

United Nations Development Programme
GUATEMALA
Project Document

Project title: "Building Democratic Governance and Sustainable Peace in Guatemala".

Expected UNDAF effect: By 2014, the Guatemalan government strengthened its capacity for the formulation and implementation of inclusive democratic public policies, including specific improvements in tax collection in accountability, access to information, and their work systems and the quality of public expenditure to ensure the interaction of citizenship with its institutions.

Expected effect of the CPD: Capabilities have been strengthened by the Guatemalan State to formulate inclusive policies and efficient performance of its administrative and management functions.

Expected outcome of the Project: Enhanced analytical capabilities of the Office to identify, prioritize and validate strategic interventions to reduce conflict and strengthen democratic governance.

Implementing Entity: UNDP

Implementing Agency: UNDP

Brief description

The Project seeks to strengthen the capacities of the United Nations system's Resident Coordinator and UNDP Guatemala's Resident Representative in identifying, prioritizing and validating strategic interventions to reduce conflict and strengthen democratic governance in the country.

The Project will develop three main activity clusters : one for development of analytical inputs with respect to short and medium-term challenges faced by Guatemala in terms of democratic governance; the second one geared towards identification, prioritization and validation of strategic interventions for managing conflict and strengthening democratic governance in the country; the third one to support the Government of the Republic in structuring institutional mechanisms for preventing/addressing social conflict as a strategic challenge for the country, and to foster opportunities for dialogue during the transition between the political team of the outgoing administration and the administration that will take office for the period 2016-2020.

Program Period:	2010 - 2014
UNDP Strategic Area:	Democratic Governance
Atlas Award ID:	00082548
Start date:	01/01/2015
End date :	31/12/2016
CLEP date:	02/12/2014
Implementation Modality:	DIM

Budget years:	2015-2016
Total resources required:	USD 630,000.00
Total resources allocated:	USD
• Regular	USD 40,000.00
• Other: BCPR/UNDP	USD 350,000.00
Unfunded Budget:	USD 240,000.00
In kind:	N/A

Approved by UNDP:



I. SITUATIONAL ANALYSIS

Seventeen years after the signature of the Peace Accords, there has been progress in the development of Guatemalan society. However, manifestations of the causes that gave rise to the armed conflict still persist and new threats to the democratic governance of the State of Guatemala and its long term human development are arising.

The country faces problems that have accumulated over time. At the structural level, with regard to production factors and concentration of wealth, major socio-economic inequalities and high levels of poverty and extreme poverty have arisen among Guatemalans, especially among the indigenous and in rural areas. On the other hand, historically, the indigenous population has lived in conditions of exclusion and discrimination and full recognition of their human rights is one of the outstanding issues.

This situation has resulted in conflicts that affect different public policy areas, including exploration and exploitation of natural resources, access to land, power supply, territorial limits, cultural identities, justice and education, which pose serious governance problems. There is also the risk that new dynamics of conflict might eventually be added to others that have to do with insecurity and violence, or with the inroads made by organized crime.

This conflict is increasing, while the State shows weakness in managing it properly. Public policies are incapable of meeting the most pressing demands of the population, implementation of the existing policies is inadequate and the legal framework is often insufficient, contradictory or confused, in addition to limited State presence on the territory, dispersion and, sometimes, duplication of Government agencies responsible for addressing conflict and erosion of trust in dialogue led by State authorities.

In this context, there is progressive erosion of social dialogue mechanisms, especially due to poor political management of conflicts, failure to comply with agreements and lack of progress in issues that are of strategic importance for the country's democratic and inclusive development agendas. On the other hand, certain judicial dynamics and the use of force used in order to face conflict make efforts to reach agreement more difficult and complex.

Finally, transitional justice processes designed to judge human rights violations committed during the internal armed conflict have generated tensions and polarization that threaten to reactivate the scenarios, discourse and positions taken during the armed conflict.

The electoral campaign has begun early; therefore, the electoral battle of September 2015 affects the political dynamics, marked by the announcement and the promotion of presidential candidates and "party loyalty shifts" that characterize political action in Congress, which is giving rise to a readjustment of electoral blocs and coalitions; in other words, the pre-electoral dynamics are already determining the reconfiguration of forces in Congress and in the Executive, and this trend will become more pronounced in 2014 and 2015.

International cooperation actions and efforts must therefore focus on strengthening the institutions of the State of Guatemala and the main social players in order to reduce conflict, ensure governance, contribute to medium and long-term equitable and sustainable growth and human development of the population. Efforts must also be made to facilitate opportunities and equitable conditions for negotiation and technical support for the conduct of democratic dialogue exercises. Conflict prevention should also be sought; in other words, conditions should be created for the population to be informed, exercise its civic and political rights and be part of decisions that affect them. This is essential at medium and long-term in order to continue creating conditions for the human development of the population.

These efforts require that conflict and governance be addressed comprehensively to achieve a balance between the sectorial and national spheres, between social interests and

private interests, as well as sustainable fulfilment of agreements for the solution and/or transformation of conflicts, bearing in mind the current situation and the institutional changes that lie ahead (e.g. the upcoming elections and the new government administration that will take office). Because of this, the Government of the Republic has requested the specific support of the United Nations system, technical assistance and help and addressing conflict and dialogue, considering its expertise in democratic dialogue.

In this regard, the information gathering and analysis capacities of the United Nations system's Coordination Office (OCR) must be strengthened and broadened, as well as a political analysis that can provide, on the one hand, a frame of reference for understanding the different dynamics and situations experienced by the country for decision-making and planning the work and actions of the system as a whole, in particular those of the Coordination Office and UNDP; and, on the other hand, analytical inputs that will feed and sustain national debate and decision-making regarding the development and democratic governance challenges faced by the country at the medium term. The methodological and technical tools used to address specific situations and requests made to the system should also be strengthened.

II. STRATEGY

In May of 2013, PAPEP and the Regional Dialogue Project conducted an exploratory mission to define a programme to address conflict. For this purpose a preliminary diagnosis of conflict in Guatemala and of the capacities of the different instances and institutions of the Guatemalan State, as well as those of the relevant actors of civil society for preventing, managing, solving and/or transforming conflicts in a peaceful, democratic, sustainable coordinated manner was carried out.

Based on the results of the mission and diagnosis, the need to strengthen OCR and UNDP's capacities for prospective political analysis was identified, mainly at the political and strategic level, in view of the multilayered complexity of social conflict in the country and its close ties with governance.

For this purpose, a preliminary stage of the program, the Initial Plan (IP), was considered necessary in order to gather analytical data and coordinate dialogue and consultation among the main political actors in Guatemala on the priorities and strategies for reducing conflict and strengthening democratic governance in the country at the short and medium term, as well as to identify the challenges that will be faced by the new administration that will take office in January of 2016, after the September 2015 elections.

The outcome of this Initial Plan was the creation of the Strategic Analysis Unit (known by its Spanish acronym as UAE), based on the PAPEP methodology, which began a process to strengthen OCR and UNDP analytical capacities for political analysis, in order to develop a diagnosis and medium-term vision regarding the country's multidimensional governance challenges. This would, in turn, make it possible to follow the situation by conducting research and action on prospective scenarios.

The following are some of the products that have been obtained during this stage under the IP:

- Situational analyses and an ongoing analysis of the situation in the country.
- Political advice and documents on different topics, for OCR and UNDP
- Research–action under way for the development of analyses and prospective scenarios for the country.
- Reports on the status of the situation and follow up of specific social conflicts, among them the conflict in Santa Cruz Barillas, Huehuetenango (for which a mission was carried out with the participation of the Resident Coordinator of the

United Nations system and Democratic Dialogue Programme experts) and the conflict in La Puya, San Jose del Golfo, and Guatemala.

Support and technical advice have been received during this first stage from the Project for Political Analysis and Prospective Scenarios (PAPEP) and the Regional UNDP Centre for Latin America and the Caribbean (RSC-LAC).

Based on these inputs, and given the situation in the country, the Coordination Office of the UN System and UNDP have attached great importance to further strengthening their analytical capacities for understanding the situation on the ground and to follow up the situation, as well as to identify, prioritize and validate strategic interventions to reduce conflict and strengthen democratic governance in the country at the short and medium term.

To achieve this, three major activity clusters will be developed: one designed to develop analytical and process inputs for the Country Office, the United Nations system and the international community; another one to identify, prioritize and validate strategic interventions for managing conflict and strengthening democratic governance in the country and a third one, led by the Resident Coordinator of the United Nations system in Guatemala, that will act in two directions: providing support and assistance to the Government of the Republic for the review of public institutions in charge of the topics of governance, preventing and addressing social conflict and, if applicable, advocacy with the Congress of the Republic for approval of the legislative provisions that may be required, as well as advocacy during the electoral process to ensure that political parties include the challenges that will be faced by the next government administration in terms of democratic governance and social conflict, as well as supporting and facilitating opportunities for dialogue between the political team of the outgoing administration and the administration that will be in office during the period 2016-2020.

All of the planned activities will be addressed from three standpoints that are priorities for the United Nations system in Guatemala: gender equality, participation of the young generation and inclusion of the vision of indigenous peoples. This approach will also be required in the research and analysis that will be carried out.

Analytical products, tools and publications will contribute to collaborate and coordinate with other international cooperation agencies and donors, by facilitating the identification of common points of interest and possible synergies to strengthen institutional frameworks in Guatemala and reduce social conflict. Also identification of successful regional experiences in the management and reduction of conflict shall be considered to adapt them and possibly replicate them in Guatemala.

III. RESULTS FRAMEWORK

Expected outcome as shown in the Country Programme Results and Resource Framework: the capacities of the Guatemalan State for developing inclusive policies and the efficient performance of its administrative and managerial functions have been strengthened;

Outcome indicators of the Country Programme Results and Resources Framework, including baselines and goals:

Indicators: Number of institutions that develop inclusive public policies. **Basic reference values:** the institutional system has limited capacity for the development of inclusive public policies. **Goal:** at least five ministries or separate areas of the Executive develop inclusive public policies.

Results Area: Democratic Governance

Project Title: “Building Democratic Governance and Sustainable Peace in Guatemala”.

EXPECTED OUTCOME	ANNUAL GOALS	INDICATIVE ACTIVITIES AND ACTIONS	WHO IS RESPONSIBLE	RESOURCES (US\$)	
<p>Output 1: the analytical capacities of the Coordination Office of the UN system to identify, prioritize and validate strategic interventions for reducing conflict and strengthening democratic governance have been improved.</p> <p><i>BASELINE:</i> Does not exist</p> <p><i>INDICATORS:</i> NUMBER OF PROSPECTIVE SCENARIOS NUMBER OF ANALYSIS REPORTS NUMBER OF CIRCUMSTANTIAL REPORTS NUMBER OF STRATEGIC DIALOGUE INTERVENTIONS NUMBER OF SPACES FOR POLITICAL REFLECTION NUMBER OF POLITICAL ADVOCACY ACTIVITIES NUMBER OF MEETINGS WITH POLITICAL PARTIES</p>	<p>Goals (2015):</p> <p>Analysis: 1 Study of Prospective scenarios 4 Circumstantial reports 4 Analysis reports 2 Analysis reports with differentiated analysis of the situation of women, youth and indigenous peoples.</p> <p>Process: 2 meetings of spaces for political reflection 1 women reference group considered in reflection spaces 1 youth reference groups considered in reflection spaces 1 indigenous people reference groups considered in reflection spaces</p> <p>Goals (2016):</p>	<p>AR1. Analytical inputs for strategic dialogues</p> <ul style="list-style-type: none"> • For analysis: <ul style="list-style-type: none"> ○ Prospective scenarios ○ Analysis reports ○ Circumstantial reports • Process: <ul style="list-style-type: none"> ○ High-level political reflection spaces ○ Positioning the agenda in the electoral process ○ Reflection spaces with women, youth, and indigenous peoples reference groups 	OCR-UNDP	Travel	\$7,500.00
				Contractual services	\$191,000.00
				Learning costs	\$10,400.00
				Rent	\$30,000.00
				Audio Visual & Printing	\$ 55,000.00
				Misc. Expenses	\$ 5,000.00
				Total AR1	\$288,500.00

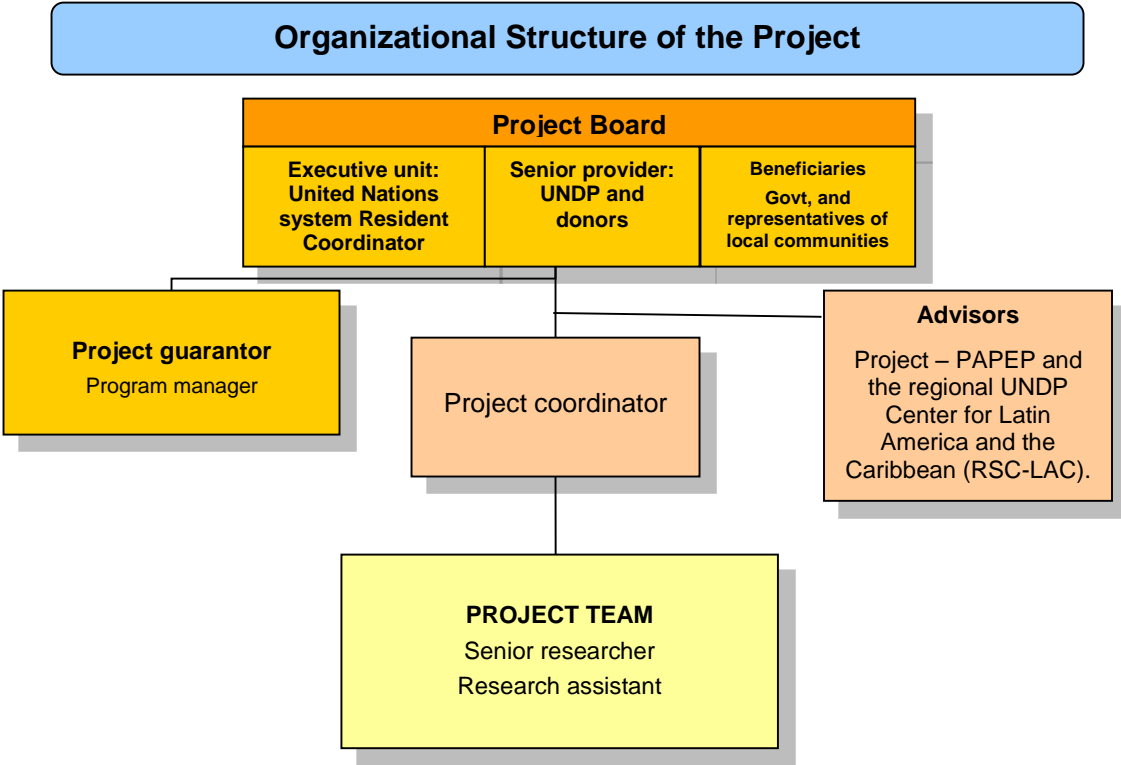
<p>NUMBER OF ROAD MAPS DEVELOPED</p> <p>NUMBER OF REPORTS WITH DIFFERENTIATED ANALYSIS OF THE SITUATION OF WOMEN, YOUTH AND INDIGENOUS PEOPLES</p> <p>NUMBER OF WOMEN REFERENCE GROUPS CONSIDERED IN REFLECTION SPACES</p> <p>NUMBER OF YOUTH REFERENCE GROUPS CONSIDERED IN REFLECTION SPACES</p> <p>NUMBER OF INDIGENOUS PEOPLE REFERENCE GROUPS CONSIDERED IN REFLECTION SPACES</p>	<p>Analysis:</p> <p>11 circumstantial reports 4 analysis reports 2 political advocacy activities</p> <p>Goals for 2015:</p> <p>Intervention in one space for dialogue and agreement building 1 road map developed and implemented</p> <p>Goals for 2016:</p> <p>Intervention in one space for dialogue and consensus building 1 road map developed and implemented</p> <p>Goals for 2015:</p> <p>4 spaces for dialogue</p>	<p>AR2. Strategic interventions for dialogue</p> <ul style="list-style-type: none"> • Development and facilitation of spaces for consultation and dialogue. • Increase women participation in consultation spaces. • Development of a road coordination of spaces for dialogue and consultation/prioritization <p>AR3. Advise in the design of conflict management and response mechanisms.</p> <ul style="list-style-type: none"> • Advice and technical assistance • Spaces for dialogue • Incidence 		<p>Int. Consultants Travel Learning Misc. Expenses UNDP Cost Recovery Total AR2</p> <p>Intl. Consultants (PDA) Local Consultants (M&E) Travel Rental & Maint. Misc. Expenses</p>	<p>\$50,000.00</p> <p>\$35,000.00</p> <p>\$30,000.00</p> <p>\$10,000.00</p> <p>\$ 35,000.00</p> <p>\$185,000.00</p> <p>\$100,000.00</p> <p>\$11,000.00</p> <p>\$11,500.00</p> <p>\$24,000.00</p> <p>\$10,000.00</p>
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				Total AR3	\$ 156,500.00
Total AR1-AR3 (2015-2016)					\$630,000.00

IV. MANAGEMENT ARRANGEMENTS

Because of the need to create neutral and impartial spaces for consultation and dialogue and the high degree of political sensitivity, this project will be implemented using the Direct Implementation Modality (DIM) and will therefore be governed by UNDP provisions.

The Project will be implemented under the overall direction of the Resident Coordinator of the United Nations system and UNDP Resident Representative in Guatemala, with direct supervision by the UNDP Country Director, in coordination with the UNDP Governance Officer in Guatemala. A Senior Technical Coordinator will be responsible for (i) technical and financial management of the Project; supervision of consultants and the implementation team, development of the required inputs, performance of the objectives and development of the expected outcomes of this Project, close coordination with the main counterparts, including representatives of the Government, civil society and international cooperation, resource mobilization and other responsibilities inherent to project management.



The Coordinator will be responsible for consolidation of analytical inputs and supervision and coordination of the dialogue and consultation processes. Technical and political assistance will also be provided to key Executive Branch agencies and non-governmental actors involved in addressing conflict through specific technical assistance projects to support conflict management. Advice will also be provided by the team of experts of the Project for Political Analysis and Prospective Scenarios (PAPEP) and the UNDP Regional Centre for Latin America and the Caribbean (RSC-LAC).

UNDP guidelines and standards for direct implementation projects (DIM) will be followed for implementation of this Project, including the procurement of goods and services. The Project will be audited according to UNDP rules and procedures.

The information and documents obtained and the outcomes generated by the Project will be UNDP property.

V. MONITORING

Pursuant to UNDP programming policies and procedures, the Project will be monitored through the following activities:

During the one-year implementation period:

The quality of the progress of the activities will be evaluated on a quarterly basis. The information obtained from this evaluation will be recorded in the UNDP management system, ATLAS.

Key issues and problems will be registered and updated on a quarterly basis in the UNDP management system, ATLAS, by the Program Coordinator to facilitate follow up and the solution of problems or changes.

Based on the initial Programme and risk analysis (Appendix 1), a record of risks will be kept in ATLAS and updated regularly through a review of the external factors that can affect implementation.

A record of lessons learned will be kept in the contracted monitoring and evaluation system and regularly updated to ensure ongoing learning and its integration into the implementation. This information will be an input for the final report on the programme cycle.

A monitoring plan will be activated in ATLAS. It will record and review the main Project management actions and events. For example: annual reviews, reports to donors, audits, medium-term and final evaluations and others.

An annual report will be prepared by the Programme Coordinator and presented to the Project Board. This report will include all the information generated by the monitoring activities carried out during the year as well as an analysis of the achievements in accordance with the expected products and annual goals.

An annual review based on the annual report will be carried out during the last quarter. This review will assess the performance of the Project during the year and evaluate the annual work plan for the following year. During the final year, this review will be the final evaluation. This process is led by the PB and may involve the beneficiaries if required. It will focus on analyzing the progress made towards achievement of the products and ensure that these are always a line with the relevant outcomes.

A monitoring and evaluation system will be designed and implemented throughout the program cycle. At the end, an evaluation will make recommendations the Project is responsible for following up and implementing with the support of the UNDP Monitoring and Evaluation Unit.

VI. LEGAL CONTEXT

This Initial Plan will be the tool (Project Document) referred to in Article 1 of the Agreement entered into a between the Government of Guatemala and UNDP on 20 July 1998 and approved by Decree number 17-2000 of 29 March 2000. The terms and conditions of said Agreement will be applicable to this document.

VII. ANEXES

1. Risk Analysis
2. Monitoring and Evaluation Plan

1. RISK ANALYSIS																			
#	Description	DATE	TYPE OF RISK ¹	LIKELIHOOD 1 low -5 high					IMPACT 1 low -5 high					ACTION TAKEN TO MITIGATE THE RISK		STATUS OF THE RISK ²			
				1	2	3	4	5	1	2	3	4	5	Date	Actions	E	R	I	N
1	Unwillingness on the part of the government sector, civil society, academia and the UN System to participate in reflection and dialogue.	SEP 2014	STRATEG-IC	x															
2	The activities of the Government and international cooperation are limited to situational topics of national life, which makes it difficult for them to be involved in medium and long-term issues.	SEP 2014	POLIT-ICAL		x								x						

¹ The types of risks can be: environmental, financial, operational, organizational, political, legal, strategic or others.

²The status of the risk can be:

E = Eliminated

R = Reduced

I = Increased

N = No change

1. RISK ANALYSIS

#	Description	DATE	TYPE OF RISK ¹	LIKELIHOOD 1 low -5 high					IMPACT 1 low -5 high					ACTION TAKEN TO MITIGATE THE RISK		STATUS OF THE RISK ²				
				1	2	3	4	5	1	2	3	4	5	Date	Actions	E	R	I	N	
3	The safety and security of the Project's technical team is compromised because it is dealing with highly sensitive topics on the national agenda.	SEP 2014	OPERATIONAL	x									x							
4	Cooperation in the issues addressed has been reduced in recent years and this might result in delays in the proposed outcomes and limited financial sustainability for the project.	SEP 2014	FINANCIAL			x								x						

2. MONITORING PLAN

Outputs	Indicators			Monitoring Event	Calendar Frequency	Responsibility	Source and type of data	Resources	Risks Assumptions
	Indicators	Baseline	Goals						
The analytical capacities of the Coordination Office of the UN system to identify, prioritize and validate strategic interventions for reducing conflict and strengthening democratic governance have been improved.	# of diagnoses	None	2015 - 1	Documentary review	Quarterly	Project Personnel	Diagnoses reports	-	Inadequacy or low reliability of the information
	# of reports	None	2015 - 11	Documentary review	Quarterly	Project Personnel	Project reports	-	Delay in the presentation due to unexpected events
	# of research projects	None	2015 – 4 2016 - 4	Documentary review	Quarterly	Project Personnel and Consultants	Papers	-	Delay in the review of information and delivery of positional papers.
	# of dialogue Interventions	None	2015 - 4 2016 - 4	Monitoring visits	Quarterly	Project Personnel Intl. Consultants	Project and consultants reports	\$ 20,000.00	Difficulties for traveling to the place where processes are carried
	# of political advocacy activities	None	2015 – 4 2016 - 4	Documentary review	Quarterly	Project Personnel	Meetings report	-	Difficult access to information in government agencies.
	# of surveys	None	2015 – 2 2016 - 2	Documentary review	Bi annual	Contractual Services Companies	Survey reports	-	Delay in the delivery of the survey results.

Outputs	Indicators			Monitoring Event	Calendar Frequency	Responsibility	Source and type of data	Resources	Risks Assumptions
	Indicators	Baseline	Goals						
	# of roadmaps developed	None	2015 - 2	Documentary review	Bi annual	Project Personnel and Intl. Consultants	Project reports and consultants reports	-	Lack of timely availability of documents and delayed processes.

MONITORING AND EVALUATION ACTIVITIES		2015				2016			
		Quarters				Quarters			
		1	2	3	4	1	2	3	4
		REPORTS	Quarterly Reports	X	X	X	X	X	X
Annual Reports								X	
Final Reports				X			X		
MONITORING	Monitoring Meetings		X			X			
	Monitoring visits		X			X			
	Annual Meetings			X			X		
	Auto evaluation meetings	X		X	X		X		

EVALUATIONS	Final Evaluation*			X		
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- Note \$11,000 have been included under project budget under Local Consultants.