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UN Foundation Ref.: UDP-GUA-02-246  
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Dear Sergio:

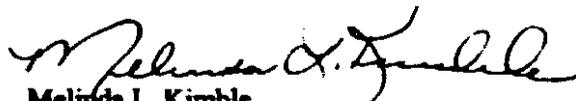
I am pleased to share with you the final narrative and financial reports for the "Establishing an Integrated Citizen Security Policy in Guatemala" (POLSEC) project.

After decades of authoritarian rule and state violence in Guatemala, state and community leaders feared democratization would result in a period of crime and delinquency. The Project aimed to address these concerns by encouraging civil society organizations and state institutions to jointly generate a citizen security policy. The Project succeeded in becoming a trusted space for open dialogue as well as facilitating the renewal of effective communication between citizens and the state. Through the dedication and participation of researchers, NGO officers and representatives of various ministries, this working group's activities exceeded initial expectations. The Ministry of the Interior and other state bodies requested the group's advice on matters of citizen security and assistance in coordinating the Security Advisory Council and Civilian Intelligence General Directorate. The Project's results are sustainable in the long term because government agencies and civil society groups are noting and learning from its round table discussions, proposals and resulting publications.

The UN Foundation is most appreciative of the USAID's support of the project, and we look forward to ongoing collaboration. After you have had a chance to review these reports, please do not hesitate to contact me with any questions or concerns.

With best wishes,

Sincerely yours,

  
Melinda L. Kimble  
Senior Vice President

Enclosure: Final narrative and financial report

**UNDP OFFICE Guatemala**  
**PROJECT: Establishing an Integrated Citizen Security Policy in**  
**Guatemala (POLSEC)**  
**UNFIP project no: UDP-GUA-02-246**

**End of Project Report**  
**Presented to the United Nations Fund for International Partnerships**  
**(UNFIP)**

**INTRODUCTION:**

The state's main objective is to provide wellbeing for the population. To achieve this goal it implements two kinds of policies: development and security policies. Development policies aim at fostering the opportunities for the population to achieve increasing levels of wellbeing. Security policies are in charge of containing the threats to wellbeing.

In a society undergoing a process of democratization after decades of authoritarian governments and outrageous state violence such as Guatemala, the focus of attention of security policies shifts from the particular interests of those in control of government towards the need for protection of the individuals that make up the society, maintaining full respect to their rights as humans.

In such a context, public policy must be designed and implemented by the authorities with the PARTICIPATION of the citizens, usually represented in the form of organized civil society groups. In matters of security, this process has implied the substitution of the authoritarian concept of national security for the democratic one of CITIZEN SECURITY.

The issues of citizen security are one of the main concerns in post-armed conflict Guatemala. Organized and common crimes have increased in the country after the demise of the authoritarian governments. This situation seriously threatens the state's capacity to retain minimal levels of governance over the country, and maintains the population in a state of fear and insecurity.

To successfully confront the challenges posed by crime and delinquency the ~~Guatemalan state must engage with the citizens~~  
**CITIZEN SECURITY POLICY.**

In this respect POLSEC / UNDP set out to make a concrete contribution to the consolidation of peace in Guatemala by helping citizens to collectively build a society grounded on the rule of law and respect for human rights. This has been accomplished by becoming a research and dialogue platform that produced political consensus and technical inputs for the formulation of an integral citizen security policy in Guatemala.

The project worked based on the premise that the effective development of public policy calls for citizens to engage with state agencies to achieve consensus on needed reforms to address both short and long-term aspects of criminality and violence.

POLSEC has offered an historic opportunity to bring together academics and NGOs with expertise in violence and crime prevention with representatives of the state

institutions responsible for citizen security. The effort achieved broad consensus on how to generate the structural and policy reforms required to address the challenges related to reducing crime.

The Project succeeded in becoming a trusted space for open dialogue and creative analysis. This assured deep commitment from the participants and high levels of ownership over the conceptual framework and the specific policy proposals that were produced within the project.

POLSEC became a trusted facilitator for the strengthening and coordination of state agencies and civil society organizations dealing with citizen security. The Project was invited to coordinate important forums. Increasingly, the project was required for specialized advice in the issues of its competence. This kind of support lifted POLSEC to the status of NATIONAL REFERENT ON CITIZEN SECURITY matters. This is of special relevance in a country where institutions are still weak and the rotation of authorities remains high.

This report succinctly and candidly assesses the results of the project, proposes ways to continue the strengthening of citizen security in Guatemala, and draws conclusions to be taken as lessons learned by similar initiatives in other contexts. It starts out by presenting the main results achieved and activities carried out. In a later section it assesses the accomplishment of the results and outputs initially proposed in the Project's design document.

## **ACTIVITIES AND RESULTS:**

### **A. Results of the Working Groups**

Working Group I on the Institutional Framework for Citizen Security.

- Proposal for the regrouping of all security functions in one specific Ministry
- Proposal for the structuring and integration of the Security Advisory Council (CAS)
- Proposal for the creation of an Academy for training in security issues.
- Specific recommendations for the strengthening of the Institutional Framework for Citizen Security in Guatemala.

Working Group II on Preventive Security and Human Rights

- ~~Proposal for the strengthening of the Institutional Framework for Citizen Security~~
- Preventive security within citizen security
- Social development and public policy for preventive security and crime prevention
- Community police model for Guatemala

Working Group III on Criminal Investigation

- Proposal for the restructuring of public prosecution (Ministerio Público)
- Proposal for the operationalization of the cooperation agreements signed by the Public Prosecutor's Office and the National Civilian Police
- Statement of opinion regarding the Law on Criminal Investigation
- Statement of opinion regarding the work of the forensic laboratories

- B. Departmental (Provincial) Seminars**
- Two departmental seminars took place with workshops in Quetzaltenango, Zacapa and Chiquimula. Themes relevant to the Project were discussed as well as: Victimization, black figure, perception of justice, corruption, alternative methods for conflict solving. All discussions took place in consideration of their local level implications.
- C. Training**
- Course for the implementation and use of the New Disciplinary Regulatory Document of the National Civilian Police. The seminar was organized for over 400 higher officers and chiefs of departments of the Police, as well as the instructors of the National Civilian Police Academy.
  - Course on the "Intelligence Cycle" given to 22 officers and agents of the Information Department (SIP) of the National Civilian Police. This course was put forth in coordination with the Secretary for Strategic Analysis (SAE).
- Other Activities**
- D. Civilian Intelligence General Directorate (Dirección General de Inteligencia Civil, DIGICI)**
- Proposal for the structuring of the Civilian Intelligence General Directorate (DIGICI) produced by POLSEC
  - Participation in the High level Commission of the Ministry of the Interior for the implementation of the Peace Accords in matters of security.
  - Coordination of the sub-commission for Civilian Intelligence.
  - Generation of the law proposal for the creation of the DIGICI
  - Delivery to Congress of the law proposal for the creation of the DIGICI
- E. Security Advisory Council (Consejo Asesor de Seguridad, CAS)**
- Proposal for the structuring of the Security Advisory Council (CAS) produced by POLSEC
  - Coordination of the Preparatory Commission for the Creation of the CAS
  - Generation of a proposal for the structuring and functioning of the CAS based on previous proposals
  - Generation of a proposal of the governmental accord for the creation of the Preparatory Commission of the CAS
  - Generation of the law proposal for the regulation of the work of the CAS
  - Generation of the proposal for the regulatory document for the CAS law
- F. Intersectoral Dialogue Table on Human Rights, Justice and Security**
- Support to and coordination of work with the Intersectoral Dialogue Table on Human Rights, Justice and Security coordinated by the UNDP and the Organization of American States (OAS)
- G. Round table for the prevention of lynching**
- Support to and coordination of work with the Table for the prevention of lynching put forth by the National Commission for the Follow-up and Support to the Strengthening of Justice

## H. Center of Justice in Chiquimula

At the request of the operators of justice in Chiquimula support will be given in the following areas:

- Evaluation of the community's perception on justice administration, its operators and the institutions themselves.
- Characterization of the most common crime types experienced by the inhabitants of the departmental capital
- Characterization of the victims and perpetrators
- Estimation of the 'black figure'

## ASSESSMENT

### **1. Qualitative and analytical assessment of accomplishments for each objective and intended output as well as factors that facilitated or impeded accomplishment of the project's deliverables.**

The Project's main objective stated in its design document is: To contribute to the formulation of a consensual framework for a Citizen Security Policy with the participation of civil society organizations and state institutions.

The Project's intended outputs as posited by the design document were the following:

Generation of specific policy proposals on each of the themes analyzed in the Working Groups; strengthening of the capacity to make proposals of the actors engaged in order to enhance the quality of the proposals; setting of bases for understanding and of communication channels that facilitate the approach among actors engaged in the relevant themes; augment the commitment of the different social actors to the consensual principles agreed upon during the process of definition of a Citizen Security Policy; and the creation of an action plan, shared among the relevant actors in citizen security matters and presented to the relevant authorities.

All of these were successfully achieved through a dedicated work of facilitation, harmonization, accompaniment and follow up to the discussions that took place within the Project. Nevertheless, the Project's activities exceeded greatly its initially intended outputs allowing it to become a national referent on citizen security matters.

**POLSEC set out to work as a facilitator of intersectorial relationships on the themes of citizen security in Guatemala.** The work carried out had to do mainly with political negotiation for the reaching of consensuses. The achievements of this work are concretized in the consensual documents produced in a participative manner (which are presented below).

This notwithstanding, very important attainments in the Guatemalan context in matters of citizen security are also to be understood as measures of success for POLSEC. The creation of the Security Advisory Council, the creation of the Guatemalan Security Network, and law proposals for the creation of the Civilian Intelligence Directorate are great achievements that ensue largely as the result of the work carried out by POLSEC.

When POLSEC started its work in 2002 the government and civil society were confronted on most issues with no spaces for dialogue and communication. This polarized context was so serious that the 2002 Consultative Group for Guatemala, held in Washington D.C., invited the United Nations System in Guatemala and the Organization of American States to conform Intersectorial Dialogue Tables on the main issues dealt with in the Peace Accords to try to restore the severed channels of communication.

The Intersectorial Dialogue Table in charge of citizen security was also engaged in dealing with the large themes of justice and human rights. Its relative lack of focus and the difficulties it encountered in bringing together the main actors did not allow it to become the trusted space that POLSEC achieved in becoming and wasn't able to continue its work.

To be able to make significant progress in citizen security matters within such a context it was necessary that the Project should be seen and understood as a totally impartial space for the relevant actors to meet. It was decided by the coordinators of the Project ~~that the themes should be dealt with in a technical manner. For this the Project developed and presented a conceptual framework on which to build on the discussions that ensued.~~

Over 30 institutions were visited and invited to participate in the Project. Those who decided to become a part of the initiative formed a 'project group' which was the highest body in charge of sanctioning the final documents and taking consensual decisions about the activities of the Project.

The first negotiation task to be dealt with was the structuring of the research agenda to be followed by the Working Groups. Initially 22 themes were proposed to conform it, but it was possible to integrate these into 3 general themes already mentioned in the results and activities section.

Technical staff from the participating institutions partook in the Working Groups, which were moderated by a facilitator hired by the Project. The Working Groups based their discussions on research papers presented to the Groups by the participating institution which the Group itself had agreed was the strongest in the theme.

To agree on the strongest institution was the second negotiation task successfully undertaken by POLSEC. The methodological follow-up supplied by the Project, as well as the permanent effort to maintain harmony and respect in the discussions allowed for a feeling of trust to be developed by the participants in the project, and eventually ~~made the products be felt by all of them as their own, given that they were sure they had had the full opportunities to shape them.~~

Why is POLSEC a national referent? The Project was invited to coordinate important institutional spaces as the CP-CAS and the preparatory commission for the DIGICI as previously stated. This quality as a respectable actor, and the fact that state institutions, including the Ministry of the Interior, permanently required POLSEC's advice allowed the Project to rise as a national referent in matters of citizen security.

This is of special importance for the weak institutional framework for public policy in Guatemala as is illustrated by the fact that during the Project's life there have been 5 Interior Ministers, and 15 chiefs of police. All along, POLSEC accompanied the authorities in their work, providing very valuable elements for stability in the country.

## **2. Assessment of the sustainability of the project's results.**

The Project's results constitute a benchmark in participatory production of a conceptual approach to citizen security issues in Guatemala, as well as policy proposals on its main concerns. In this sense, they are to be considered as very sustainable in the medium and long term in the country because the products are being taken in consideration in the work of government agencies as well as informing civil society proposals on citizen security.

Other products, which were not explicitly sought in the Project's design such as the coordination of the Preparatory Commission of the Security Advisory Council (CAS), and the Sub-commission on Civilian Intelligence within the High Level Commission for the Fulfillment of the Peace Accords dealing with Citizen Security have produced lasting consequences.

On June 14, 2004 the first CAS was established composed of 7 active and 3 supplementary members from civil society elected by the country's President to directly advise him on these matters.

A proposal for the establishment of the Civilian Intelligence General Directorate (DIGICI) and a law proposal for its creation were presented to Congress in May 2002.

The qualification of human resources achieved through the training activities in which POLSEC engaged is hard to measure at this moment, but it has enhanced the level of preparation with which the individuals working on matters of citizen security in Guatemala do their job. This will undoubtedly have lasting consequences.

## **3. Assessment of the project design and strategy with regards to the problems the project intended to address.**

The methodology of research - based discussions especially befitted the problems engaged by the Project. The participants in the work groups generally were individuals with a good level of technical expertise in the matters being discussed. This guaranteed their appreciative valuation of a technical foundation on which to base the discussions.

The fact that POLSEC was a UNDP project conferred it with a level of credibility that the government did not enjoy.

The core project team of ~~experts~~ **experts** ~~was assembled from~~ **was assembled from** ~~the~~ **the** ~~situation of citizen security in Guatemala. A senior advisory group was assembled from~~ **among high level representatives of the participating organizations to act as a technical resource.**

Project participants included prominent national researchers, representatives of NGOs with expertise in various aspects of crime prevention and control, and governmental representatives from the Ministry of the Interior, the National Civilian Police, the Prison System, the Public Prosecutor's Office, the Public Defense Institute, National Congress, the Court System, and other Ministries and agencies with a direct or indirect role in citizen security.

Based on the content of the preliminary report, the project participants reached consensus on the core research agenda which gave way for the setting up of Working Groups to carry out the discussions on the topics.

The topics identified were:

1. The necessary institutional framework for citizen security.
2. The relationships between crime prevention and human rights.
3. Issues of criminal investigation.

Experts were assigned to each group to support its work through a scientific approach to each of the themes. Group discussions were moderated by a facilitator assigned by the Project.

The process was successful in generating the following key products:

- A conceptual framework for the analysis and discussion of citizen security issues in Guatemala from both a preventive and control perspective.
- Specific policy proposals for each of the topics set out in the research

These key products were systematized into four publications:

1. *Aproximaciones a una Política de Seguridad Ciudadana*. By Héctor Rosada - Granados. The document defines the relationship between citizen security, the justice system, and socioeconomic development policies. This was the conceptual framework used in the workgroup discussions.
2. *Institucionalidad de la Seguridad Democrática*. A diagnosis of the state institutions related to security and justice in Guatemala.
3. *Seguridad y Sistema de Administración de Justicia*. This document contains the proposals that emerged from the workgroup discussions.
4. *Derechos Humanos, Investigación Criminal y Género*. This document contains 3 research papers on the relations between citizen security, human rights and gender which informed the discussions of the groups.

This methodology allowed for the Project to be understood as a serious dialogue platform with strong research capacities that permitted the themes to be tackled in a technical manner, instead of continuing the confrontation between the government and civil society organizations.

**4. Statement of lessons learned from both an operational and substantive points of view. How could the project experiences and results be utilized / replicated on a wider basis?**

- Interventions in political processes must be as integral as possible, making sure that all relevant actors participate. In societies with low levels of institutional stability the participation of as many relevant state institutions as possible is of central importance.
- Each institution or participating actor must be approached with a specially designed strategy. Institutions are heterogeneous in terms of the work they do and the level of education and preparedness of their staff. POLSEC

encountered some difficulties at the beginning of the Project with this regard with the National Civilian Police. Once identified the obstacles were overcome.

- In societies with a strong authoritarian culture and a history of confrontational relations the use of a professional moderator of discussions is of pivotal importance for the success of debates.
- POLSEC benefited greatly from the close supervision of the research papers presented to the Working Groups carried out by its Research Coordinator. The Coordinator's high academic qualifications and extensive political capacities prevented problems to arise during the actual discussion of the proposals.
- The UNDP and other international organizations must consider planning these kinds of project with a longer time frame for its activities due to the importance they acquire in institutionally weak societies. POLSEC became a bank of accumulated knowledge not only on technical and academic matters around the issues of citizen security, but also in terms of political interrelations, as a 'social capital reserve' for the actors to gather and openly discuss the issues.
- The POLSEC experience is perfectly replicable in other similar contexts. The methodology is very appropriate for the discussion on the development of a citizen security policy to be carried out in democratizing societies. This notwithstanding the continuation and furthering of the results of such a Project naturally progress towards tackling the citizen security issues in a more specialized manner in a more localized context.

This is why a Project like POLSEC has as its natural context for action in a second phase working at provincial or municipal levels. In this regard it is very relevant to mention the fact that the participants in the Project called for the consolidation of this dialogue and research space, and the recently created Viceministry for Communal Support of the Interior Ministry has made explicit requirements to the UNDP to receive assistance from POLSEC for its work at the local level.

##### **5. Assessment of collaboration between UN agencies, other donors, NGO's, the private sector, civil society and government.**

As presented throughout the report the collaboration among different sectors of society was the essence of the work carried out by POLSEC. This has been a coordinator of intersectorial efforts in matters of citizen security that has achieved high levels of commitment and trust in generally confronted society.

There was no collaboration with other UN agencies in Guatemala given that they were not dealing with the issues of citizen security during the time of operation of the Project.