6	248.6	0.0	248.6
12.1 Cost of Living Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1 Home Service Transfer Allowances	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1 Quarters Allowances	287.7	0.0	287.7	390.1	0.0	390.1	418.5	0.0	418.5	418.5	0.0	418.5
12.1 Other Misc. USDH Benefits	23.7	0.0	23.7	51.9	0.0	51.9	40.8	0.0	40.8	40.8	0.0	40.8
12.1 FNDH Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1 Payments to the FSN Separation Fund - FNDH	0.0	30.3	30.3	0.0	23.8	23.8	0.0	24.9	24.9	0.0	24.9	24.9
12.1 Other FNDH Benefits	23.6	57.6	81.2	24.3	57.6	81.9	26.9	63.8	90.7	26.9	63.8	90.7
12.1 US PSC Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
12.1 FN PSC Benefits	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
12.1 Payments to the FSN Separation Fund - FN PSC	0.0	56.9	56.9	0.0	73.9	73.9	80.6	0.0	80.6	80.6	0.0	80.6
12.1 Other FN PSC Benefits	0.0	579.8	579.8	0.0	658.3	658.3	0.0	728.8	728.8	0.0	728.8	728.8
12.1 IPA/Detail-In/PASA/RSSA Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 12.1	541.6	724.6	1,266.1	716.3	813.6	1,529.8	815.4	817.5	1,632.9	815.4	817.5	1,632.9
13.0 Benefits for former personnel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0 FNDH	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0 Severance Payments for FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0 Other Benefits for Former Personnel - FNDH	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0 FN PSC's	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
13.0 Severance Payments for FN PSC's	0.0	3.1	3.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
13.0 Other Benefits for Former Personnel - FN PSC's	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 13.0	0.0	3.1	3.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

OVERSEAS MISSION BUDGET REQUEST

OE-25520.wk4

Org. Title:
 Org. No: USAID/GUATEMALA-CAP
 OC: 25520

	FY 97			FY 98			Requested FY 99			Targeted FY 99		
	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total	Dollars	TF	Total
21.0 Travel and transportation of persons	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0 Training Travel	10.3	0.0	10.3	11.0	0.0	11.0	11.3	0.0	11.3	11.3	0.0	11.3
21.0 Mandatory/Statutory Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0 Post Assignment Travel - to field	13.0	0.0	13.0	11.9	0.0	11.9	8.8	0.0	8.8	8.8	0.0	8.8
21.0 Assignment to Washington Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Home Leave Travel	17.1	0.0	17.1	15.4	0.0	15.4	16.9	0.0	16.9	16.9	0.0	16.9
21.0 R & R Travel	13.8	0.0	13.8	17.3	0.0	17.3	23.1	0.0	23.1	23.1	0.0	23.1
21.0 Education Travel	7.8	0.0	7.8	2.8	0.0	2.8	3.6	0.0	3.6	3.6	0.0	3.6
21.0 Evacuation Travel	22.1	0.0	22.1	12.4	0.0	12.4	12.7	0.0	12.7	12.7	0.0	12.7
21.0 Retirement Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Pre-Employment Invitational Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Other Mandatory Statutory Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Operational Travel	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
21.0 Site Visits - Headquarters Personnel	10.5	0.0	10.5	7.6	0.0	7.6	7.8	0.0	7.8	7.8	0.0	7.8
21.0 Site Visits - Mission Personnel	39.7	19.0	58.7	44.8	19.0	63.8	46.2	21.5	67.7	46.2	21.5	67.7
21.0 Conferences Seminars Meetings Retreats	30.4	0.0	30.4	33.5	0.0	33.5	34.5	0.0	34.5	34.5	0.0	34.5
21.0 Assessment Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Impact Evaluation Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Disaster Travel (to respond to specific disasters)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Recruitment Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
21.0 Other Operational Travel	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 21.0	164.6	19.0	183.6	156.7	19.0	175.7	164.8	21.5	186.4	164.8	21.5	186.4
22.0 Transportation of things	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
22.0 Post assignment freight	84.0	0.0	84.0	129.8	0.0	129.8	95.4	0.0	95.4	95.4	0.0	95.4
22.0 Home Leave Freight	51.3	0.0	51.3	96.8	0.0	96.8	100.7	0.0	100.7	100.7	0.0	100.7
22.0 Retirement Freight	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
22.0 Transportation Freight for Office Furniture Equip.	7.0	0.0	7.0	7.2	0.0	7.2	7.4	0.0	7.4	7.4	0.0	7.4
22.0 Transportation Freight for Res. Furniture Equip.	2.0	0.0	2.0	2.1	0.0	2.1	2.1	0.0	2.1	2.1	0.0	2.1
Subtotal OC 22.0	144.3	0.0	144.3	235.9	0.0	235.9	205.6	0.0	205.6	205.6	0.0	205.6
23.2 Rental payments to others	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.2 Rental Payments to Others - Office Space	352.6	0.0	352.6	368.4	0.0	368.4	384.3	0.0	384.3	384.3	0.0	384.3
23.2 Rental Payments to Others - Warehouse Space	0.0	48.5	48.5	0.0	53.3	53.3	58.7	0.0	58.7	58.7	0.0	58.7
23.2 Rental Payments to Others - Residences	25.0	0.0	25.0	25.0	0.0	25.0	27.5	0.0	27.5	27.5	0.0	27.5
Subtotal OC 23.2	377.5	48.5	426.0	393.4	53.3	446.7	470.4	0.0	470.4	470.4	0.0	470.4
23.3 Communications, utilities, and miscellaneous charges	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
23.3 Office Utilities	76.7	73.0	149.6	145.9	8.7	154.6	150.3	8.9	159.2	150.3	8.9	159.2
23.3 Residential Utilities	2.8	0.0	2.8	1.0	0.0	1.0	1.0	0.0	1.0	1.0	0.0	1.0
23.3 Telephone Costs	65.0	76.7	141.7	74.0	51.7	125.8	94.3	35.2	129.5	94.3	35.2	129.5
23.3 ADP Software Leases	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 ADP Hardware Lease	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Commercial Time Sharing	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Postal Fees (Other than APO Mail)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
23.3 Other Mail Service Costs	2.1	0.0	2.1	2.1	0.0	2.1	2.2	0.0	2.2	2.2	0.0	2.2
23.3 Courier Services	10.0	0.0	10.0	10.3	0.0	10.3	10.6	0.0	10.6	10.6	0.0	10.6
Subtotal OC 23.3	156.5	149.6	306.2	233.4	60.4	293.8	258.4	44.2	302.6	258.4	44.2	302.6

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OVERSEAS MISSION BUDGET REQUEST

OE-25520.wk4

Org. Title:
 Org. No: USAID/GUATEMALA-CAP
 OC 25520

	FY 97			FY 98			Requested FY 99			Targeted FY 99		
	Dollars	TF	Total									
24.0 Printing and Reproduction	0.4	0.0	0.4	0.4	0.0	0.4	0.4	0.0	0.4	0.4	0.0	0.4
Subtotal OC 24.0	0.4	0.0	0.4	0.4	0.0	0.4	0.4	0.0	0.4	0.4	0.0	0.4
25.1 Advisory and assistance services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.1 Studies, Analyses, & Evaluations	1.0	0.0	1.0	1.0	0.0	1.0	1.1	0.0	1.1	1.1	0.0	1.1
25.1 Management & Professional Support Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.1 Engineering & Technical Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.1	1.0	0.0	1.0	1.0	0.0	1.0	1.1	0.0	1.1	1.1	0.0	1.1
25.2 Other services	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.2 Office Security Guards	29.8	15.9	45.7	2.9	43.9	46.8	48.2	0.0	48.2	48.2	0.0	48.2
25.2 Residential Security Guard Services	21.0	0.0	21.0	21.6	0.0	21.6	22.3	0.0	22.3	22.3	0.0	22.3
25.2 Official Residential Expenses	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Representation Allowances	1.1	0.0	1.1	1.1	0.0	1.1	1.2	0.0	1.2	1.2	0.0	1.2
25.2 Non-Federal Audits	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Grievances Investigations	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Insurance and Vehicle Registration Fees	0.0	3.4	3.4	0.0	3.5	3.5	0.0	3.6	3.6	0.0	3.6	3.6
25.2 Vehicle Rental	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Manpower Contracts	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Records Declassification & Other Records Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Recruiting activities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Penalty Interest Payments	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.2 Other Miscellaneous Services	17.0	31.3	48.3	3.5	30.7	34.1	3.6	31.6	35.1	3.6	31.6	35.1
25.2 Staff training contracts	10.0	2.0	12.0	12.4	0.0	12.4	12.7	0.0	12.7	12.7	0.0	12.7
25.2 ADP related contracts	4.8	0.0	4.8	7.8	0.0	7.8	8.0	0.0	8.0	8.0	0.0	8.0
Subtotal OC 25.2	83.6	52.6	136.3	49.3	78.1	127.3	95.9	35.2	131.1	95.9	35.2	131.1
25.3 Purchase of goods and services from Government accounts	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.3 ICASS			0.0	120.6	0.0	120.6	124.0	0.0	124.0	124.0	0.0	124.0
25.3 All Other Services from Other Gov't. accounts	37.0		37.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.3	37.0	0.0	37.0	120.6	0.0	120.6	124.0	0.0	124.0	124.0	0.0	124.0
25.4 Operation and maintenance of facilities	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.4 Office building Maintenance	29.9	0.0	29.9	0.0	30.4	30.4	31.3	0.0	31.3	31.3	0.0	31.3
25.4 Residential Building Maintenance	0.6	0.0	0.6	0.6	0.0	0.6	0.6	0.0	0.6	0.6	0.0	0.6
Subtotal OC 25.4	30.5	0.0	30.5	0.6	30.4	31.1	32.0	0.0	32.0	32.0	0.0	32.0
25.6 Medical Care	3.0	1.5	4.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.6	3.0	1.5	4.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7 Operation/maintenance of equipment & storage of goods	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
25.7 ADP and telephone operation and maintenance costs	0.8	7.5	8.3	0.0	14.4	14.4	14.9	0.0	14.9	14.9	0.0	14.9
25.7 Storage Services	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
25.7 Office Furniture Equip. Repair and Maintenance	29.2	26.6	55.8	34.0	21.7	55.7	35.0	22.4	57.4	35.0	22.4	57.4
25.7 Vehicle Repair and Maintenance	0.0	5.3	5.3	0.0	5.6	5.6	0.0	5.8	5.8	0.0	5.8	5.8
25.7 Residential Furniture Equip. Repair and Maintenance	4.2	5.0	9.2	1.4	3.4	4.9	1.5	3.5	5.0	1.5	3.5	5.0
Subtotal OC 25.7	34.1	44.4	78.5	35.4	45.2	80.6	51.3	31.7	83.0	51.3	31.7	83.0

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OVERSEAS MISSION BUDGET REQUEST

OE-25520.wk4

Org. Title:
 Org. No: USAID/GUATEMALA-CAP
 OC: 25520

	FY 97			FY 98			Requested FY 99			Targeted FY 99		
	Dollars	TF	Total									
25.8 Subsistence and support of persons (by contract or Gov't.)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 25.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
26.0 Supplies and materials	109.5	6.9	116.4	69.4	1.4	70.8	71.5	1.4	72.9	71.5	1.4	72.9
Subtotal OC 26.0	109.5	6.9	116.4	69.4	1.4	70.8	71.5	1.4	72.9	71.5	1.4	72.9
31.0 Equipment	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
31.0 Purchase of Residential Furniture Equip.	2.1	0.0	2.1	6.0	0.0	6.0	6.2	0.0	6.2	6.2	0.0	6.2
31.0 Purchase of Office Furniture Equip.	5.3	0.4	5.7	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0 Purchase of Vehicles	60.0	0.0	60.0	60.0	0.0	60.0	61.8	0.0	61.8	61.8	0.0	61.8
31.0 Purchase of Printing Graphics Equipment	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
31.0 ADP Hardware purchases	28.6	0.8	29.4	20.0	0.0	20.0	20.6	0.0	20.6	20.6	0.0	20.6
31.0 ADP Software purchases	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 31.0	96.0	1.2	97.3	86.0	0.0	86.0	88.6	0.0	88.6	88.6	0.0	88.6
32.0 Lands and structures	Do not enter data on this line			Do not enter data on this line			Do not enter data on this line			Do not enter data on this line		
32.0 Purchase of Land & Buildings (& construction of bldgs.)	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0 Purchase of fixed equipment for buildings	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0 Building Renovations Alterations - Office	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
32.0 Building Renovations Alterations - Residential	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 32.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
42.0 Claims and indemnities	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Subtotal OC 42.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
TOTAL BUDGET	1,807.6	2,280.8	4,088.4	2,120.9	2,500.0	4,620.9	2,405.2	2,500.0	4,905.2	2,405.2	2,500.0	4,905.2

The following line is to be used to show your estimate of FY 98 and FY 99 Program Funded ICASS costs.
 Enter dollars in thousands - same format as above.

	FY 98 Est.	FY 99 Est.
ICASS - Program Funded	52.2	53.7

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TRUST FUNDS & FSN SEPARATION FUND

FN-25520.WK4

Orgno.: 25520
 Org. Title: USAID/G-CAP

Foreign National Voluntary Separation Account

Action	FY 97			FY 98			FY 99		
	OE	Program	Total	OE	Program	Total	OE	Program	Total
Deposits	87.2	29.5	116.7	97.7	22.3	120.0	105.5	25.5	131.0
Withdrawals	3.1		3.1			0.0			0.0

Local Currency Trust Funds - Regular (\$000s)

	FY 97	FY 98	FY 99
Balance Start of Year	5,998.3	4,740.8	3,127.4
Obligations	2,280.8	2,500.0	2,500.0
Deposits	1,023.3	886.6	137.7
Balance End of Year	4,740.8	3,127.4	765.1

Trust Funds in Dollar Equivalents, not in Local Country Equivalents

Local Currency Trust Funds - Real Property (\$000s)

	FY 97	FY 98	FY 99
Balance Start of Year		0.0	0.0
Obligations			
Deposits			
Balance End of Year	0.0	0.0	0.0

Trust Funds in Dollar Equivalents, not in Local Country Equivalents

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ANNEX D

Lower-level results	Behavioral-Policy-change objective	1994	1995	1996
2.1 Increased public and political support for environmentally sound management and conservation of biodiversity.	1. Local authorities (municipalities & communities) incorporate environmental planning & mgmnt. 2. Consistent & transparent EIA's developed and applied; EIA mitigations monitored. 3. Delegation of natural resource management authority & responsibility to local community level. 4. Increased size & capacity of constituency for environmental protection & management. 5. Increased budgetary support for environmental protection & mgmnt (CONAMA, CONAP).	No	Started	Yes
2.2 Incentives facilitating environmentally sound management and conservation of biodiversity, including credit are applied.	Prioritized issues requiring incentives / disincentives promoting compatible land use: 6. Adequate control and management of petrol/mining/tourism activities. 7. Community and industrial forest-concession systems improved/applied. 8. Road building with special reference to protected areas. 9. Extensive cattle ranching and production on fragile lands. 10. Ecotourism and related services (handicrafts, etc.). 11. Soil improvement (soil fertility management and green manures). 12. Forest management for timber and non-timber products; value-added processing. 13. Cultural traditions favorable to sustainable land use. 14. Traditional slash and burn agriculture on fragile lands. 15. Managed hunting and fishing.	No	Yes	Yes
2.3 Public and private land tenure is clarified (and conflicts are resolved) in priority areas.	16. Colonization and settlement reflect land use planning. 17. Improved natural resource user rights and land tenure security (community concessions, community and small holders land titling, cadastral improvement). 18. Land ownership and rights within core park zones are clarified; public lands are inscribed in registry as parks where appropriate.	No	No	No
2.4 Roles, jurisdiction and authority of public institutions are clarified to support more effective environmental management and conservation of biodiversity.	19. Legislation clarifies public sector authorities and protects SIGAP (Guatemalan Natural System of Protected Areas). 20. Improved environmental legal code, law enforcement and control. 21. Institutional strengthening of GoG and collaborating Institutions. 22. Systematic inter-institutional and donor coordination. 23. Support for environmental & park protection through private, more sustainable sources. 24. Integrated planning of MBR. 25. Decreased unplanned settlement in MBR & other protected areas.	No	Started	Started

Notes: 1) To be considered as "positive change" under this policy agenda and receive a "yes" for a given time period, two criteria should be met: a) demonstrate forward change in human behavior related to specific objectives, and (b) create an environment conducive to sustaining this change in behavior after project completion. 2) The 1994 and 1995 assessments of changes (yes or no) were conducted by an independent monitoring and evaluation contractor (MSI buy-in under RENARM)

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Results Reporting: PL 480 Title II Food Aid Program

Poverty in Guatemala is pervasive and severe. Indigenous and rural populations have the greatest likelihood of being poor; women are more likely than men to be poor. The chief cause of malnutrition in Guatemala is chronic poverty, the lack of adequate economic opportunity either to produce sufficient food or to exchange labor for the income to purchase sufficient food.

According to information provided by the Guatemalan Ministry of Agriculture, the proportion of production available for internal consumption from 1990 to 1994 decreased 2%, whereas the population grew at 2.9%. The production of basic grains decreased 2.4% which results in a national deficit of 5.3% that was not offset by an increment in imports.

The food aid program in Guatemala is an important development resource, supporting the achievement of improved food security of program participants through activities in health, sustainable agriculture, village banks and strengthening of community organizations. The Guatemalan PL 480 Title II Food Aid program supports the achievement of the Agency's Objective 1.2 of Expanded access and opportunity for the poor.

A. Performance

Data obtained from the Cooperating Sponsors Annual Progress Report for FY 96 reflect the following results:

Healthier Women and Children

- The CARE SHARE and CRS Maternal Child Health (MCH) support a total of 297,340 mothers and children through an integrated strategy of health education and food distribution.

During FY 96 the CARE Maternal Child Health (MCH) project continued its support to the Ministry of Health (MOH) interventions in 300 health posts by providing training to health personnel and community volunteers, and by partially financing immunization, diarrhea disease management, acute respiratory infection and prenatal control interventions with financial contributions made by the community participants in the food program.

During the reporting period 80% of the children who participated in the CARE program have completed vaccination schedule and 90% of the pregnant women who participated in the program have received more than two doses of tetanus toxoid.

During the reporting period 78% of the children enrolled in the SHARE program completed their vaccination plan and 61% of the children received regular doses of

Vitamin A.

The CRS program in FY 96 worked toward improving the MCH program quality, and geographic consolidation from 18 departments to 6. Eighty five percent of the CRS MCH program participants receive 3 DPT and polio vaccines.

Sustainable Agriculture/Infrastructure

- The CARE, SHARE and CRS Food For Work (FFW) activities support a total of 59,580 direct beneficiaries through sustainable natural resource activities including the promotion of soil conservation, integrated pest management, and agroforestry techniques, also infrastructure activities such as drainage, sewage systems, walkways, and household connections to public water systems.

During the reporting period 61% of the target population in the CARE rural water health activities adopted basic personal and domestic hygiene practices, eight water systems including latrines and soak-away pits were completed benefiting 9,480 inhabitants.

During the reporting period other CRS activity results reported were: 1616 farmers growing and consuming vegetables, 1887 farmers using organic fertilizers and 971 practicing Integrated pest management.

Strengthened Community Organizations:

- The CARE, SHARE and CRS activities focus on strengthening community groups and municipal governments to develop needed sanitation infrastructure, drainage, sewage systems, walkways, and household connections to public water systems.

The CARE project supports the training of counterpart staff, community health promoters through joint implementation of training workshops. CARE activities have supported the formation and/or strengthening of 7 neighborhood organizations which have been formally recognized by their respective municipal governments.

The CRS project supports the training of counterpart staff, community organization, through joint implementation of training workshops. CRS strengthened additional counterparts in terms of planning, organization and implementation of activities in 70 communities.

The SHARE project continues to support approximately 20 Cooperating Institutions to improve planning, organization and implementation of activities in 190 communities.

B. Expected Results through FY 99

With food assistance activities incorporated entirely into the Mission's Poverty Reduction

Strategic Objective, from FY 97 onwards, all results reporting will be done under the new SO.

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PRELIMINARY HEALTH POLICY AGENDA

Political Support and Policy Formulation:

1. Political leaders and policy-makers support maternal-child health (MCH) programs
2. Public opinion regarding the need for MCH programs is favorable
3. A greater percentage of GDP is allocated to preventive health programs, especially MCH programs
4. Greater participation of NGOs and other civil society organizations in policy analysis and formulation
5. Policy development is based on reliable data sources

Organizational Structure:

1. Greater deconcentration/decentralization of public health services is accomplished in a way that improves equitable access to health care
2. Greater attention to Guatemala's multilingual and multicultural nature is given in the design of programs
3. Formal and non-formal partnerships between the private and public sectors at the local level are established to enhance equitable coverage of services
4. Administrative and logistical barriers to improved program management are identified and reduced in number

Laws, Regulations, Norms and Standards:

1. Legal barriers that impede integrated services are identified and reduced/eliminated
2. Ministry of Health (MOH) norms/protocols include integrated reproductive health services at all levels of care
3. MOH norms/protocols provide for the integrated management of the child at all levels of care

Donor Agencies:

1. Other donors commit resources to and initiate integrated women's health programs
2. Joint strategy developed with PAHO for the promotion of the WHO/UNICEF approach to integrated management of the child (AIEPI) in Guatemala
3. Ongoing mechanism for donor coordination established so as to avoid overlap and maximize donor resources and comparative advantages
4. Donors increase their emphasis on sustainability of health programs so that improvements in quality, equitable coverage, community participation; increased counterpart funding, and improved demand are maintained over time

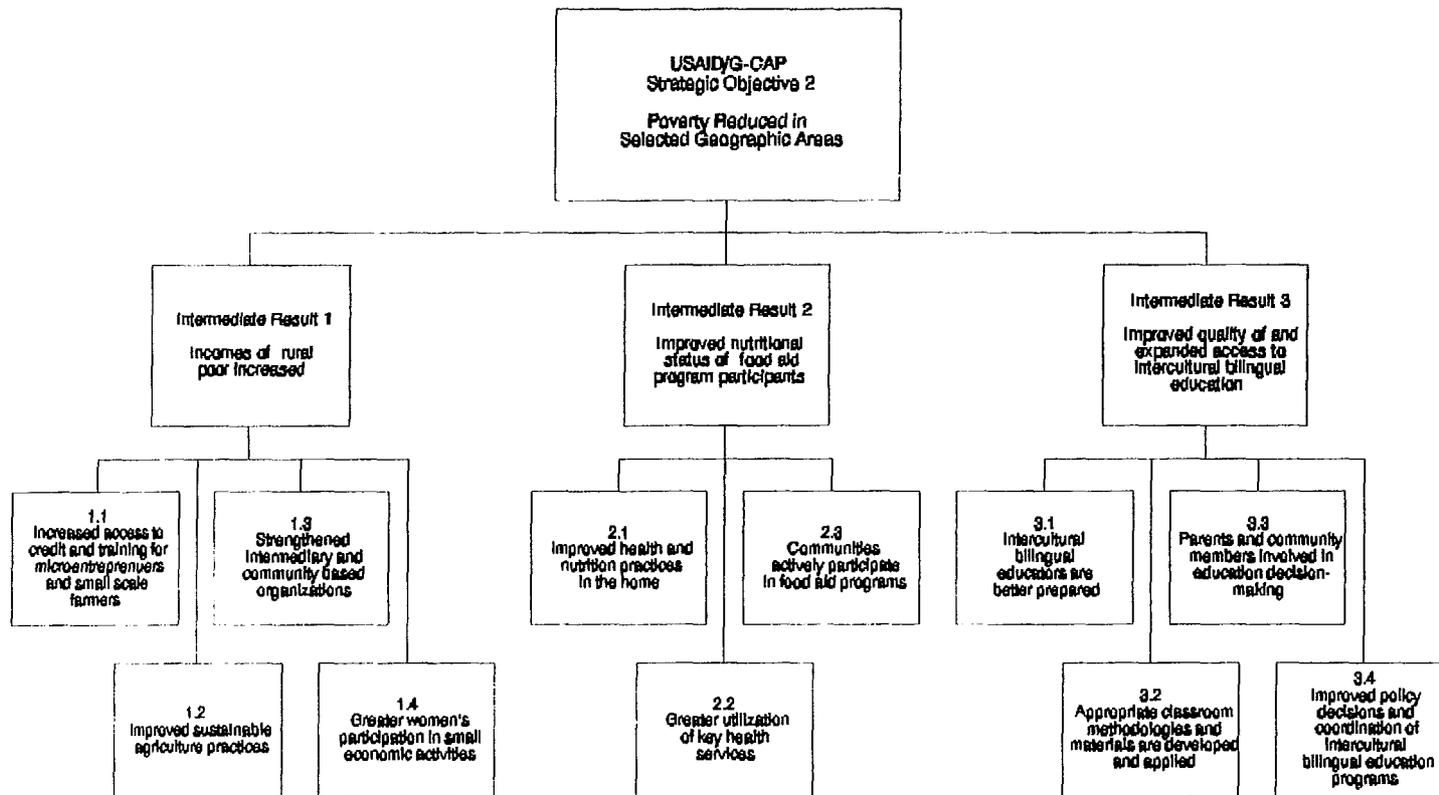
Program Components:

1. Health centers/posts reorganized/reengineered as required to permit integrated service delivery so that multiple health needs are met during one facility visit (e.g. immunizations and family planning referral)
2. Public sector has improved capacity to manage integrated services: a) established standards/protocols are being used; b) trained personnel in place; c) administrative and logistics systems are functioning; d) monitoring and supervisory systems are systematically carried out
3. Health care providers willing to provide the following basic services within an integrated women's health program: health education (self care); nutritional counseling; breastfeeding counseling; pre and post natal care; family planning; pap smears; STD detection and treatment; detection/referral of obstetric complications; counseling regarding violence against women
4. Successful innovations/pilot projects defined through USAID's operations research programs are scaled up
5. Communities actively participate in monitoring and evaluating health programs

Policy Dialogue Education Agenda

1. Support national institutions to lead and manage the Educational Reform processes as they are defined and developed by the Parity Commission for Educational Reform and supported by the specific Commission for the Officialization of the Indigenous Languages of Guatemala.
2. Increase financing for primary education by engaging national, regional and community level leaders through an awareness of educational problems and promising interventions for increasing coverage, equity, efficiency and quality of basic education services.
3. Promote the active participation of all sectors of Guatemalan society to assume the responsibility to work together toward the solution of the country's educational problems, especially those characteristics of the historically disenfranchised indigenous communities.
4. Continue mobilizing civil society and private- and public- sector decision makers to recognize girls' education as vital within the Educational Reform and to support school-based interventions which address barriers to girls' school participation.
5. Encourage the Ministry of Education to define in operational terms the meaning of the role of the National Directorate of Bilingual Education (DIGEBI) as the "rector" of bilingual intercultural education in Guatemala.
6. Help DIGEBI assume a proactive role in the operationalization of DIGEBI as a Directorate of Bilingual Intercultural Education capable of providing and overseeing effective bilingual intercultural educational services.
7. Support the Ministry of Education in improving the quality of the rural basic education by further developing active bilingual intercultural methodologies and ensuring their effective application in rural Guatemalan schools.

Results Framework



Links between G-CAP's expanding PROALCA Regional Trade/Labor SO, the new Peace SpO and the Bilateral Poverty SO

In order to effectively combat poverty and promote sustainable development in Central America, substantially higher economic growth rates are required on a sustained basis. Real growth of 5-6% per year is needed to provide increased demand for the productive use of labor and thereby increase incomes for working families. To achieve growth rates that high, Central America must take advantage of the new opportunities to expand trade brought about by the FTAA, NAFTA, and the WTO process.

PROALCA is helping Central America expand trade by improving the region's readiness to effectively participate in the FTAA, NAFTA, and other free trade agreements, both with respect to:

Helping CA achieve the so called "eligibility requirements" for negotiating free trade agreements (FTAs), and then complying with the commitments made in the FTAs, bilateral investment treaties, bilateral IPR agreements, etc. USAID is providing training and TA to update regional and national trade regulations to make them consistent with WTO commitments, and those expected under FTAA and NAFTA.

Supporting CA's efforts to improve its competitiveness once expanded access to such markets is achieved. This is being done by supporting trade policy reforms aimed at further trade liberalization, achievement of a more hospitable environment for domestic and foreign investment, and better functioning labor markets.

In order to take advantage of increased trading opportunities resulting from economic globalization and recent hemispheric integration initiatives such as NAFTA and the Free Trade Area of the Americas (FTAA), Guatemala must improve its trade policies both to achieve greater access to new markets and to enhance its competitiveness once expanded access is attained. Moreover, strengthened protection of workers rights and improved labor relations will also help Guatemala maintain access to hemispheric markets while contributing toward the development of stronger workforce required to compete in the global market place. While a faster growing economy that raises the demand for the productive use of labor will result in the greatest benefits for workers, improved labor policies will also help enhance workers' participation in the benefits of economic growth. Increasing awareness of labor rights requires special programs in Guatemala to reach the large Mayan population. G-CAP is making a special effort to publicize such rights in the four main Mayan languages.

USAID is assisting the Ministry of Economy in meeting commitments made under the Summit of the Americas, including implementation of Guatemala's World Trade Organization (WTO) accession agreement, strengthening of Intellectual Property Rights (IPR) protection, encouraging the demonopolization of key public utilities, and further dismantling of tariff and non-tariff trade barriers to both intra- and extra-regional trade. Through cooperation with the Guild of Non-Traditional Product Exporters, USAID also supports increased production of non-traditional exports to extra-regional markets, including primarily agricultural products grown by tens of thousands of small farmers.

(Guatemala's exports of nontraditional products have doubled in the last few years providing gainful employment for thousands of small farmers and formerly unemployed workers.)

Key components of the Peace SpO and the Poverty SO are designed to help Guatemalans in selected geographic areas increase incomes through expanding productive activities. The items produced (agricultural, agroindustrial, and industrial) have to be sold in Guatemalan local, regional or national markets, or exported to Central American, Mexican, U.S., or other global markets. Success, therefore with the Peace SpO and the Poverty SO requires (1) accelerated rates of economic growth in both Guatemala (to increase domestic demand for the products of the selected geographic areas) and in Central America (to increase CA regional demand), and (2) improved trade and other economic policies aimed at increasing Guatemala's overall competitiveness and its access to hemispheric and global markets, so that exports of traditional and nontraditional products from the selected geographic areas (along with those from the rest of the country) can be greatly expanded.

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AID/LAC/SPM:JWEBER

AID/LAC/DPB: DCHIRIBOGA (DRAFT)

AID/LAC/CEN:NLEVINE (DRAFT)

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AID/LAC/SPM:PTHORN(DRAFT) .DATE.06/07/96

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AID/LAC/CEN:CMANGO(DRAFT) . .DATE.06/12/96

AID/LAC/SPM:PMARTIN(DRAFT) . .DATE.06/07/96

AID/LAC/DPB:RMEEHAN(DRAFT) . .DATE.06/11/96

AID/LAC/RSD:RVANHAEFTEN. (DRAFT) . DATE. 06/06/96

AID/LAC/RSD:SWRIGHT(DRAFT) . .DATE.06/10/96

AID/LAC/CONT:MBRADLEY... (DRAFT) . .DATE.06/06/96

AID/G/EG:RSTRYXER(DRAFT) . .DATE.06/06/96

AID/LAC/RSD:JMCMAHON.... (DRAFT) . .DATE.06/10/96

AID/LAC/RSD:EOGDEN(DRAFT) . .DATE.06/14/96

AID/PPC/CDIE:MBERNBAUM.. (DRAFT) . .DATE.06/12/96

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E.O. 12958: N/A

TAGS:

SUBJECT: FY 1995-1998 USAID/GUATEMALA-CAP R4 --
MANAGEMENT CONTRACT

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1. SUMMARY. THE USAID/GUATEMALA-CENTRAL AMERICA PROGRAM (CAP) FY 1995-1998 RESULTS REVIEW AND RESOURCE REQUEST (R4) DAEC, CHAIRED BY AA/LAC MARK L. SCHNEIDER, WAS HELD ON JUNE 4, 1996. THE R4 WAS PRESENTED BY

USAID/GUATEMALA'S MISSION DIRECTOR STACY RHODES AND CHIEF PDO/PROGRAM OFFICER DEBORAH KENNEDY-IRAHETA. REPRESENTATIVES OF THE GLOBAL BUREAU, M AND ALL APPROPRIATE LAC BUREAU OFFICES PARTICIPATED IN THE DAEC REVIEW. AA/LAC SCHNEIDER COMPLIMENTED THE MISSION ON ITS R4, WHICH WAS APPROVED BY THE BUREAU, SUBJECT TO THE GUIDANCE PROVIDED BELOW. END SUMMARY.

2. IN HIS OPENING STATEMENT, THE MISSION DIRECTOR HIGHLIGHTED THE SUCCESSES AND CHALLENGES FACING GUATEMALA AS FOLLOWS:

A. ADVANCES IN THE PEACE PROCESS: THE MISSION HAS MOVED FORWARD IN ITS "PEACE PROJECT," APPROVED DURING LAST YEAR'S PROGRAM WEEK, WHICH PROVIDES CRITICAL SUPPORT TO

THE DISPLACED AND RETURNING REFUGEE POPULATION IN THE NORTHWESTERN REGION OF IXCAN AND BARILLAS, AS WELL AS
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SUPPORT FOR THE U.N. VERIFICATION MISSION (MINUGUA). THE STRONG COMMITMENT OF NEWLY-ELECTED PRESIDENT ARZU HAS BREATHED NEW LIFE INTO THE PEACE PROCESS, AND HIS APPOINTMENT OF A STRONG NEGOTIATING TEAM HAS LED TO RAPID AGREEMENT TO THE TERMS OF THE SOCLO-ECONOMIC-AGRARIAN ACCORD, WHICH WAS SIGNED MAY 6, 1996.

B. FAIR AND FREE ELECTIONS AND THE PEACEFUL CONSTITUTIONAL TRANSFER OF POWER FROM ONE ELECTED PRESIDENT TO ANOTHER: TWENTY-THREE PARTIES PARTICIPATED IN THE ELECTIONS, INCLUDING THE FIRST GENUINE LEFT-OF-CENTER COALITION TO FREELY AND ACTIVELY CAMPAIGN IN ELECTIONS IN DECADES. THE FRENTE DEMOCRATICA NUEVA GUATEMALA, DESPITE RESOURCE LIMITATIONS, WON SIX CONGRESSIONAL SEATS. THE URNG ENDORSED THE ELECTIONS -- A FIRST -- AND GUATEMALANS VOTED IN RECORD NUMBERS IN THE NOVEMBER GENERAL ELECTIONS (47 PERCENT).

C. PHN: A NEW DEMOGRAPHIC HEALTH SURVEY SHOWS PROGRESS. THERE HAVE BEEN SIGNIFICANT REDUCTIONS SINCE 1987 IN INFANT AND CHILD MORTALITY (30 PERCENT AND 38 PERCENT, RESPECTIVELY), AND INCREASED CONTRACEPTIVE PREVALENCE AMONG MAYAN COUPLES (74 PERCENT), BUT STILL SIGNIFICANT DISPARITIES EXIST BETWEEN LADINO AND INDIGENOUS POPULATIONS. MATERNAL MORTALITY STATISTICS ARE LESS POSITIVE.

D. ENVIRONMENT: IN THE MAYA BIOSPHERE, IT IS ESTIMATED THAT 400,000 HECTARES OF FOREST WERE SAVED FROM CONVERSION

DUE TO USAID-FUNDED INTERVENTIONS.

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E. ECONOMY: STRONG ECONOMIC PERFORMANCE WITH GDP GROWTH AT 4.9 PERCENT IN 1995 (UP 20 PERCENT FROM 1994) WAS RECORDED AND NON-TRADITIONAL EXPORTS INCREASED BY 30

PERCENT FROM 1994.

F. CONSTRAINTS: DURING THE SAME PERIOD, THE MISSION'S PROGRAM HAS ALSO FACED SOME MAJOR CONSTRAINTS, INCLUDING A WEAK FISCAL SITUATION AND A "LAME DUCK" ADMINISTRATION WHICH IMPEDED PROGRESS ON A SOCIAL SECTOR POLICY AGENDA. FINANCING FOR THE SOCIAL SECTORS, AND PARTICULARLY HEALTH AND EDUCATION, REMAINS WOEFULLY INADEQUATE. BUDGETED LEVELS FOR HEALTH AND EDUCATION IN 1996, WHILE NOMINALLY ABOVE 1995 LEVELS, ARE ONLY 1.5 PERCENT AND 2 PERCENT OF GDP RESPECTIVELY. AS A RESULT, NATIONAL-LEVEL ADOPTION OF USAID'S PILOT EDUCATION INITIATIVES, SUCH AS THE ONE-ROOM SCHOOL, HAS NOT TAKEN PLACE AND RESULTS IN THE EDUCATION SECTOR, PARTICULARLY IN TERMS OF COMPLETION RATES FOR

GIRLS AND RURAL STUDENTS, HAVE BEEN LESS THAN HOPED FOR.

G. OPERATING EXPENSES: IN FINALIZING HIS OPENING REMARKS, DIRECTOR RHODES NOTED THAT USAID/G-CAP HAS SUFFERED DRAMATIC STAFFING CUTS, MOVING FROM 22 USDH POSITIONS IN 1994 TO 17 IN FY 1996, WITH OVERALL STAFFING LEVELS DECLINING FROM NEARLY 350 IN 1990 TO FEWER THAN 150 BY THE END OF THIS FISCAL YEAR. FURTHER USDH STAFF CUTS WILL SERIOUSLY JEOPARDIZE THE MISSION'S ABILITY TO IMPLEMENT THE BILATERAL AND REGIONAL PROGRAMS. DIRECTOR RHODES ALSO NOTED THAT DESPITE THE HEAVY REGIONAL TRAVEL SCHEDULE, GREATER EFFICIENCY IN MISSION OPERATIONS WILL ENABLE USAID/GUATEMALA TO OPERATE AT THE PLANNED LOWER

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O.E. LEVELS (2 PERCENT REDUCTION) IN FY 1997, BUT THAT NO FURTHER REDUCTION WAS FEASIBLE.

3. ALL OUTSTANDING ISSUES FROM LAST YEAR'S ACTION PLAN DAEC WERE ADDRESSED. THE BILATERAL PROGRAM R4 REPORTS EFFECTIVELY ON PERFORMANCE BY GENDER FOR THE HEALTH AND EDUCATION SOS, BUT STILL LACKS GENDER-DISAGGREGATED INDICATORS FOR OTHER-SOS, ALTHOUGH SOME GENDER INFORMATION IS INCLUDED IN THE NARRATIVE. THE REGIONAL PROGRAM R4 ALSO PROVIDES SOME GENDER INFORMATION, BUT LACKS DISAGGREGATED INDICATORS. RECOMMENDATIONS WHICH ADDRESS THESE ISSUES WILL BE PROVIDED SEPARATELY BY THE BUREAU WID ADVISOR TO THE MISSION.

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4. THE DAEC DISCUSSED THE FOLLOWING ISSUES: A) DEVELOPMENT OF THE MISSION'S STRATEGY FOR THE 1997-2002 PERIOD; B) FUNDING PRIORITIES FOR THE BILATERAL PROGRAM AND SUPPORT FOR IMPLEMENTATION OF THE PEACE ACCORDS; C) JUDICIAL SECTOR REFORM AND, SPECIFICALLY, COMPLIANCE WITH THE BENCHMARKS ESTABLISHED FOR ICITAP; D) GOG COMMITMENT TO SOCIAL SECTOR SPENDING; E) INTEGRATION/PARTICIPATION OF MEXICO IN THE REGIONAL HIV/AIDS AND NATURAL RESOURCES PROGRAMS; AND F) O.E. FUNDING COMMITMENT FOR AN IDI POSITION. SUGGESTIONS AND GUIDANCE WERE PROVIDED, AS NOTED IN THE FOLLOWING PARAGRAPHS:

A. - DEVELOPMENT OF THE MISSION'S STRATEGY FOR THE 1997-2002 PERIOD: THE AA/LAC URGED THE MISSION TO REASSESS ITS PROPOSED PRESENTATION OF THE NEW STRATEGY TO BETTER

DISTINGUISH BETWEEN THE ONGOING, NORMAL USAID SUSTAINABLE DEVELOPMENT PROGRAM (E.G., HEALTH AND EDUCATION SECTOR
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ACTIVITIES) AND THE TRANSITIONAL SET OF DISCRETE ACTIVITIES WHICH THE MISSION WOULD PURSUE OVER A LIMITED TIME PERIOD IN SUPPORT OF SPECIFIC COMPONENTS OF THE PEACE ACCORDS. POSSIBLE AREAS OF EMPHASIS UNDER THIS FOURTH SPECIAL OBJECTIVE OF SUPPORT TO THE PEACE ACCORDS WOULD INCLUDE: SUPPORT FOR REFUGEE/DISPLACED REINTEGRATION;

HUMAN RIGHTS; OTHER JUDICIAL REFORM/DEMOCRACY ACTIVITIES; CIVIL-MILITARY ISSUES; AND THE PROVISIONS OF THE INDIGENOUS ACCORDS. A PORTION OF THE "CONTINUING" MISSION SUSTAINABLE DEVELOPMENT PROGRAM COULD, AS PROPOSED BY THE MISSION, BE REFOCUSSED ON THE PRIORITY TARGET REGIONS, WHICH ARE AMONG THE POOREST IN THE COUNTRY. BUREAU REPRESENTATIVES RECOMMENDED THAT THE MISSION BASE BUDGET PROJECTIONS ON THE TARGETING OF ESF RESOURCES TO THE ABOVE-MENTIONED AREAS OF EMPHASIS. THE AA/LAC ALSO ENCOURAGED THE MISSION TO WORK CLOSELY WITH THE GOG IN THE DEVELOPMENT OF THEIR PEACE STRATEGY/CONSULTATIVE GROUP PRESENTATION, AS WELL AS WITH OTHER DONORS IN THE PROCESS OF DEVELOPING THE USAID STRATEGY, SO AS TO ENSURE SYNERGY BETWEEN THE U.S. AND OTHER DONOR CONTRIBUTIONS TO THE PEACE PROCESS. THE MISSION REQUESTED LAC/SPM ASSISTANCE IN THE DEVELOPMENT OF THE NEW BILATERAL STRATEGY, WHICH THE DIRECTOR INDICATED WOULD BE PRESENTED PRIOR TO THE END OF CY 1996.

THE AA/LAC NOTED THE EXTENSIVE LEVEL OF POVERTY IN THE CENTRAL AMERICA REGION WHERE, EXCEPT FOR COSTA RICA AND PANAMA, 50-70 PERCENT OF THE POPULATION IS CONSIDERED TO BE AT OR BELOW THE POVERTY LINE. HE SUGGESTED THAT, IN THE DEVELOPMENT OF THE REGIONAL STRATEGY, THE MISSION
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ASSESS WHETHER THERE ARE ACTIONS WHICH COULD ASSIST THE
REGION TO ADDRESS THE WIDESPREAD POVERTY, AND WHETHER THEY
WOULD BE APPROPRIATE FOR USAID ACTION.

B. FUNDING FOR THE BILATERAL PROGRAM: IN RESPONSE TO
QUESTIONS RELATING TO THE PROPOSED DISTRIBUTION OF FUNDING
BY FUNCTIONAL ACCOUNT IN FY 98, THE MISSION
REPRESENTATIVES NOTED THAT THE GUATEMALA DA PROGRAM HAS
BEEN HEAVILY EARMARKED SINCE 1990, REACHING A HIGH OF 84
PERCENT EARMARKED/DIRECTED IN FY 94. IN PROJECTING FY 98
ALLOCATIONS, THE MISSION SOUGHT TO ENSURE A BALANCE IN THE
PROGRAM, INCREASING FUNDING ALLOCATED TO THE U.S.
GOVERNMENT'S HIGHEST PRIORITY -- DEMOCRACY -- TO DOLS. 5
MILLION PER YEAR (20 PERCENT OF THE OYB). FURTHER, A
SIGNIFICANTLY INCREASED PROPORTION OF THE PROGRAM BUDGET
MUST BE AVAILABLE TO MEET THE REQUIREMENTS OF THE
RESETTLEMENT AND SOCLO-ECONOMIC ACCORDS. THE AA/LAC
AGREED THAT THERE WAS A COMPELLING CASE FOR A SIGNIFICANT
U.S. COMMITMENT TO SUPPORT IMPLEMENTATION OF THE PEACE

ACCORDS IN GUATEMALA. HE CAUTIONED, HOWEVER, THAT FUNDING
CONSTRAINTS WOULD LIMIT THE RESPONSE AND THE CONCERNS
NOTED ABOVE MUST BE ADDRESSED IN THE STRATEGY TO MAKE THE
BEST CASE POSSIBLE. LAC/DPB NOTED THAT THE BUREAU
PLANNING LEVELS FOR ESF FUNDING FOR GUATEMALA WERE DOLS. 8
MILLION IN FY 97 ESF AND DOLS. 10 MILLION IN FY 98 ESF.
LAC/DPB FURTHER NOTED THAT GUATEMALA WAS CONSIDERED TO BE

THE FUTURE PRIORITY FOR ESF FUNDING IN THE REGION,
ASSUMING THE PEACE ACCORD WAS SIGNED LATER THIS FY. BASED
ON THE HIGHER LEVEL OF ESF FUNDING, THE MISSION
REPRESENTATIVES AGREED TO RESUBMIT THE BUDGET TABLES FOR
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FY 98, WHICH WOULD SHOW A FUNCTIONAL ALLOCATION SIMILAR TO
THE FY 97 BALANCE IN ACCOUNTS. (IN A SUBSEQUENT SIDE
MEETING WITH LAC/DPB, IT WAS FURTHER CLARIFIED THAT
FUNDING FOR THE ICITAP POLICE REFORM PROGRAM WAS OUTSIDE
OF THESE ESF LEVELS, WITH FUNDING FOR GUATEMALA PROGRAMS
TO BE PROVIDED THROUGH THE REGIONAL ICITAP PROGRAM FOR
LATIN AMERICA.)

C. JUDICIAL REFORM AND ICITAP BENCHMARKS: THE MISSION
DIRECTOR PROVIDED A BRIEF UPDATE ON PROGRESS IN THE
JUDICIAL SECTOR, NOTING RECENT CONVICTIONS IN TWO HIGH
PROFILE CASES. THE ROLE OF ICITAP IN BALLISTICS ANALYSIS
WAS HIGHLIGHTED AS CRITICAL TO RESOLUTION OF ONE CASE. HE
NOTED CONTINUED PROGRESS AGAINST ICITAP BENCHMARKS
ESTABLISHED WITH THE GOG AND MONITORED BY THE CONGRESS.
THE MISSION WAS REQUESTED TO OBTAIN ASSURANCES THAT THE
NEW ATTORNEY GENERAL WAS COMMITTED TO ACHIEVING THE

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ESTABLISHED ICITAP PROGRAMMATIC BENCHMARKS TO JUSTIFY
FUTURE ICITAP AND POLICE REFORM WORK.

D. COMMITMENT OF GOG TO SOCIAL SECTOR INVESTMENT: THE
AA/LAC NOTED THE DISAPPOINTING PERFORMANCE OF THE GOG IN
TERMS OF SOCIAL SECTOR ALLOCATIONS, WITH THE 3.5 PERCENT
OF GDP FOR HEALTH AND EDUCATION COMBINED FALLING SHORT OF
THE WORLD BANK'S MINIMUM LEVEL TARGET OF 4-6 PERCENT OF
GDP FOR THE HEALTH SECTOR ALONE. HE ENCOURAGED THE
MISSION AND BUREAU STAFF TO WORK TOWARDS OBTAINING DONOR
COMMITMENT TO CONDITIONING SUPPORT FOR THE GOG'S NEW
PROGRAM ON INCREASED SOCIAL SECTOR SPENDING. THE MISSION
DIRECTOR NOTED THAT, IN FACT, THE SOCLO-ECONOMIC ACCORD
COMMITTED THE GOG TO INCREASING SOCIAL SECTOR SPENDING BY

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50 PERCENT OVER THE 1995 LEVELS BY THE YEAR 2000. WHILE
NOTING THAT THIS WAS A GOOD BEGINNING, THE DAEC NOTED THAT
A 50 PERCENT INCREASE WOULD BE INSUFFICIENT TO REACH THE
MINIMAL LEVELS CITED BY THE WORLD BANK, AND A CONCERTED
EFFORT WAS REQUIRED BY DONORS TO ACHIEVE THE HIGHER RATES
OF ECONOMIC GROWTH NECESSARY TO INCREASE SOCIAL SECTOR
SPENDING.

THE AA/LAC ALSO EXPRESSED CONCERN ABOUT THE HIGH LEVEL OF

MATERNAL MORTALITY IN GUATEMALA AND ENCOURAGED THE MISSION
TO CONTINUE TO DEVELOP A STRATEGY TO ADDRESS THIS CRITICAL
PROBLEM.

E. INCLUSION OF MEXICO IN REGIONAL PROGRAMS: WITH
RESPECT TO PARTICIPATION IN THE REGIONAL HIV/AIDS PROGRAM,

LAC/DPB ASKED IF THE GROWING NUMBER OF BILATERAL REQUESTS
FOR HIV/AIDS FUNDING, PARTICULARLY FROM MEXICO BUT ALSO
FROM EL SALVADOR AND NICARAGUA, INDICATED THAT THE
BILATERAL MISSIONS WERE NOT SUPPORTIVE OF THE REGIONAL
PROGRAM. LAC/RSD/PHN, SECONDED BY THE MISSION DIRECTOR,
NOTED THAT THE REGIONAL PROGRAM WAS DESIGNED TO ACHIEVE
EFFICIENCIES OF SCALE IN THE AREAS OF PVO NETWORKING AND
POLICY AND SOCIAL MARKETING, AND THAT THE BILATERAL
MISSION REQUESTS WERE FOR COMPLEMENTARY ACTIVITIES.
LAC/RSD/PHN FURTHER NOTED THAT THE CENTRAL AMERICA
HIV/AIDS PROGRAM FOCUSES ON ACTIVITIES SUCH AS CONDOM
SOCIAL MARKETING, NGO NETWORK STRENGTHENING AND POLICY AND
APPLIED RESEARCH THAT ARE MORE EFFICIENTLY IMPLEMENTED AT
THE SUB-REGIONAL LEVEL BECAUSE OF ECONOMIES OF SCALE,
COMMON LANGUAGE AND NEED FOR CROSS-BORDER COLLABORATION.

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SUB-REGIONAL ACTIVITIES COMPLEMENT BILATERAL EFFORTS BY

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FOCUSING ON LEVERAGING DONOR COOPERATION AND COORDINATION (NOT ALWAYS FEASIBLE AT THE NATIONAL LEVEL) AND POLICY DIALOGUE WITH REGIONAL INSTITUTIONS AND ASSOCIATIONS. THE NETWORKING ACTIVITIES ARE DESIGNED TO PROMOTE INFORMATION SHARING (PARTICULARLY IN REGARD TO THE REPLICATION OF SUCCESSFUL ACTIVITIES) BETWEEN THE PREVENTION COMMUNITY (NGOS, HEALTH PROFESSIONALS AND OTHER GROUPS) WHICH HAVE LARGELY BEEN WORKING IN ISOLATION. BILATERAL ACTIVITIES GENERALLY FOCUS ON INTEGRATING HIV/STD DIAGNOSIS INTO OTHER USAID-SUPPORTED PHN PROGRAMS IN THAT COUNTRY, CHANGING NATIONAL POLICY AND IMPROVING THE TECHNICAL KNOWLEDGE AND SKILLS OF HEALTH PROFESSIONALS.

DIRECTOR RHODES NOTED THAT THE MISSION HAD INITIATED DISCUSSIONS WITH MEXICO STAFF ON HOW THE REGIONAL PROGRAM MIGHT SERVE AS A VEHICLE FOR ADDRESSING MEXICAN ISSUES, AS WELL AS ACHIEVE SYNERGIES BETWEEN THE PLANNED JAPANESE SUPPORT FOR HIV/AIDS PROGRAMS IN MEXICO AND THE REGIONAL USAID PROGRAM. IT WAS AGREED THAT FURTHER DISCUSSIONS BETWEEN THE MISSION AND BUREAU WOULD BE NEEDED TO REACH AGREEMENT ON THE OPTIMAL BALANCE IN REGIONAL AND BILATERAL FUNDING IN THIS CRITICAL AREA. THE AA/LAC ALSO SUGGESTED THAT THE MISSION USE THE PAHO-RESCA FORUM AS A VEHICLE FOR OBTAINING GREATER SUPPORT OF THE REGION'S HEALTH MINISTERS TO ADDRESS THE HIV/AIDS CRISIS.

IN TERMS OF THE REGIONAL ENVIRONMENTAL PROGRAM, CONCERN WAS EXPRESSED AT THE APPARENT LACK OF COORDINATION AMONG GUATEMALA, MEXICO AND BELIZE TO ADDRESS CROSS-BORDER ISSUES IN THE MAYA BIOSPHERE. MISSION DIRECTOR RHODES

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RESPONDED BY STATING THAT USAID/GUATEMALA WOULD ENGAGE AND WORK WITH USAID/MEXICO AND THE BELIZEAN GOVERNMENT TO IMPROVE COORDINATION.

F. AA/LAC REAFFIRMED THE BUREAU COMMITMENT TO ASSIST USAID/GUATEMALA WITH O.E. SUPPORT FOR AN IDI PLACEMENT IN FY 1997, SUBJECT TO THE AVAILABILITY OF FUNDS AND OUR ABILITY TO FIND THE APPROPRIATE PERSON.

5. THE MISSION IS REQUESTED TO PROVIDE M/B WITH A BRIEF REPORT OF ITS PIPELINE. THE REPORT SHOULD INCLUDE AN EXPLANATION (SUCH AS EXPERIENCING IMPLEMENTATION PROBLEMS OR FORWARD FUNDED CONSTRUCTION ACTIVITY) OF MAJOR ACTIVITIES CONTRIBUTING TO THE PIPELINE AND PLANS FOR ITS ELIMINATION. M/B IS PARTICULARLY INTERESTED IN THE PRE 1994 PIPELINE OF THE HIGHLAND WATER AND SANITATION ACTIVITY AND THE TRADE AND LABOR RELATIONS ACTIVITY. WE NOTE THAT THE MISSION HAS PROVIDED INFORMATION ON THE DEMOCRATIC INSTITUTIONS, JUDICIAL SECTOR REFORM, AND SMALL FARMER COFFEE IMPROVEMENT ACTIVITIES.

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6. THE FOLLOWING ADDITIONAL GUIDANCE AND SUGGESTIONS REGARDING USAID/GUATEMALA-CAP' S PLANNED STRATEGY DEVELOPMENT WERE NOTED DURING THE R4 REVIEW PROCESS:

A. NEW SOCIAL SECTOR SO: THE MISSION'S PROPOSED AGGREGATION OF THE BASIC EDUCATION, PHN AND ECONOMIC GROWTH ACTIVITIES INTO A SINGLE SOCIAL SECTOR SO MAY PRESENT SOME DIFFICULTIES DEMONSTRATING CAUSAL AND OTHER LINKAGES, AS WELL AS DEVELOPING INTERMEDIATE RESULTS (IRS) AND INDICATORS WHICH ARE TRULY INTEGRATED AND NOT, IN
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ESSENCE, THREE SEPARATE SOS PACKAGED AS ONE. THE MISSION WILL NEED TO CAREFULLY ASSESS WHETHER MANAGEMENT OF THESE ACTIVITIES WILL BE MORE EASILY ACCOMPLISHED THROUGH THE PROPOSED SO CONFIGURATION OR BE HINDERED BY IT. LAC/RSD/EHR AND PPC/CDIE AGREED TO ASSIST THE MISSION IN DEVELOPING THE BASIC EDUCATION COMPONENT OF ITS SOCIAL SECTOR STRATEGY. IN ADDITON, EHR WILL ACT AS A LIAISON IN WASHINGTON WITH THE WORLD BANK AND THE IDB, TO FACILITATE DONOR COORDINATION AND, IF POSSIBLE, EXPEDITE BASIC EDUCATION SECTOR ACTIVITIES.

B. NUTRITIONAL STATUS: IN DEVELOPING THE MISSION'S STRATEGY, THE MISSION SHOULD PAY PARTICULAR ATTENTION TO ADDRESSING THE CHRONIC NUTRITIONAL PROBLEM IN THE COUNTRY. ACCORDING TO UNICEF ESTIMATES, 58 PERCENT OF GUATEMALAN CHILDREN ARE CHRONICALLY MALNOURISHED. THIS IS THE HIGHEST RATE IN THE WESTERN HEMISPHERE AND ONE OF THE HIGHEST IN THE WORLD.

C. INTEGRATION OF TITLE II: THE RELATIONSHIP OF THE TITLE II PROGRAM TO THE REST OF THE MISSION'S STRATEGY AND PROGRAM NEEDS TO BE BETTER ARTICULATED. LAC/RSD AND BHR/FFP AGREED TO ASSIST THE MISSION IN DEVELOPING THE FOOD SECURITY ELEMENTS OF THE MISSION STRATEGY.

D. IMPACT INDICATORS: FOR ITS STRATEGY DEVELOPMENT EXERCISE, THE MISSION IS ADVISED TO PLACE PARTICULAR EMPHASIS ON THE DEVELOPMENT OF INDICATORS WHICH DEMONSTRATE IMPACT AND RESULTS. WHERE IT IS NOT COST-EFFECTIVE TO FULLY MEASURE RESULTS ANNUALLY, THE MISSION
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IS ENCOURAGED TO DEVELOP PROXY INDICATORS.

E. TIMING OF STRATEGY SUBMISSION: THE MISSION HAS SUGGESTED A FALL 1996 SUBMISSION DATE FOR ITS STRATEGY, WHICH IS ACCEPTABLE TO THE BUREAU. LAC/SPM AND OTHER

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BUREAU/AGENCY OFFICES HAVE COMMITTED TO PROVIDING ASSISTANCE TO THE MISSION IN THE DEVELOPMENT OF ITS STRATEGY.

F. IN GUATEMALA R4-RELATED SIDE MEETINGS, LAC/RSD/PHN AND MISSION REPRESENTATIVES ADDRESSED AND RESOLVED SEVERAL TECHNICAL ISSUES PERTAINING TO: PRIVATE SECTOR HEALTH SERVICES TO REMOTELY-LOCATED POPULATIONS; LOW ORT USE RATE IN GUATEMALA; APPROPRIATENESS OF HEALTH INDICATORS, INCLUDING PROXY ONES; AND STATISTICAL DATA CLARIFICATIONS AND/OR CORRECTIONS. SPECIFIC RECOMMENDATIONS WHICH ADDRESS THESE TECHNICAL ISSUES HAVE BEEN PROVIDED SEPARATELY BY LAC/RSD/PHN TO THE MISSION, PER FORWARDED 6/14/96 OGDEN TO BONCY EMAIL, AND FORM PART OF THE R4 GUIDANCE.
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