



**Country: Guatemala**  
**Initiation plan**

**Name of project:** Conflict contention and reduction in Guatemala

**Effects expected from the country program:** Effect 2.1. Guatemalan State capacity to draft inclusive policies and for an efficient performance of its administrative and management role has been built;

**Date when the Initiation Plan begins:** October 2013

**Date when the Initiation Plan ends:** September 2014

**Executing partner:** UNDP Guatemala

**Brief description of the Initiation Plan**

The purpose of this Initiation Plan is to develop analytic inputs and to articulate dialogue and consultation opportunities for key Guatemalan State and civil society stakeholders to identify, prioritize and validate strategic interventions to reduce conflict, strengthen democratic governance and initiate the first technical assistance actions for dialogue and negotiation that are beneficial to the actors and the country.

The final product of this Initiation Plan is a five-year *strategic program framework* (Project Document) with a strategy to strengthen institutions in the development and comprehensive management of public policies related to conflict in Guatemala, and the consolidation of a Strategic Advisory Unit (UAE) within the UNDP, that could provide analytical and strategic information.

The Initiation Plan will produce a set baselines, indicators, studies, maps and inventories of tools, stakeholders, laws and regulatory frameworks, which will form the basis for the Project Document, and will contribute to the coordination of joint actions for international cooperation and resource mobilization. Also, consultation and dialogue opportunities and processes built during the Initiation Plan will facilitate the identification and involvement of strategic partners in the coordination and validation of project strategic priorities.

Gender and human rights' considerations will be mainstreamed in the activities and products of the Initiation Plan.

<p>Country program period: 2010 -2014</p> <p>CPAP Component: Democratic Governance</p> <p>Atlas Award ID: 76337</p> <p>Project ID: 87785</p> <p>PAC meeting date: October 3, 2013</p> <p>Gender marker: 1</p>	<p>Total budget: 350,000USD</p> <p>Total allocated resources:</p> <ul style="list-style-type: none"> <li>• Regular TRAC: 40,000 USD</li> <li>• Other:                             <ul style="list-style-type: none"> <li>○ UNDP/BCPR: 150,000 USD</li> <li>○ Donor: _____</li> <li>○ Donor: _____</li> <li>○ Government: _____</li> </ul> </li> </ul> <p>Unallocated budget: 160,000 USD</p> <p>In-kind contributions: _____</p>
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Approved by UNDP:

Richard Barathe, Director de País,



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## I. PROBLEM DESCRIPTION

Fifteen years after the signature of the peace accords, there has been progress in the development of Guatemalan society. However, there are still fragility, conflict and insecurity problems that pose threats to the governance of the State of Guatemala and its long-term human development.

The country faces a problem that has accumulated over time, not only in circumstantial conditions but at the structural level, related to production factors. This has resulted in conflicts in various sectors: mining, natural resources, access to land, electricity supply, territorial boundaries, cultural identities, justice, and education, among others, which pose serious challenges to governance. The global economic crisis has exacerbated these conflicts particularly in the territorial control of natural resources, capital, population, and power, as expressed in the joint actions conducted by social organizations and communities.

Conflict is on the rise and presents a challenge to the governance of the country due to lack of proper management, due to the failure by public policy to address the most pressing demands of the population, a weak enforcement of existing public policies and a legal framework that is at times contradictory, ambiguous and confusing. The State has unintentionally become one of the *largest generators of conflict* due to its institutional weakness and lack of response to address social needs and demands. Government action is mostly reactive. The paralysis of the legislative branch for months, mainly due to the interrogation of Ministers and to members switching to other political parties, also represents a threat to the country's governance.

These challenges were reaffirmed during the extensive round of interviews conducted as part of the Mission for the definition of a Programmatic Approach to Conflict of UNDP's Regional Centre for Latin America and the Caribbean (RSC-LAC) and the Draft Policy Analysis Prospective Scenarios (DPAPS) in May 2013. In total, 44 representatives of different agencies associated in a way or another to social conflicts listed among the country's main problems, structural issues, whose negative effect has been accentuated over the years as a result of the lack of political will and effectiveness to confront them, as well as some recent trends that have strongly marked the juncture of recent years: (i) the existence of a worn out political and institutional system, (ii) accumulated levels of poverty and inequality, (iii) the existence of marked discrimination against indigenous populations, which is evident in many areas, including low participation in Congress (13.92% in 2012), coupled with almost no participation in the executive branch, (iv) insecurity and drug trafficking, and (v) corruption.<sup>1</sup>

Along with these challenges, there is a progressive deterioration of the dialogue process, mainly due to lack of management of political conflicts, lack of compliance with agreements and lack of progress on strategic topics for the agenda of democracy and inclusive development in the country. This trend of progressive deterioration is added on to the most recent trend towards polarization of views and positions caused by the judgment and subsequent reversal of the conviction of former President and General Efraín Ríos Montt. These two dimensions as a whole result in fewer opportunities for political dialogue and to a distancing among players of Guatemalan society. This progressive wear-down of dialogue and institutional capacity in the country to prevent and manage social conflict dynamics, has triggered the prosecution and suppression of conflict.<sup>2</sup>

Despite the relative economic stability of Guatemala at present, the trend towards intensified conflict resulting from the change in energy grid and large mining projects will be key to future junctures. Likewise, recovery of the trust lost due to complaints of corruption and political party switching experienced during the first year of the Pérez Molina government administration will be another important issue to be managed. On the other hand, with regard to structural problems, inclusion of indigenous populations not only the main pending issue, but their marginalization and poverty conditions, have the potential of becoming increasingly associated to new conflict and organized crime participation dynamics. Last, the new deadlock in the criminal prosecution of retired General Efraín Ríos Montt is an issue that will affect several areas of society with the possibility to flare up conflict and close down negotiation opportunities.

In this context it is essential to focus international cooperation actions and efforts on *strengthening the institutional framework of the Guatemalan State and of the main social stakeholders* to tone down conflict, ensure the governance of the country and contribute to an equitable and sustainable *medium and long-term* growth. These efforts *require* that conflict and governance issues be addressed comprehensively to accomplish balance between sector and national affairs, between public policy and State policy as well as in the sustainable fulfillment of agreements to solve and/or transform conflict, taking current circumstances as well a future political changes and institutional transformations into account (like coming elections, for example).

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<sup>1</sup> Mission report for the Programmatic Definition of Ways to Address Conflict, UNDP RSC-LAC, 2013

<sup>2</sup> An example of this is the conflict in Totonicapán (October 2012), the bloodiest conflict with 6 people dead and at least 30 wounded.

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## II. INTERVENTION PURPOSE AND STRATEGY

The RSC-LAC-PAPEP Mission for the Programmatic Definition of Ways to Address Conflict that took place in May 2013 identified several institutional and structural gaps to be addressed in order to prevent and/or manage imminent or open conflict situations. The Mission recommended a set of possible entry points for UNDP and the international community and identified a number of required actions to develop the comprehensive conflict management proposal in Guatemala.

Following the findings and recommendations of the mission, the purpose of this Initiation Plan is to draw up a Strategy to contain and reduce conflict in a way that will help strengthen institutions in Guatemala, start inter-disciplinary strategic analysis and carry out the first specific interventions of technical assistance for parties to the conflict. This document seeks to serve as a broad framework for future program interventions by UNDP and its national and international partners, focusing on:

(a) building technical and functional capacity of key government and civil society actors for the strategic development and management of public policies associated to conflict and governance in Guatemala, including, among others: (i) to strengthen and streamline institutional arrangements, processes and management systems to prevent and deal with conflict, accountability and leadership systems; (ii) the development of budget and management policies; (iii) the development of analytical and methodological tools to monitor, analyze and manage conflict; and (iv) other relevant capacities.

(b) building neutral opportunities for consultation and dialogue, where those capacities will be applied for the: (i) participatory coordination of the joint vision of conflict and its management; (ii) the streamlining and harmonization of existing institutional, legal and regulatory frameworks; (iii) the identification of strategic priorities and other activities aimed at strengthening institutional frameworks for the democratic governance of the country.

Analytical products, and consultation and dialogue processes conducted in the framework of this Initiation Plan (see Chapter III. Expected Outcomes) will contribute to the development of the Strategy to contain and reduce conflict in Guatemala, by contributing with major inputs for the coordination of objectives, outcomes, activities, baselines, goals and the required indicators for a results-based management process.

Those products/processes will help establish the necessary foundations needed for the preliminary identification and involvement of major partners/beneficiaries of the future Program for the Institutional Strengthening of Conflict Management and Reduction in Guatemala through the strategic mapping and analysis of stakeholders.

The permanent mapping and analysis of conflict, capacity diagnosis, mapping and analysis of the legal framework and other studies contributed the necessary inputs for the joint coordination, prioritization and validation process of objectives, needs and capacity gaps for the future Institutional Strengthening Program.

These products will also contribute with essential elements to build the dialogue and consultation agenda and opportunities among political actors in Guatemala on the priorities and strategies to reduce conflict and strengthen democratic governance in the country, particularly in the light of coming general elections in 2015.

In preparing for the next Common Country Assessment and the development of the new Guatemala UNDAF (CCA/UNDAF), analytical outcomes will contribute strategic updated information to the Country Team (UNCT) of the United Nations System (UNS) to be validated by key players that contribute to the One UN process and to strengthen interagency cooperation.

Analytical products, tools and publications will contribute to collaborate and coordinate with international cooperation agencies by facilitating the identification of common points of interest and possible synergies to strengthen institutional frameworks in Guatemala and reduce social conflict.

Lastly, it is necessary to state that, as part of the Initiation Plan and all its inputs and foundations listed above, it is necessary to develop the specific implementation strategy, since it is not enough to know what to do; it is essential to determine how to do it.

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### III. EXPECTED OUTCOME

The main outcome expected from this Initiation Plan is the drafting of a Project Document with the Strategy for the contention and reduction of conflict in Guatemala, to include the program proposal, generation of information for strategic analysis and preliminary actions to create dialogue and negotiation opportunities to transform conflict; among them, the consolidation of a Strategic Advisory Unit (UAE) within the UNDP, that could provide analytical and strategic information for decision making to UNDP and the United Nations System, and other counterparts to be defined. This strategy will help strengthen institutional frameworks to reduce and manage conflict in Guatemala. Additionally, the Initiation Plan will have a number of tangible and intangible products.

Additional *tangible* sub-products of the Initiation Plan include:

- Geo-referenced information for the comprehensive analysis of strategic national and international stakeholders, including projects and interventions that have been implemented and are underway;
- System to analyze conflict in Guatemala at the national and local levels.
- Inventory of existing conflict monitoring, measurement and analysis tools, including qualitative and quantitative diagnosis and early warning models;
- Identification of successful regional experiences in the management and reduction of conflict, to adapt them and possibly replicate them in Guatemala.
- Gap and functional capacity needs analysis in State agencies and civil society, including the private sector, the media, indigenous population associations, academia and research organizations;
- Characterization of the main strengths and needs in technical and operation of state institutions in indigenous and gender issues and indigenous women's organizations and civil society.
- Inventory of the existing legal/regulatory framework and analysis of the gaps/weaknesses to be strengthened;
- Virtual information management platform on conflict in Guatemala as the basis for a Conflict Observatory for broad use by United Nations System agencies, state and civil society actors, international agencies and donors;
- Final publication of the Social Conflict study in Guatemala, that will consolidate analytical inputs generated through this Initiation Plan;
- Information recipients will be, first of all, UNDP, that will then share it with UNCT and SNU members. In addition, these products will be provided to different key State actors associated with conflict scenarios in the country.
- Technical assistance for conflict actors in initial themes, as well as support for dialogue and negotiation processes underway.

A great effort will be made for the diagnosis, evaluations and proposals to include gender analysis. Additionally, all data will be broken down by gender.

*Intangible* sub-products of this Initiation Plan include improved understanding between UNDP and main counterparts on: (i) strategic institutional strengthening priorities to reduce conflict in Guatemala; (ii) preliminary agreements and consensus on points of entry, implementation and cooperation arrangements; (iii) commitments and political support for the future Program by the Government and other partners; and (iv) networks and strategic partnerships with key partners; (v) qualitative distension contributions and dialogue, and negotiation processes underway; (vi) beginning of the compilation of an archive of strategic understanding and interpretation of the country as a result of the production of the UAE.

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#### **IV. MANAGEMENT ARRANGEMENTS**

In view of the need to create neutral and impartial opportunities for consultation and dialogue and high level political sensitivity, this Initiation Plan will be implemented under the Direct Implementation modality (DIM) and therefore will be governed by UNDP provisions.

Because of the circumstances and limited duration of the Initiation Plan, the management structure does not consider the need for a Project Board. A basic management structure is proposed with a minimum fixed personnel team supported by external consultants selected through a competitive process and/or roster of experts associated to UNDP.

The Project will be implemented under the general direction of the Country Director and direct supervision by UNDP's Guatemala Governance Officer. A Chief Technical Project Coordinator will be responsible for: (i) technical and financial Project management, oversight of consultants and implementation team, production of required inputs, compliance with objectives and the production of expected outcomes from this Initiation Plan, close coordination with main partners, including representatives of the government, civil society and international cooperation, resource mobilization and other responsibilities associated to project management.

The Coordinator will have the responsibility to consolidate analytical inputs, and to oversee and coordinate dialogue and consultation processes. The major output to be produced by the Coordinator will be the Project Document, ready for approval by PAC, as well as a qualitative report of technical assistance interventions for layers involved in selected dialogue and negotiation processes. Additionally, technical and political assistance will be provided for key Legislative and Executive branch officials and for non-governmental actors associated to conflict through specific technical assistance for conflict management. In addition, advice will be available from the team of Democratic Dialogue/BCPR experts for the implementation of the IP.

The execution of this Initiation Plan, including the procurement of goods and services shall follow UNDP guidelines and standards for Direct Implementation Projects (DIM). The project will be audited in accordance with UNDP standards and procedures.

Documents, information obtained and outcomes produced by the Plan will be owned by UNDP.

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#### **V. MONITORING**

According to policies and procedures for UNDP programming, the Initiation Plan will be monitored through the following activities:

- The Chief Technical Coordinator will monitor the progress and quality of activity implementation on a quarterly basis and will produce progress reports. Information resulting from this review will be recorded in the UNDP management system (ATLAS).
- A record will be kept of problems and alerts that occur during the implementation of the Initiation Plan. This record will be reviewed on a quarterly basis in the UNDP management system (ATLAS) by the Governance Programs Official for monitoring and to solve problems requiring corrective measures.
- The schedule of major Initiation Plan monitoring activities will be recorded and reviewed every quarter in the Atlas to keep control of them. Activities in this schedule may be: reviews, audits, monitoring visits, publications, work plans and workshops, among others.
- Upon termination of the Initiation Plan, a Final Implementation Report will be drafted that will include the Project Document and copies of products generated.

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**VI. LEGAL CONTEXT**

This Initiation Plan will be the instrument (Project Document) that Article 1 of the Agreement signed by the Government of Guatemala and UNDP on July 20, 1998 and approved through Decree No. 17-2000 on March 29, 2000 makes reference to. The terms and conditions of that Agreement shall be applicable to this document.

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**VII. ANNEXES**

- Mission Report for the Programmatic Definition of a Way to Address Conflict, UNDP, May 2013
- Technical Assistance Mission Report for the Drafting of a Project Document (BTOR)
- Minutes of the meeting with Birgit Vleugels, Attaché, Governance Officer of the European Union Delegation in Guatemala.

## VIII. ANNUAL WORK PLAN

Year: 2013

EXPECTED OUTPUT	PLANNED ACTIVITIES	TIMEFRAME		RESPONSIBLE PARTIES	ESTIMATED BUDGET	
		Q3	Q4		Source	Amount
<p><b>Output 1:</b> Designed and validated Strategy for the contention and reduction of conflict in Guatemala included in a Project Document</p> <p>I: Project Document with completed and validated Program Framework.  <b>LB:</b> Inputs for the design of the program framework completed by the BCFR/PAPEP mission.  M: Project with completed and validated Program Framework.</p> <p>I: Document for mapping and completed analysis of State and Civil Society stakeholders  <b>LB:</b> Non-systematized information generated by the team of experts on the analysis regarding support to President of Congress.  I: Compilation of reports of previous consulting efforts hired by UNDP.  M: Prepared map and analysis of State and Civil Society stakeholders.</p> <p>I: Completed diagnostic document of institutional capacities of key stakeholders.  <b>LB:</b> Non-systematized information generated by the team of experts regarding support to President of Congress.  I: Compilation of reports of previous consulting efforts hired by UNDP.  M: Completed diagnosis of institutional capacities of key stakeholders.</p>	<p><b>AR1:</b> Generation of strategic information for the formulation of the program framework of the Project document.</p> <ul style="list-style-type: none"> <li>Consolidate the Strategic Advisory Unit (UAE) within UNDP Guatemala</li> <li>Mapping and analysis of strategic stakeholders of the State and of Civil Society</li> <li>Diagnosis of institutional capacities of key stakeholders</li> <li>Inventory of instruments used for measurement, monitoring and follow-up of conflict, communication, SAT, etc.</li> <li>Inventory and analysis of the legal and regulatory framework related to conflict in Guatemala</li> <li>Construction of Platform for the monitoring and management of conflict (Conflict Observatory) and SIG map of conflict in Guatemala</li> <li>Ongoing mapping and analysis of conflict</li> </ul>			UNDP Guatemala		96,000-
		X	X		71200 International consultants	10,000
					71300 Local consultants	24,000
					72100 Contractual services	10,000
					71600 Travel	5,000
					72500 Supplies	4,000
					72800 Information Technology	10,000
					73100 Rental premises and maintenance	23,000
					75700 learning costs	5,000
					74500 miscellaneous	5,000

EXPECTED OUTPUT	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTIES	ESTIMATED BUDGET		
		Q1	Q2	Q3	Q4		Source	Account and Description	Amount
<p>I: Inventory document of conflict and monitoring instruments.  <b>LB:</b> Non-systematized Information generated by the team of experts on the analysis regarding support to President of Congress.            Compilation of reports of previous consulting efforts hired by UNDP.  <b>M:</b> Conflict measurement and monitoring instrument inventory.</p> <p>I: Completed inventory and analysis document of the legal and regulatory framework related to conflict.  <b>LB:</b> Non-systematized information generated by the team of experts on the analysis regarding support to President of Congress.            Compilation of reports of previous consulting efforts hired by UNDP.  <b>M:</b> Completed inventory and analysis of the legal and regulatory framework related to conflict.</p> <p>I: Identified and justified Proposal Document to enable convergence opportunities for interested parties in relevant issues related to conflict.  <b>LB:</b> Absence of formal opportunities for convergence of interests and lack of political management of conflict and prosecution of conflicts.  <b>M:</b> Proposal to enable convergence opportunities of interests in at least 2 identified and supported relevant issues of conflict.</p> <p>I: Existence of public policies designed with the participation of and proposals from indigenous peoples, as well as women's and youth groups.</p> <p><b>LB:</b> 2010 Public policies designed with limited participation of and proposals from indigenous peoples, as well as women's and youth groups.  <b>M:</b> 2014 Leading institutions which are responsible for the preparation of public policies and consider the proposals from indigenous peoples, as well as women's and youth groups in the design of their</p>	<ul style="list-style-type: none"> <li>Systematizing of experiences and good practices on the management of conflict in the region.</li> <li>Publication of analytical studies, methodologies, baselines, and experiences.</li> <li>Project coordination and technical assistance, and formulation of the strategy.</li> <li>Administrative/financial support</li> </ul>			X	X	UNDP Guatemala			
	<p><b>AR2.2 Key stakeholders, priorities and points of entry of the strategic program framework for conflict management in Guatemala, identified and validated by the main strategic partners.</b></p> <ul style="list-style-type: none"> <li>Preparation of roadmap/methodology and coordination of discussion opportunities for consultation/prioritizing</li> <li>Construction and facilitation of consultation and discussion opportunities on strategic priorities, key institutions and entry points for the Conflict Reduction Program</li> </ul>				X	X		71300 Local consultants	15,000
							71600 Travel	5,000	
							75700 learning costs	1,000	
							72500 Supplies	1,000	
							73100 rental and maintenance	5,000	
								27,000	



EXPECTED OUTPUT	PLANNED ACTIVITIES	TIMEFRAME			RESPONSIBLE PARTIES	ESTIMATED BUDGET		
		Q1	Q2	Q3		Q4	Source	Account and Description
<p>policies.</p> <p>I: # of new institutional systems generated in support of the management of information, strategic planning, tax policy, territorial organization, civil service, and transparency and control.</p> <p>LB: 2010 Some existing institutional systems but which are absent in areas of strategic importance.</p> <p>M: 2014 Existence of new institutional systems in at least 3 of the subjects.</p> <p><b>Expected effects of Country Program:</b></p> <p>Effect 2.1. Capacities of the Guatemalan State have been strengthened for the formulation of inclusive policies and for the effective performance of its administrative and managerial functions.</p>								
<b>TOTAL US\$ YEAR 2013</b>								123,000

**VIII. ANNUAL WORK PLAN**  
**Year: 2014**

EXPECTED OUTPUT	PLANNED ACTIVITIES	TIMEFRAME			RESPONSIBLE PARTIES	ESTIMATED BUDGET		
		Q1	Q2	Q3		Q4	Source	Account and Description
<p>Output 1: Designed and validated Strategy for the contention and reduction of conflict in Guatemala included in a Project Document</p> <p>I: Completed and validated Program Framework Document</p> <p>LB: Inputs for the design of the program framework prepared by the BCP/PAPEP mission</p> <p>M: Completed and validated Program Framework</p> <p>I: Completed document for mapping and</p>	<p>AR1: Generation of strategic information for the formulation of the program framework.</p> <ul style="list-style-type: none"> <li>Consolidate the Strategic Advisory Unit (UAE) within UNDP Guatemala</li> <li>Mapping and analysis of the strategic stakeholders of the State and Civil Society</li> <li>Diagnosis of the institutional capacities of key stakeholders</li> <li>Inventory of instruments for the measurement, monitoring, follow-</li> </ul>	X	X					147,000-
					UNDP Guatemala		71200 International consultants	20,000
							71300 Local consultants	62,000
							74500 miscellaneous	4,000
							71600 Travel	10,000



EXPECTED OUTPUT	PLANNED ACTIVITIES	TIMEFRAME			RESPONSIBLE PARTIES	ESTIMATED BUDGET		
		Q1	Q2	Source		Account and Description	Amount	
<p>of political management of conflict and prosecution of conflicts.  M: Proposal to enable convergence opportunities for parties interested in at least 2 relevant topics of conflict, identified and justified.</p> <p>I: Existence of public policies designed with the participation of and proposals from indigenous peoples as well as women's and youth groups.  LB: 2010 Public policies designed with very little participation of and proposals from indigenous peoples as well as women's and youth groups.  M: 2014 Leading institutions which are responsible for the preparation of public policies and consider the proposals from indigenous peoples, as well as women's and youth groups in the design of their policies.</p> <p>I: # of new institutional systems generated in support of the topics of information management, strategic planning, tax policy, territorial organization, civil service, as well as transparency and control.  LB: 2010 Some existing institutional systems but which are absent in areas of strategic importance.  M: 2014 Existence of new institutional systems in at least 3 of the topics</p> <p><b>Expected Effects of the Country Program:</b></p> <p>Effect 2.1. The capacities of the Guatemalan State have been strengthened for the formulation of inclusive policies and for the effective performance of its administrative and management functions.</p>								
<b>TOTAL US\$ YEAR 2014</b>								<b>227,000</b>
<b>TOTAL IP USD</b>								<b>350,000</b>

## MONITORING PLAN

**Project Name: Conflict contention and reduction in Guatemala**

Products	¿What information?		¿How and when to collect information?				Resources	
	Indicators	Base Lines	Goals	Information Sources	Collection Method	Dates		Responsibles
Project document that includes the designed and validated Strategy for conflict contention and reduction.	Project Document with completed and validated Program Framework.	Inputs for the design of the program framework completed by the BCPR/PAPEP mission.	Project with completed and validated Program Framework	Strategic stakeholders of the State and the civil society Other country offices	Mapping and analysis, Diagnosis, Surveys Interviews	Oct 2013- June 2014	UNDP GUA	US\$ 252,000
	Document for mapping and completed analysis of State and Civil Society stakeholders	Non-systematized information generated by the team of experts on the analysis regarding support to President of Congress. Compilation of reports of previous consulting efforts hired by UNDP.	Prepared map and analysis of State and Civil Society stakeholders	Strategic stakeholders of the State and the civil society	Strategic surveys Interviews	Oct 2013- June 2014	UNDP GUA	