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UNCLASSIFIED

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

GUATEMALA

PROJECT PAPER

DEMOCRATIC INSTITUTIONS

AMENDMENT NUMBER 2

AID/LAC/P-880
CR-680

PROJECT NUMBER: 520-0398

UNCLASSIFIED

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE

A = Add
 C = Change
 D = Delete

Amendment Number

2

DOCUMENT CODE

3

2. COUNTRY/ENTITY

GUATEMALA

3. PROJECT NUMBER

520-0398

4. BUREAU/OFFICE

Latin America/Caribbean (LAC)

05

5. PROJECT TITLE (maximum 40 characters)

Democratic Institutions

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)

MM DD YY
 09 30 97

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

A. Initial FY 90

B. Quarter

C. Final FY 96

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

A. FUNDING SOURCE	FIRST FY 90			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total	209	391	600	2,731	5,269	8,000
(Grant)	(209)	(391)	(600)	(2,731)	(5,269)	(8,000)
(Loan)	()	()	()	()	()	()
Other U.S.	1.					
	2.					
Host Country					7,238	7,238
Other Donor(s) NGO Umbrella				250	250	500
TOTALS				2,981	12,757	15,738

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ESF				4,442				4,442	
(2) DA				802		2,000		3,558	
(3)									
(4)									
TOTALS				5,244		2,000		8,000	

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

11. SECONDARY PURPOSE CODE

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

A. Code

B. Amount

13. PROJECT PURPOSE (maximum 480 characters)

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

14. SCHEDULED EVALUATIONS

Interim MM YY MM YY Final MM YY
 06 97

15. SOURCE/ORIGIN OF GOODS AND SERVICES

000 941 Local Other (Specify)

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

This Amendment adds \$2 million in funding to the Project's Public Awareness and Education Component to finance NGO civic education activities.

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

Gary Byllesby, Controller

17. APPROVED BY

Signature

William Stacy Rhodes

Title

Mission Director

William Stacy Rhodes

Date Signed

MM DD YY
 05 18 97

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION

MM DD YY

PROJECT PAPER SUPPLEMENT No. 2
PROJECT 520-0398
DEMOCRATIC INSTITUTIONS

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AUTHORIZATION AMENDMENT NO. 2

Name of Country: Guatemala

Name of Project: Democratic Institutions

Number of Project: 520-0398

1. Background: Pursuant to Section 105 and Section 531 of the Foreign Assistance Act of 1961, as amended, the Democratic Institutions Project was authorized on 28 September 1990, and amended on five occasions.

2. Additional Financing: Section 1 of the Authorization is hereby amended to increase the authorized level of funding by \$2,000,000. The new authorized level of funding will not exceed EIGHT MILLION DOLLARS (\$8,000,000) in grant funds over a seven-year period from the date of authorization, subject to the availability of funds in accordance with the USAID OYB allotment process, to help finance foreign exchange and local currency costs for the Project. The planned life of project is until 30 September 1997.

3. Local Cost Financing: The paragraph under Section 3 of the Authorization titled "Source and Origin of Commodities, Nationality of Services" is hereby numbered Section 3.1. Section 3.2 titled "Local Cost Financing" is hereby added to the Authorization:

"Section 3.2. Local Cost Financing. Local cost financing, totaling \$5.3 million, is authorized only to the extent permitted by the Agency's Buy America Policy as outlined in 90 State 410442 and in HB 1B, Chapter 18. If necessary, individual waivers may be processed for procurement of goods or services which are outside the exemptions to the Buy America Policy but necessary to Project Implementation, under the criteria stated in H3 1B, Chapter 5. It has been determined that the cost of commodities of U.S. origin planned to be procured locally are reasonable, taking into account comparable delivery terms and prices from the U.S., and the implementation schedule of the Project.

4. Prior Terms and Conditions: Except as hereby amended, the Authorization as previously amended remains in full force and effect.



William Stacy Rhodes
Director

May 18, 1994

Date

DI PP Supplement: Authorization

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Clearances: EHogan, C/ODDT
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TRD 5/6/94
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EBW 5/18

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I. SUMMARY AND RECOMMENDATIONS

A. Summary of Strengthening Democratic Institutions, Civil Society and the Rule of Law Strategic Objective

The 1985 Constitution is the first in Guatemala's history that defines the predominant role of the state as that of defender and protector of the rights of individual citizens. During the eight year period since Guatemala's return to representative democracy, the three administrations to date have only tentatively assumed this new role. This is due at least in part to the series of obstacles created by decades of authoritarian rule and civil conflict. The fragility of democratic governance and the lack of a widespread, deep rooted commitment to such was most recently illustrated by the events of May 1993 when the elected civilian president attempted to suspend constitutional guarantees and rule by decree. Although this attempt to reverse the gains of democratic consolidation was unsuccessful, the fact that there were pockets of support for this action and tolerance or indifference by others was a stark reminder that Guatemala has a long way to go before democratic traditions can be viewed as a cultural norm.

From 1986 to present, the Mission has assisted democratic institutions with technical assistance, commodities, field office strengthening, diagnostic studies, and training. While some progress has been made during this period, serious systemic flaws remain and human rights abuses continue. Institutions are extremely fragile and still almost totally dependent on individual leadership rather than institutional fortitude. International donor support has increasingly become linked to this leadership and the GOG's performance in protecting the basic human rights of its citizens.

In areas where the Guatemalan public and private sectors illustrate clear support to the legal and institutional reforms required to advance democracy, the Mission continues to finance activities designed to develop institutions and promote civic participation in governance. The Mission, however, will not take a public lead in pushing such democratic reforms and measures, but will strongly support those activities, institutions and processes for which an effective commitment has been demonstrated by Guatemalans.

The Mission's Strategic Objective is the "**Strengthening Democratic Institutions, Civil Society and the Rule of Law**". This strategy is pursued through projects that provide support in three

areas deemed critical to democratic development in Guatemala: 1) **Increasing access to due process under the law** -through support to programs of the Office of the Human Rights Ombudsman [OHRO] and to the Judicial Branch and Universities in the reform of the criminal procedures code; 2) **Promoting individual free expression and participation** -through civic and human rights education with the OHRO and Centro ESTNA; and 3) **Building public confidence and support for key democratic institutions and processes** -through institutional strengthening of the Judiciary, the OHRO and the Supreme Electoral Tribunal.

As is described in this Project Paper Supplement, the Democratic Institutions project proposes to expand and diversify efforts in the second area noted above, by promoting greater citizen participation through civic sector institutions.

B. Summary Project Description/Strategy

The goal of the project is to strengthen the commitment by the people and Government of Guatemala (GOG) to democracy. The purpose of the project is to institutionalize specific democratic processes in Guatemala. Both the goal and the purpose of the project remain unchanged under this current Project Paper Supplement (PPS). Activities financed under this PPS will result in an increased emphasis on the element which targets improving public knowledge and attitudes regarding rights/responsibilities and democratic values/practices.

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

The Project, as originally designed, lays out a strategic approach to working with each institution. The underlying assumption at the time of the design was that as each of these processes evolved, certain modifications would be required in the structure of the assistance. One institution would possibly emerge as a stronger performer and thus require increased support whereas another might clearly demonstrate less absorptive capacity for external resources. This concept of a "rolling design" was

considered most appropriate for the democratic initiatives area, based on previous experience as well as the Mission's uncertain funding levels.

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

A clear example of this flexible focusing of resources is delineated in this and the first Project Paper Supplement. In the first supplement, funds originally programmed to support the Guatemalan Congress were moved to support the nationwide human rights education program of the Office of the Human Rights Ombudsman (OHRO). As documented in the previous PPS, the rationale for this shift was based on the Mission's assessment of the limited absorptive capacity of the Congress at that time, coupled with the expanding outreach efforts of the OHRO which merited increased support.

Another adjustment was made in 1993 through an Action Memorandum which allowed us to reprogram \$500,000 to support civic and voter education activities to be implemented through NGOs. With this adjustment we were then able to issue an RFA soliciting proposals from USPVOs for short term, pilot activities. Two initiatives, described later in this supplement, resulted from this competitive selection process and are now underway.

This PPS is yet another example of the flexible nature of the project. In essence, this PPS proposes an increase in overall funding in order to expand support for grass roots civic, legal and voter education activities targeted to a wide sector of society, but principally the rural indigenous, through local non-governmental organizations. The rationale: following the short lived suspension of constitutional order in May 1993 and the poor turnout in critical local elections in January 1994, it became apparent that the general population is not yet knowledgeable about their rights and responsibilities under a democratic government. Apathy is linked to a feeling of political impotence, yet only through active engagement in the political process will citizens be able to ensure that local and national policies reflect their interests. This strategy supplement is intended to deal with this

problem head on through a concerted effort to engage citizens in the democratic process through local, civic organizations that can reach people "where they live".

It is important to note that only recently have local institutions emerged (or re-emerged) that are willing to organize and become actively involved in the political life of Guatemala. In the recent past, groups representing civil society have often been the targets of threats, intimidation and violence. Many leaders fled the country and others ceased their activities. Meaningful political participation at the grass roots level was actively discouraged. But the events of May 1993 when President Serrano suspended constitutional guarantees and instilled himself with absolute power provoked a strong, coordinated reaction by civil sectors, creating a turning point in this country's political history. For the first time in many years local groups publicly took a stance against a "coup" and demonstrated their support for the maintenance of constitutional order. The public declarations of commitment to democracy and the actions of these groups were key to the return to constitutional democratic order and the installation of a new President.

The Mission wants to build on this momentum of citizen activism by strengthening these civic sector groups that are just beginning to feel their power as advocates that can represent popular views on this country's political future, and, secondly, provide them the seed funds necessary to launch innovative outreach efforts to provide ever larger numbers of citizens opportunities for meaningful engagement in their nation's civic life.

The thrust of the Mission's efforts is to promote participation by all citizens at all levels of society, although special emphasis will be given to reaching the rural indigenous population. Our role will be to support local, non-governmental organizations in their efforts to design, implement and evaluate participatory civic education activities through training, technical assistance and seed funding. Toward this end, we are proposing an increase of \$2 million for the Democratic Institutions project for the purposes described herein, raising the life-of-project funding to \$8 million.

C. FUNDING SCENARIO

As mentioned above, this PPS increases funding in the area of non-formal education activities. The current mortgage is 2,756,000

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and all active project agreements are fully funded. It is recommended that an increase of \$2,000,000.00 be authorized for this project, for a total of \$8,000,000.00. This funding scenario assumes the availability of ESF in FY 95. The RFA and cooperative agreement will be designed in such a way that if less funding is available than expected, activities can be carried out with a reduced scope. It is expected that at least \$1.5 million in Development Assistance will be available for this amendment over the next three fiscal years. The tables below outlines the current obligation plan, the revisions to that plan presented in this document, and obligations-to-date as well as those planned in the remainder of FY 94 and in FYs 95 and 96.

ELEMENT	CURRENT LOP PLAN	CHANGE	REVISED LOP PLAN	MORTGAGE After PPS
Congress	377,000		377,000	0
Civic Education				
● OHRO	2,646,050		2,646,050	0
● ESTNA	963,213		963,213	0
● NGO Activities	500,000	2,000,000	2,500,000	2,198,000
Indicators Monitoring	481,964		481,964	209,685
Administration	900,000		900,000	348,315
Election Activities	131,773		131,773	
TOTAL	6,000,000	2,000,000	8,000,000	2,756,000

* Evaluation and audit line items are included or will be included in each agreement.

Obligation Plan

	FY94	FY95	FY96	TOTAL
NGO Activities	920,000	712,685	565,315	2,198,000
DIMS		100,000	109,685	209,685
Admin.		148,315	200,000	348,315
TOTAL	920,000	961,000	875,000	2,756,000

Approximately \$1,500,000 will be expended as local currency and \$500,000 as foreign exchange under this amendment.

D. PROJECT ASSISTANCE COMPLETION DATE

The Project Assistance Completion Date established in the first PPS, September 30, 1997 provides sufficient time to carry out project activities as currently projected and will not be amended at this time.

II. BACKGROUND

A. Status of Component Three: Public Awareness and Education

i. Background on current approved activities:

The human rights education activity and the involvement of public and private sector opinion leaders in discourse on issues related to development and democracy under this component have proceeded largely according to the schedule and program described in the Project Paper and the first PPS. The first PPS describes the process which led to the elimination of the formal education activities under this component and the expansion of non-formal civic education activities carried out by the Office of the Human Rights Ombudsman.

The project budget was modified again after the restoration of constitutional order to reprogram \$500,000 (within original LOP funding levels and goals and objectives) to finance NGO civic and voter education activities, principally pilot activities with Americas' Development Foundation (ADF) and the YMCA. These activities include both public awareness efforts and strengthening of local civic groups. However, given the minimal resources dedicated to this component, its relatively short duration and

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limited geographic scope, these activities can not be expected to have a nationwide impact. This PPS proposes to build on the experience of the pilot activities, described below, applying lessons learned from these initial pilots to an expanded effort reaching a larger, more diverse audience made up primarily of the rural indigenous population.

Following is a brief description of each of the efforts related to citizen education currently funded under the Democratic Institutions and Guatemalan Peace Scholarship Projects:

1) **Office of the Human Rights Ombudsman**

When USAID initially became involved in supporting democratic initiatives in 1986, the only viable organization willing to support educational activities in this area was the Office of the Human Rights Ombudsman. While the OHRO has reached large numbers of people with their short term non-formal education seminars, they are largely intended to provide critical information on human rights and the role of the OHRO in protecting those rights, they are not designed to organize communities and groups to mobilize themselves for political participation. The OHRO's educational activities have been "non-formal" in nature, but have not used the most innovative or state-of-the art methodologies to reach the traditionally disenfranchised in Guatemala: indigenous, illiterates and women.

2) **Centro Estna**

USAID has also supported the efforts of the Center for National Stability, ESTNA, for their annual eight month course. The course is multi-sectorial, encompassing almost all elements of society, including: military officers, union leaders, university leaders, indigenous leaders, business leaders, political leaders, social scientists, etc. ESTNA provides a forum for the diverse and traditionally antagonistic sectors to discuss issues of national importance in a constructive environment that promotes tolerance. Most participants are high level leaders in Guatemala City based institutions.

3) **Supreme Electoral Tribunal**

Through the Guatemalan Peace Scholarship Program, USAID is strengthening the Supreme Electoral Tribunal's (SET) efforts

in voter and civic education. USAID is providing training to 125 SET delegates in leadership development, democratic development and civic education. The program consists of an intensive 6 week program in the U.S. followed up by workshops in Guatemala over a two year period. With USAID assistance the SET is working on a curricular guide and other materials to facilitate this process of institutional change that will allow community-based personnel to undertake a more proactive role at the local level through innovative outreach activities. The project's main limitation is the number of delegates that will be trained.

4) **America's Development Foundation**

ADF will be implementing a pilot non-formal civic education project that will reach a wide range of sectors, including educated urban-based citizens, monolingual Mayan language speakers, illiterates and those living in rural and urban outlying areas. The project will encourage citizens to participate in the political, economical and social life of Guatemala through active, participatory democratic processes. The project will carry out workshops and other training activities for local NGOs and community based organizations on the fundamentals of direct action organizing for social change and on the production and dissemination of civic education materials to mobilize citizen participation. The project will begin by assessing Guatemalan society's needs and capabilities in the area of civic education and compiling an inventory of local NGOs with a mandate for civic education. ADF will carry out these initiatives with the collaboration of other influential local and regional organizations, such as Association for Social Studies and Research (ASIES), the Training Center for Social Promoters (CAPS) of Landivar University, Participa/Chile and the Center for Democracy/Panama. The project is scheduled to begin in May 1994.

5) **The YMCA**

The YMCA (of the USA and Guatemala) will undertake a civic education project in several regions of Guatemala based on the principles of democracy and civic participation. The YMCA will work largely through its established network and will cooperate with a wide variety of local NGOs, universities and public sector organizations. The YMCA program will work with children, youth and adults, implementing participatory methodologies appropriate for each group. Democratic principles, human rights, justice, peace, strengthening of civil society and methodologies of cooperation and working together will be the principal themes of this project. The project is scheduled to begin in June 1994 and will reach approximately 20,000 people over an 18 month period.

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These last two agreements will represent a pilot effort that will offer valuable lessons learned in non-formal, adult learning methodologies that can be factored into the follow-on activities to be supported through the second phase of program expansion, described in this PPS, designed to reach larger, more diverse audiences made up primarily of the rural indigenous.

ii. Background/rationale for proposed activity:

In May of last year President Serrano suspended key constitutional guarantees and dissolved the legislature, the supreme court and the constitutional court. He concentrated all power in the Executive and began to rule by decree. International and local condemnation was swift and definitive. The "dissolved" institutions defied Serrano's orders and attempted to continue functioning. The press fought attempts at censorship. The Constitutional order was restored in only a few weeks after the initial coup. Popular groups aligned with the business and university communities to assert pressure on the government for an immediate return to democracy. To everyone's great surprise, this popular effort was successful. Full democracy was restored through a peaceful process, a first in Guatemalan history.

The events of last May, while encouraging in many aspects, gave a startling reminder of how fragile Guatemalan democracy and its institutions still are. The strong local reaction to this Presidential "coup" and the quick restoration of constitutional law did demonstrate, however, that the previous eight years had indeed had some impact on people's attitudes towards democracy. Urban professional groups, unions, university groups, PVOs, the press, the Catholic Church and others ("civil society") were largely responsible for the quick restoration of democracy. While their reaction was effective, it was a process that only a small percentage of the population participated in. It was, by and large, an urban based movement of the educated. Poor rural Guatemalans were largely spectators in this process, not understanding the implications of the political movement or opining in the process. The Guatemalan army, for the first time in recent history, opted to support the Constitution rather than the President, after witnessing the discontent, opposition and open rebellion that followed the short-lived suspension of democracy.

The newly installed President, in an attempt to get at the root causes of government corruption and ineffectiveness, convoked a national referendum that included several key constitutional reforms (including elections for a new Congress and Supreme Court and reform of the political party laws). The "referendum" was held in January of this year and even more dramatically illustrated the small numbers of people willing to participate in the political process. Only 15% of registered voters turned out on a national level. The rate of abstention was even higher outside of the capital city. There was little understanding on the part of the

general public of the content of the reforms or their importance to them.

What these events clearly illustrate is that for a majority of Guatemalans, the democratic process has yet to make a significant difference in their lives. Many citizens still do not understand what democratic governance entails nor how it affects their economic or political future. While certain segments of society, mainly the urban educated and working classes, have had a taste of participatory democracy and what it can mean for them, there are still vast segments of society that remain politically disenfranchised due to lack of education, limited opportunities to become involved, or out of fear of the real and perceived risks that have been associated with political activism in this country's not-too-distant past. The activities described in this PP supplement are designed to tackle these issues through innovative, participatory approaches to citizen education and participation, with a special emphasis on hard-to-reach audiences such as the rural indigenous and women.

III. AMENDMENT DESCRIPTION

A. Rationale/Relationship to Strategic Objective

The civic, legal and voter education activities proposed under this second Project Paper Supplement represent a major and timely contribution to the strategic objective of "Strengthening Democratic Institutions, Civil Society and the Rule of Law". The relationship between increased support for civic education and the strategic objective is clear: the lack of understanding by the general populace of their rights and responsibilities under a democratic government, their unwillingness to participate in democratic elections and in the political process at the local and national level, and their lack of understanding of democratic governance are major constraints to the consolidation of democratic norms. Education efforts will contribute to creating a well-informed public that can responsibly exercise their rights and demand that their national institutions fairly represent their interests.

Certain key democratic institutions (most notably the Congress and Supreme Court) have functioned for the last eight years and not responded to the needs and concerns of the population in general. Key institutions are perceived as ineffective, corrupt and self-serving. In the context of the strategic objective, it is important to note a Mission strategy for the achievement of the objectives of this project: contributing to institutional change and representativity can be accomplished not only through institutional strengthening but also by educating citizens in order to demand change from the outside and becoming constructively (and legally) involved in the process when it does not produce the expected results.

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The crisis of credibility of democratic institutions can be resolved through citizen participation both in conscientiously choosing their representatives and knowing what to expect and demand from their institutions. The new civic, legal and voter education activities to be supported by this PPS will contribute significantly to the strategic objective of democratic consolidation by complementing efforts underway to strengthen key government institutions with an equally intensive effort of strengthening civic sector groups which now have the political space to pick up where government institutions have left off.

B. Revisions to Component Three: Public Awareness and Education

Additional funding under this PPS will allow USAID to support activities that will increase the access of local groups interested in promoting participation in democratic processes, providing information on the roles and responsibilities of democratic government and civic entities, and increasing awareness of citizens' civic rights and responsibilities. These activities will be an important complement to the Project's other public awareness initiatives now being carried out by the Office of the Human Rights Ombudsman, Centro ESTNA, ADF and YMCA.

The current interest in and demand for a more responsive government and increased citizen participation in the political system merits the proposed increase of \$2.0 million to support an umbrella grant mechanism that local NGOs can access in order to: a) support innovative, locally-based civic, legal and voter education activities designed to engender participation by citizens in Guatemalan political life, and b) provide training and technical assistance to equip these fledgling NGOs with the tools to carry out their pilot activities and sustain such efforts beyond the life of project.

In addition, approximately \$200,000 will be reserved for assistance targeted specifically at efforts in the area of voter education for the 1995 general elections, in the event that an opportunity for such an effort presents itself that would not otherwise fit within the framework of the umbrella grant.

1. Umbrella Grant

The Mission will request proposals to manage an umbrella grant for these activities from U.S. based PVOs that have a demonstrated track record in civic education, training, institutional strengthening and grant management. The organization managing the umbrella grant would be responsible for the administration of funds, and in conjunction with USAID, would select promising indigenous PVOs to be the recipients of small grants to support pilot civic, legal and voter education activities. In addition, the umbrella PVO will determine technical assistance needs of local NGOs and design and implement specific technical assistance and/or

training interventions either directly or through sub-contracts if necessary.

Shortly after the approval of this PPS, we will issue a Request for Application (RFA) that will be sent to a list of eligible US PVOs, drawn primarily from the roster of registered PVOs maintained by USAID/W. We have decided to limit competition to US based PVOs (rather than including local NGOs in the competition) for two reasons: first, we know of no local NGO that is currently in a position to successfully compete against international PVOs in designing and managing a complex project in a relatively new area for this country's NGO sector, and secondly, by working through a US PVO, we hope to access international expertise not currently available in Guatemala, allowing for the cross fertilization of ideas and strategies employed in other countries or regions where a US PVO might have developed previous experience in the area of non-formal, civic education.

The PVO umbrella will be responsible for:

- o managing all aspects of the sub-grant selection process including the drafting of selection criteria, solicitation of proposals, coordination of and participation in the review process, providing feedback and technical assistance to prospective grantees, selecting sub-grantees in conjunction with USAID's Selection Committee, and documenting committee recommendations;
- o providing training to sub-grantees and potential sub-grantees to strengthen their institutional capacity to design, manage and implement innovative civic education projects;
- o monitoring the delivery of goods and services financed under the project; and
- o financial and project reporting.

The PVO umbrella will be selected on the basis of its written proposal, its past experience working in the field of civic education, a demonstrated capacity to manage human and financial resources, and the qualifications of the key personnel proposed to manage the project. A more detailed list of selection criteria and relative weight for each criterion will be fully elaborated in the RFA.

The PVO umbrella will need to be certified under the USAID registration procedure for PVOs. Funds will be provided to the PVO umbrella through a Federal Reserve Letter of Credit. Audits will be

carried out in the U.S. under provisions of OMB A-133, the Single Audit Act. Therefore, no funds are specifically set aside under this project for audits of the umbrella organization. Any sub-grantee or direct grantee (under the \$200,000 set aside from already authorized funds) receiving more than \$100,000 in a given year will be audited under the terms of the Recipient Contracted Audit Program and funds for such audits will be included in individual grants. If subgrants are under \$100,000 per year no audit will be required and funds can be reprogrammed.

The PVO umbrella will have to provide a minimum of 25% counterpart funding. Counterpart funding will be one of the criteria rated during the proposal review process.

2. Sub-Grant Criteria

Sub grants will be provided to support new and innovative strategies for engaging a variety of audiences in civic education activities designed to meet their special interests and needs. USAID funds are not intended to supplement recurring costs or operational expenses of participating NGOs. Although some administrative costs can be covered under the sub-grants, assistance is intended to support the creation or expansion of new, experimental activities that will have a demonstration effect.

The umbrella grantee will solicit proposals from local NGOs for innovative projects that meet a predetermined list of criteria to be further developed by the umbrella PVO in consultation with USAID, including, but not limited to such criteria as:

- o Has the capacity to manage a grant of the size it is requesting,
- o Has a demonstrated track record in the area, or is able to show real potential for the successful implementation of the proposed activity,
- o Has a qualified staff to carry out the proposed activities,
- o Promotes innovative, state-of-the-art learning methodologies,
- o Demonstrates understanding of the special interests and needs of the target audience it seeks to reach,
- o Proposes innovative strategies for reaching priority audiences, i.e. rural indigenous, women, youth, etc.
- o Seeks to include project beneficiaries in the planning, design, implementation, monitoring and evaluation of project activities

Before a sub-grant is awarded to a local NGO, the umbrella organization will make an initial assessment of the management and administrative capacity of the potential sub-grantee to identify weaknesses and areas where further training might be needed. Once an award is made, the PVO umbrella will provide training and technical assistance to the sub-grantee to strengthen their project management skills, financial administration and overall institutional capacity to implement project activities.

3. Illustrative List of Potential Sub-Grantees

The following locally based NGOs have demonstrated an interest in and commitment to working in this area. This list is only illustrative of the number and diversity of institutions interested in working in civic, legal and voter education and is not a list of those institutions the Mission will necessarily be supporting under this grant.

1. Myrna Mack Foundation
2. Archbishop's Human Right Office
3. Asociacion Amigos del Pais
4. Fundacion Para la Paz, la Democracia y el Desarrollo
5. Instituto Pro-Democracia y Desarrollo
6. Asociacion de Investigacion y Estudios Sociales (ASIES)
7. Fundacion para el Desarrollo de Guatemala (FUNDESA)
8. Centro para la Defensa de la Constitucion (CEDECON)
9. Instituto Atanasio Tzul
10. Instituto de Relaciones Internacionales y de Investigacion para la Paz (IRIPAZ)
11. Universidad Rafael Landivar/Centro de Adiestramiento de Promotores Sociales (CAPS)
12. Centro de Investigaciones Economicas Nacionales (CIEN)
13. Consejo de Comunidades Etnicas Runujel Junam (CERJ)
14. Grupo de Apoyo Mutuo (GAM)
15. Vicente Menchu Foundation

IV. Monitoring and Evaluation

The monitoring and evaluation system for the strategic objective, "Strengthening Democratic Institutions, Civil Society and the Rule of Law", is proceeding on schedule. The first nationwide survey under the Democratic Indicators Monitoring System has been carried out and the final report submitted. The Mission now has baseline information and targets have been set for most indicators, both under the DIMS and using other institutional monitoring mechanisms.

The Democratic Indicators Monitoring System (DIMS) has proved a valuable tool for the Mission in the design of this PPS as it has provided key information regarding Guatemalan's values and attitudes on democracy and political participation. Weak points identified by the DIMS will be targeted as priorities in civic, voter and legal education activities under this PPS.

The agreement with the USPVO umbrella will require them to monitor and evaluate not only project progress, but the attitudes of participants in project activities to provide a direct comparison to national attitudes as measured by the DIMS.

PROJECT PAPER SUPPLEMENT
 PROJECT 520-0398
 DEMOCRATIC INSTITUTIONS
 PAGE 16 OF 18

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

LINE ITEM	A.I.D. (US\$)	COUNTERPART (US\$)	
1. <u>Election Systems Support</u>			
	75,000	-0-	
	<u>57,000</u>	<u>42,000</u>	Center for Democracy
Subtotal	132,000	42,000	FUNDESA
2. <u>Congress</u>			
		10,000	
Consortium for Leg. Dev. Congress/ASIES	152,000	200,000	Consortium Novadora staff Services
	<u>225,000</u>	<u>50,000</u>	Technical Support Unit (ASIES)
Subtotal	377,000	260,000	. Budget support from Congress . Liaison committee technical contributions
3. <u>Office of Human Rights Ombudsman - OHRD (1991-97)</u>			
	1,146,050	1,480,000	. Previously committed
	0	600,000	. Staff services
	1,485,000	200,000	. Logistics support for training events
	0	100,000	. Transportation costs
	<u>15,000</u>	<u>100,000</u>	. Administrative expenses
Subtotal	2,646,000	2,480,000	
4. <u>Centro ESTNA</u>			
	117,000	-0-	
	<u>846,000</u>	<u>4,456,000</u>	Congressional
Subtotal	963,000	4,456,000	Annual Seminars (1991-95)
5. <u>Dem. Indicators Monitoring</u>	482,000	-0-	
6. <u>NGO Activities</u>	2,530,000	632,500	
7. <u>Administration</u>	<u>870,000</u>	<u>-0-</u>	
TOTAL	\$8,000,000	\$7,870,500	

Table No.2
 DEMOCRATIC INSTITUTIONS
 Project 520-0398
 PP Supplement II
 Illustrative Budget
 USAID/G-CAP Contribution
 by Implementing Institutions
 US\$

Institution	Year 1 FY(1995)	Year 2 FY(1996)	Year 3 FY(1997)	Total
<u>USPVO</u>				
Program Director	45,000	47,250	49,612	141,863
Administrative Support	18,900	19,845	22,573	61,319
Administrative Expenses	103,100	108,255	113,601	324,956
Overhead	45,000	47,250	49,612	141,863
Sub-total	212,000	222,600	235,399	670,000
<u>NGOs</u>				
Sub-agreements	150,000	450,000	600,000	1,200,000
Audit of sub-grantees		50,000	50,000	100,000
Contingencies	10,000	10,000	10,000	30,000
Total	372,000	732,600	895,399	2,000,000

NOTES:

Exchange rate: Q5.82 = \$1.00

\$44,000/year + 25% fringe benefits + 5% escalation
 2 FSN grade 8: assistant, accountant + severance.
 Int'l allowances, office rent and supplies.
 100% over salary.

3,9,12, \$50,000 each.

If finally not needed, can be reprogrammed.

To be reprogrammed as needed, \$2,000,000 * 1.5%

h.

TABLE 3
PROJECT PAPER SUPPLEMENT
PROJECT 520-0398
DEMOCRATIC INSTITUTIONS
METHODS OF IMPLEMENTATION AND FINANCING
(\$000's)

Line Item	Implementation Method	Financing Method	Amount
PUBLIC EDUCATION			
NGO Activities/ Civic Education	USPVO Umbrella Grant	Federal Reserve Letter of Credit	2,000

UNCLAS AIDAC SECSTATE 102888

ACTION: AID-1
INFO: ECON-1 DCM-1 AMB-1 TOTAL-3

DISTRIBUTION: AID
CHARGE: AID

VZCZCGTO605
RR RUEHGT
DE RUEHC #2888 1090840
ZNR UUUUU ZZH
R 190839Z APR 94
FM SECSTATE WASHDC
TO AMEMBASSY GUATEMALA 8861
BT
UNCLAS STATE 102888

AIDAC FOR USAID

E.O. 12356: N/A

TAGS:

SUBJECT: GUATEMALA NAD - STRENGTHENING DEMOCRATIC
INSTITUTIONS AMENDMENT, 520-0398

REF(A) STATE 049093 (B) STATE 311499

1. LAC/DR APPROVES THE SUBJECT NEW ACTIVITY DESCRIPTION TO EXPAND THE CIVIC EDUCATION SUB-COMPONENT OF THE ON-GOING STRENGTHENING DEMOCRATIC INSTITUTIONS PROJECT, 520-0398. THE MISSION MAY NOW PROCEED WITH AMENDMENT DOCUMENTATION.

2. THE MISSION NEED NOT SUBMIT A CONGRESSIONAL NOTIFICATION AS THIS AMENDMENT DOES NOT INCREASE LOP FUNDING BY \$5 MILLION NOR ADD A NEW PROJECT COMPONENT NOT INCLUDED IN A PREVIOUS NOTIFICATION (THE ORIGINAL NOTIFICATION DISCUSSED A CIVIC EDUCATION AND ACCOUNTABILITY COMPONENT). THE MISSION HAS ALREADY SUBMITTED A TN COVERING THE INCREASE IN FUNDING FOR THIS ACTIVITY IN FY 1994. THIS TN EXPIRED 21 FEBRUARY 1994 AS INDICATED IN REF(A).

3. IN REVIEWING A NUMBER OF ISSUES RELATED TO THE SUBJECT NAD, THE FOLLOWING TWO POINTS WERE MADE BY LAC/DI WHICH THE MISSION MAY WISH TO CONSIDER INCORPORATING INTO THE RFP DESIGN.

A. A. ENDURING DEMOCRATIC PRACTICES. LAC/DI APPLAUDS THE MISSION'S AIM TO FOSTER MEANINGFUL CITIZEN PARTICIPATION AT LOCAL, GRASSROOTS LEVELS, WITH PARTICULAR EMPHASIS ON THE RURAL POOR, INDIGENOUS MAYAN, YOUTH AND

ACTION	
USAID	
PDSO	
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ODDT	
DUE DATE	
04-26-94	
ACTION TAKEN	
(Date/initials)	

UNCLAS AIDAC SECSTATE 102888

WOMEN POPULATIONS. SOME OF THE BEST CIVIC EDUCATION ACTIVITIES UNDER THIS COMPONENT COULD WELL BE THOSE THAT DEAL WITH COMMUNITY PROBLEMS THAT AFFECT THE EVERYDAY LIFE OF GUATEMALANS. THIS WOULD COMMONLY INCLUDE COMMUNITY AND NATIONAL PROBLEMS IN OTHER DEVELOPMENTAL AREAS, SUCH AS THE ENVIRONMENT AND NATURAL RESOURCES, PUBLIC HEALTH, SUSTAINABLE AGRICULTURE, FAMILY PLANNING, AND FORMAL EDUCATION. THERE COULD BE BENEFICIAL LINKAGES--SAY, IN MATERIALS DEVELOPMENT, THE USE OF MEDIA, AND/OR LEARNING METHODOLOGIES--BETWEEN THIS CIVIC EDUCATION WORK AND THE MISSION'S EFFORTS IN FORMAL, BASIC EDUCATION. THERE IS A PLETHORA OF DEMOCRATIC NOTIONS AND PRACTICES THAT NEED CONTINUAL NURTURING AND CARE BEYOND THOSE DIRECTLY DEALING WITH FORMAL ELECTIONS AND REFERENDA.

B. EVALUATION. THERE IS A WORLDWIDE DEARTH OF INFORMATION ABOUT WHAT REALLY WORKS WITH RESPECT TO CHANGING ATTITUDES, BEHAVIORS AND PRACTICES ABOUT DEMOCRACY, AND HOW TO MEASURE THE EFFECTIVENESS OF DEMOCRACY EDUCATION AND CITIZEN PARTICIPATION PROGRAMS. LAC ENCOURAGES THE MISSION TO INCORPORATE SPECIAL EFFORTS TO MEASURE EFFECTIVENESS OF VARIOUS PILOT EFFORTS, REPORT ON SUCCESSES, AND MORE BROADLY SHARE ITS EXPERIENCES AND INSIGHTS ON THESE MATTERS AS THE CIVIC EDUCATION COMPONENT IS IMPLEMENTED.

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PROG

GUATEMALA - 1994

5C(1) - COUNTRY CHECKLIST

Listed below are statutory criteria applicable to the eligibility of countries to receive the following categories of assistance: (A) both Development Assistance and Economic Support Funds; (B) Development Assistance funds only; or (C) Economic Support Funds only.

A. COUNTRY ELIGIBILITY CRITERIA APPLICABLE TO BOTH DEVELOPMENT ASSISTANCE AND ECONOMIC SUPPORT FUND ASSISTANCE

1. Narcotics Certification

(FAA Sec. 490): (This provision applies to assistance provided by grant, sale, loan, lease, credit, guaranty, or insurance, except assistance relating to international narcotics control, disaster and refugee relief assistance, narcotics related assistance, or the provision of food (including the monetization of food) or medicine, and the provision of non-agricultural commodities under P.L. 480. This provision also does not apply to assistance for child survival and AIDS programs which can, under Section 522 of the FY 1994 Appropriations Act, be made available notwithstanding any provision of law that restricts assistance to foreign countries.) If the recipient is a "major illicit drug producing country" (defined as a country producing during a fiscal year at least five metric tons of opium or 500 metric tons of coca or marijuana) or a "major drug-transit country" (defined as a country that is a significant direct source of illicit drugs significantly affecting the United States, through which such drugs are transported, or through which significant sums of drug-related profits are laundered with the knowledge or complicity of the government):

(a) has the President in the April 1 International Narcotics Control Strategy Report (INSCR) determined and certified to the Congress (without Congressional enactment, within 45 calendar days, of a resolution disapproving such a certification), that (a) during the previous year the country has cooperated fully with the United States or **Yes.**

taken adequate steps on its own to satisfy the goals and objectives established by the U.N. Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, or that (b) the vital national interests of the United States require the provision of such assistance?

(b) with regard to a major illicit drug producing or drug-transit country for which the President has not certified on April 1, has the President determined and certified to Congress on any other date (with enactment by Congress of a resolution approving such certification) that the vital national interests of the United States require the provision of assistance, and has also certified that (a) the country has undergone a fundamental change in government, or (b) there has been a fundamental change in the conditions that were the reason why the President had not made a "fully cooperating" certification.

Not applicable.

2. **Indebtedness to U.S. citizens** (FAA Sec. 620(c): If assistance is to a government, is the government indebted to any U.S. citizen for goods or services furnished or ordered where: (a) such citizen has exhausted available legal remedies, (b) the debt is not denied or contested by such government, or (c) the indebtedness arises under an unconditional guaranty of payment given by such government or controlled entity?

No.

3. **Seizure of U.S. Property** (FAA Sec. 620(e)(1)): If assistance is to a government, has it (including any government agencies or subdivisions) taken any action which has the effect of nationalizing, expropriating, or otherwise seizing ownership or control of property of U.S. citizens or entities beneficially owned by them without taking steps to discharge its obligations toward such citizens or entities?

No.

4. **Communist countries** (FAA Secs. 620(a), 620(f), 620D; FY 1994 Appropriations Act Secs. 507, 523): Is recipient country a Communist country? If so, has the President: (a) determined that assistance to the country is vital to the security of the United States, that the recipient country is not controlled by the international Communist conspiracy, and

No, the recipient country is not a Communist country.

that such assistance will further promote the independence of the recipient country from international communism, or (b) removed a country from applicable restrictions on assistance to communist countries upon a determination and report to Congress that such action is important to the national interest of the United States? Will assistance be provided either directly or indirectly to Angola, Cambodia, Cuba, Iraq, Libya, Vietnam, Iran or Syria? Will assistance be provided to Afghanistan without a certification, or will assistance be provided inside Afghanistan through the Soviet-controlled government of Afghanistan?

5. **Mob Action (FAA Sec. 620(j)):** **No.**
Has the country permitted, or failed to take adequate measures to prevent, damage or destruction by mob action of U.S. property?

6. **OPIC Investment Guaranty (FAA Sec. 620(l)):** **No.**
Has the country failed to enter into an investment guaranty agreement with OPIC?

7. **Seizure of U.S. Fishing Vessels (FAA Sec. 620(o); Fishermen's Protective Act of 1967 (as amended) Sec. 5):** **No.**
(a) Has the country seized, or imposed any penalty or sanction against, any U.S. fishing vessel because of fishing activities in international waters? (b) If so, has any deduction required by the Fishermen's Protective Act been made?

8. **Loan Default (FAA Sec. 620(q); FY 1994 Appropriations Act Sec. 512 (Brooke Amendment)):** **No.**
(a) Has the government of the recipient country been in default for more than six months on interest or principal of any loan to the country under the FAA? (b) Has the country been in default for more than one year on interest or principal on any U.S. loan under a program for which the FY 1994 Appropriations Act appropriates funds?

9. **Military Equipment (FAA Sec 620(s)):** **Yes, taken into consideration by the Administrator at the time of approval of the 1994 OYB.**
If contemplated assistance is development loan or to come from Economic Support Fund, has the Administrator taken into account the percentage of the country's budget and amount of the country's foreign exchange or other resources spent on military equipment? (Reference may be made to the annual "Taking

Into Consideration" memo: "Yes, taken into account by the Administrator at time of approval of Agency OYB." This approval by the Administrator of the Operational Year Budget can be the basis for an affirmative answer during the fiscal year unless significant changes in circumstances occur.)

10. **Diplomatic Relations with U.S.** (FAA Sec. 620(t)): **No.** Has the country severed diplomatic relations with the United States? If so, have relations been resumed and have new bilateral assistance agreements been negotiated and entered into since such resumption?

11. **U.N. Obligations** (FAA Sec. 620(u)): **Guatemala is in arrears on the payment of obligations to the U.N. Guatemala's arrears, both in general and for purposes of Article 19 of the U.N. Charter, were taken into account by the Administrator at the time of approval of the FY 1994 OYB.** What is the payment status of the country's U.N. obligations? If the country is in arrears, were such arrearages taken into account by the A.I.D. Administrator in determining the current A.I.D. Operational Year Budget? (Reference may be made to the "Taking into Consideration" memo.)

12. **International Terrorism**

a. **Sanctuary and support** (FY 1994 Appropriations Act Sec. 529; FAA Sec. 620A): **No.** Has the country been determined by the President to: (i) grant sanctuary from prosecution to any individual or group which has committed an act of international terrorism, or (ii) otherwise support international terrorism, unless the President has waived this restriction on grounds of national security or for humanitarian reasons?

b. **Airport Security** (ISDCA of 1985 Sec. 552(b)). **No.** Has the Secretary of State determined that the country is a high terrorist threat country after the Secretary of Transportation has determined, pursuant to section 1115(e)(2) of the Federal Aviation Act of 1958, that an airport in the country does not maintain and administer effective security measures?

13. **Countries that Export Lethal Military Equipment** (FY 1994 Appropriations Act Sec. 573): **No.** Is assistance being made available to the government which provides lethal military equipment to a country the government of which the Secretary of State has determined

is a terrorist government for purposes of section 40 (d) of the Arms Export Control Act.

14. **Discrimination** (FAA Sec. 666(b)): **No.**
Does the country object, on the basis of race, religion, national origin or sex, to the presence of any officer or employee of the U.S. who is present in such country to carry out economic development programs under the FAA?

15. **Nuclear Technology** (FAA Secs. 669, 670): **No.**
Has the country, after August 3, 1977, delivered to any other country or received nuclear enrichment or reprocessing equipment, materials, or technology, without specified arrangements or safeguards, and without special certification by the President? Has it transferred a nuclear explosive device to a non-nuclear weapon state, or if such a state, either received or detonated a nuclear explosive device? If the country is a non-nuclear weapon state, has it, on or after August 8, 1985, exported (or attempted to export) illegally from the United States any material, equipment, or technology which would contribute significantly to the ability of a country to manufacture a nuclear explosive device? (FAA Sec. 620E permits a special waiver of Sec. 669 for Pakistan.)

16. **Algiers Meeting** (ISDCA of 1981, Sec. 720): **No, Guatemala did not become a member of NAM until 1982.**
Was the country represented at the Meeting of Ministers of Foreign Affairs and Heads of Delegations of the Non-Aligned Countries to the 36th General Assembly of the U.N. on Sept. 25 and 28, 1981, and did it fail to disassociate itself from the communique issued? If so, has the President taken it into account? (Reference may be made to the "Taking into Consideration" memo.)

17. **Military Coup** (FY 1994 Appropriations Act Sec. 508): **No.**
Has the duly elected Head of Government of the country been deposed by military coup or decree? If assistance has been terminated, has the President notified Congress that a democratically elected government has taken office prior to the resumption of assistance?

18. **Exploitation of Children** (FAA Sec. 116(b)): **No.**
Does the recipient government fail to take appropriate and adequate measures,

within its means, to protect children from exploitation, abuse or forced conscription into military or paramilitary services?

19. **Parking Fines** (FY 1994 Appropriations Act Sec. 574): Has the overall assistance allocation of funds for a country taken into account the requirements of this section to reduce assistance by 110 percent of the amount of unpaid parking fines owed to the District of Columbia as of September 30, 1993?

The Government of Guatemala has \$4,365 in unpaid parking fines owed to the District of Columbia as of September 30, 1993. FY 94 obligations will be reduced accordingly.

B. COUNTRY ELIGIBILITY CRITERIA APPLICABLE ONLY TO DEVELOPMENT ASSISTANCE ("DA")

1. **Human Rights Violations** (FAA Sec. 116): Has the Department of State determined that this government has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, can it be demonstrated that contemplated assistance will directly benefit the needy? No.

2. **Abortions** (FY 1994 Appropriations Act Sec. 518): Has the President certified that use of DA funds by this country would violate any of the prohibitions against use of funds to pay for the performance of abortions as a method of family planning, to motivate or coerce any person to practice abortions, to pay for the performance of involuntary sterilization as a method of family planning, to coerce or provide any financial incentive to any person to undergo sterilizations, to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning? No.

C. COUNTRY ELIGIBILITY CRITERIA APPLICABLE ONLY TO ECONOMIC SUPPORT FUNDS ("ESF")

Human Rights Violations (FAA Sec. 502B): No.
Has it been determined that the country has engaged in a consistent pattern of gross violations of internationally recognized human rights? If so, has the President found that the country made such significant improvement in its human rights record that furnishing such assistance is in the U.S. national interest?

JV
LAC/CEN:JVandDenBos:kw:1/14/94:7-9541

Clearances:

LAC/CEN:Kellis	<i>KJ</i>	<i>2/6/94</i>
LAC/SAM:AMcDonald	<i>AM</i>	<i>5/9/94</i>
LAC/DR:OCarduner	<i>OC</i>	<i>2/14/94</i>
LAC/DPP:WTate	<i>WT</i>	<i>2/4/94</i>
GC/LAC:MFittipaldi	<i>MF</i>	<i>2/10/94</i>
ARA/CEN:CHarrington	<i>CH</i>	<i>1/31/94</i>
State/IOSB:DLeis	<i>DL</i>	<i>2/4/94</i>
State/HA/BA:KLyons	<i>KL</i>	<i>5/3/94</i>
State/RP/ENA:BEpman	<i>BE</i>	<i>2/2/94</i>
State/INM:RBlau	<i>RB</i>	<i>2/2/94</i>
State/M/OFM/VTC:BDmytrewycz	<i>BD</i>	<i>2-3-94</i>

ANNEX C

LogFrame

Logical Framework for Democratic Institutions Project (520-0398)

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

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

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

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

15/1

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

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

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NARRATIVE	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
3. Initiate a public education campaign focussing on:			
a. Fostering a non-formal education program for out-of-school children and adults about their human rights, and	Citizens utilize OHRO auspices appropriately; citizens organized at the local level to practice their rights	Activity level/reports for OHRO field offices	No substantial impediments to organizing initiated
b. Providing public awareness and training for opinion leaders	ESTNA participants will become more aware of their role and power as opinion leaders and how to use that power responsibly in a democratic system	Review of course materials to insure that it meets course objectives	ESTNA participants willing to change their attitudes and ideas
	Leaders in all sectors of the Guatemalan society will be more aware of public policy issues		Leaders in all sectors of the Guatemalan society interested in public policy issues
	Sectoral leaders will be more predisposed to peaceful conflict resolution	Less violence	
c. Implementation of innovative, community based, participative civic education activities through local NGOs	Communities will become constructively/responsible active in Guatemalan political life both at the community and national level	Communities receptive to taking on more responsibility in civic life and methodologies used are effective	
4. Develop capacity to monitor indicators of democratic development, at minimum during the life of the project	A system for monitoring democratic development in Guatemala will be functioning	Project evaluations, consultant reports and project monitoring system reports	
	Statistical information will be available periodically and selectively shared		
	The USAID will be making strategic decisions based on this information and acquiring data for a summary evaluation of project activities	Regular project reviews	

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