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GUATEMALA URBAN MUNICIPAL GOVERNANCE

Quarterly Report, October 1 to December 31, 2017

This report was produced for review by the United States Agency for International Development (USAID) by Tetra Tech through the Guatemala Urban Municipal Governance project Task Order under the Making Cities Work (MCW) Indefinite Quantity Contract (USAID Contract No. AID-OAA-I-14-00059, Task Order No. AID-520-TO-17-00001).

Tetra Tech Contacts:

Brian Husler, Chief of Party
brian.husler@tetrattech.com

Christian Kolar, Project Manager
christian.kolar@tetrattech.com

Tetra Tech
159 Bank Street, Suite 300, Burlington, VT 05401
Tel: 802-495-0282, Fax: 802 658-4247
www.tetrattech.com/intdev

COVER PHOTO: Students and civil society groups in Retalhuleu march through the streets November 10 to mark the International Day for the Elimination of Violence Against Women

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JANUARY 2018

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ACRONYMS AND ABBREVIATIONS

AGIP	<i>Asociación Guatemalteco de Investigadores del Presupuesto</i> (Guatemalan Association of Budget Investigators)
ANAM	Guatemalan National Municipal Association
ASIES	<i>Asociación de Investigación y Estudios Sociales</i>
BPM	Business Process Manager
CARSI	Central America Regional Security Initiative
CGC	Comptroller-General of Guatemala
CICIG	International Commission Against Impunity in Guatemala
CIEN	National Center for Economic Research
COCODEs	Community Development Committees
COCOPREs	Community Violence and Crime Prevention Commissions
CODEDE	Departmental Development Council
COMUDEs	Municipal Development Committees
COMUPREs	Municipal Violence and Crime Prevention Commissions
CONADUR	National Urban and Rural Development Council
COP	Chief of Party
COREDE	Regional Development Council
CPTED	Crime Prevention through Environmental Design
CVPP	Crime and Violence Prevention Planning
DAAFIM	Directorate for Assistance to Municipal Financial Administration
DCOP	Deputy Chief of Party
DTO	Drug Trafficking Organizations
FCN	<i>Frente de Convergencia Nacional</i> (National Front Convergence)
FLACSO	Latin American Faculty for the Social Sciences
FOCAS	Functional Organization Capacity Assessment
FUNDESA	Foundation for Development in Guatemala
FY	Fiscal Year
GIS	Geospatial Information System
GESI	Gender and Social Inclusion
ICEFI	Central American Institute of Fiscal Studies
IEPADES	Institute of Education for Sustainable Development
IGSS	Guatemalan Institute of Social Security
INAP	National Institute for Public Administration
INFOM	Municipal Development Institute
INL	US Bureau for International Narcotics and Law Enforcement
INTECAP	National Institute of Training
IRTRA	Workers' Recreational Institute
ISO	Solidarity Tax
ISR	Income Tax
IUSI	<i>Impuesto Único sobre Inmuebles</i> (Single Property Tax)
IVA	Value-Added Tax
KM&L	Knowledge Management and Learning
LAIP	Access to Public Information Law
LAPOP	Latin American Public Opinion Project
LEPP	<i>Ley Electoral y de Partidos Políticos</i> (Law for Elections and Political Parties)
LIDER	Libertad Democrática Renovada
ME & L	Monitoring, Evaluation and Learning
MEP	Monitoring and Evaluation Plan
MGCS	<i>Mancomunidad del Gran Ciudad del Sur</i>

MINECO	<i>Ministerio de Economía</i>
MIS	Management Information System
MOU	Memorandum of Understanding
NIIF	International standards of financial information
PCDEG	<i>Política Criminal Democrática del Estado de Guatemala</i> (Guatemala's Democratic Criminal Policy)
PDH	<i>Procuraduría de Derechos Humanos</i> (Human Rights Ombudsman)
PEA	Political Economy Assessment
PEI	<i>Planificación Estratégica Institucional</i> (Institutional Strategic Planning)
PMP	Performance Monitoring Plan (Monitoring and Evaluation Plan)
PNPVD	<i>Política Nacional de Prevención de la Violencia y el Delito</i>
POA	Annual Operating Plan
POM	Multi-year Operating Plan
POT	<i>Planificación en ordenamiento territorial</i> (Property Registry Planning)
PPF	Project Preparation Facility
QSIP	Quality Improvement Service Plan
REC	Review and Evaluation Committee
RFA	Request for Funding
RFP	Request for Proposals
SAT	<i>Superintendencia de Administración Tributaria</i> (Tax Oversight Administration)
SDIP	Service Delivery Improvement Plan
SECAI	Executive Secretariat of the Access to Public Information Commission
SEGEPLAN	Secretariat of the Presidency for Planning and Programming
SIAF	Integrated System of Financial Information and Control
STTA	Short-Term Technical Assistance
T4D	Technology for Development
UMG	Urban Municipal Governance
UN	United Nations
UNE	Unidad Nacional de la Esperanza
UPCV	Unit for Community Violence and Crime Prevention (of the Interior Ministry)
USAID	United States Agency for International Development

1.0 INTRODUCTION

1.1 PROJECT DESCRIPTION

The Urban Municipal Governance project contract was awarded by USAID to Tetra Tech on January 27, 2017. UMG is a five-year project designed to reduce levels of violence in municipalities most at risk of violent crime through enhanced municipal governance, increased coverage and quality of municipal services, and greater citizen participation and oversight. The project will provide municipal governments with improved technology solutions and technical assistance to achieve transparent and participatory planning, financial management, and effective service delivery implementation. UMG will also provide technical assistance, capacity building support, and resources for direct improvements to community-based organizations working in partnership with municipalities to improve services that will help reduce crime and violence.

During its first seven months, UMG signed agreements with 13 municipalities to work in at least one community per municipality. During the upcoming year, UMG will sign an additional four MOUs, bringing the total through its first two years to 17 municipalities. The project complements two other USAID-funded projects—*Convivimos* and *Community Roots*—and supports the work of other USAID and INL-funded projects which strengthen key institutional capacities related to violence prevention, transparency and migration, such as *Participacion Civica* Nexos Locales and the Model Precinct Project. This coordinated approach improves the ability of municipal governments to work with citizens to design, fund, implement and sustain crime and violence prevention activities. UMG overlaps geographically with *Convivimos* and *Community Roots* in ten municipalities and works in close coordination with these partners to implement activities at community, municipal and national levels.

The project works closely with the Interior Ministry, particularly the third Vice Ministry of Violence Prevention and the Unit of Community Violence Prevention (UPCV in Spanish). UMG strives to ensure that municipal strengthening and citizen participation activities are designed to reduce violence in at-risk urban communities and are aligned with the Ministry's new National Strategy for Violence and Crime Prevention. The Ministry presented this strategy publicly in July. It seeks to coordinate efforts between national institutions, community organizations and citizens. UPCV leads capacity building among departmental, municipal and community violence prevention committees. National violence prevention efforts are also strengthened by the Prosecutor's Office Democratic Criminal Policy, released in May.

UMG works closely with national institutions to ensure sustainability of capacity building and institution-building processes: the Directorate for Assistance to Municipal Financial Administration (DAAFIM in Spanish), in the Ministry of Finance, and the Comptroller-General of Accounts (CGC in Spanish) support financial management in municipalities; the Secretariat for General Planning (SEGEPLAN in Spanish) and the Institute for Public Administration (INAP in Spanish) are tasked with strengthening municipal public administration; the Human Rights Ombudsman (PDH in Spanish) is the duty bearer in terms of protecting and strengthening citizen rights, including for example, the implementation of the Law of Access to Public Information (LAIP in Spanish). The Municipal Development Institute (INFOM in Spanish) is also a key counterpart institution for UMG, as it can provide financing for municipal projects. INFOM is one key institution that may house the proposed Project Preparation Facility (PPF).

Further to the strategy of seeking coordination and synergy among key agencies and institutions, UMG works with two a Commonwealth of Municipalities. The Commonwealth of the Southern Metropolitan Area (*Gran Ciudad del Sur* in Spanish) has its headquarters in Villa Nueva and includes six municipalities - four are UMG target municipalities (Mixco, Villa Nueva, Villa Canales, and Amatitlán). UGM also plans to support the Commonwealth of the Southern Metropolitan Area in housing the PPF.

Two partners support Tetra Tech with UMG implementation. Segura Consulting provides technical assistance to strengthen municipal management of public funds and service delivery by establishing a Project Preparation Facility. Tetra Tech's local partner, *Asociación de Investigación y Estudios Sociales* (ASIES) conducts research to strengthen knowledge of the local context, supports the Political Economy Assessment (PEA), facilitates baseline studies and helps monitor progress toward achieving UMG results. In target municipalities, the project:

- Improves management, responsiveness, and transparency among key public institutions, resulting in effective public budgeting and municipal service delivery;
- Reduces the vulnerability of at-risk populations by increasing civic responsibility and citizen-driven improvements in living conditions and municipal services; and
- Increases effectiveness of development councils and civic engagement resulting in the active involvement of citizens and civil society in municipal decision-making and accountability processes.

I.2 CONTEXT IN THE QUARTER

The struggle against impunity continues in Guatemala, following last quarter's attempts by agents in the executive and legislative branches -- labelled 'Pact of the Corrupt' -- to oust the UN Commissioner, Ivan Velasquez. There were important advances in judicial cases against corrupt officials, and the announcement of a major case of fraud in the Municipality of Guatemala, led by Alvaro Arzu, one of the most powerful political figures in the country.

Despite these advances through the Public Ministry and the International Commission against Impunity in Guatemala, expected legislative reforms in justice and electoral processes have stalled due to strong opposition to change.

Three reports published in the quarter shed interesting light on aspects relevant to UMG: Latin American Public Opinion Project (LAPOP), Impunity Watch, and SEGEPLAN.

National Environment

The last quarter ended with failed attempts by President Jimmy Morales to declare Ivan Velasquez *persona non grata*. Support came from around the country and across the world. The International Monetary Fund Chief of Mission in Guatemala, the Secretary-General of the Organization of American States, and Human Rights Watch acting director were quick to support ongoing efforts of Guatemalan institutions like the Public Ministry, with international support, to combat corruption in public office.

Ivan Velasquez himself spoke about a “strong reaction against the struggle against impunity”¹ in an interview in a Spanish newspaper on December 5, and indicated that the May 2018 election of a new Attorney-General to head the Public Ministry will be “pivotal for change” in Guatemala.

The Public Ministry advanced several cases involving municipal administrations and corruption. Four people in the Department of Escuintla, including three with close family ties to a former Mayor of Puerto San Jose were sentenced for money-laundering and drug-trafficking. 17 officials and others, including former mayors, treasurers and council members, in municipalities of Huehuetenango and Totonicapán were indicted for receiving bribes to ensure 31 contracts worth more than \$3M were given to a particular company. Two former mayors of Granados, Baja Verapaz and Antigua, Sacatepéquez, were indicted for forging checks and stealing municipal funds.

But the most important case was the ‘Pandora’ Case, announced on November 7, alleging fraud and misuse of municipal trust funds in Guatemala’s largest city, Guatemala City, headed by former president and longtime mayor, Alvaro Arzu. The case follows millions of Quetzals passing through shell companies to launder expenses and suspected political campaign slush funds going through companies owned and run by jail kingpin (now deceased) Byron Lima. A former security guard for Alvaro Arzu, Byron Lima was convicted of the brutal slaying in 1998 of Monsignor Gerardi.

Another case, uncovered by the Tax Oversight Administration (SAT in Spanish), discovered an elaborate system of 150 shell companies used to help specific corporations avoid paying more than one billion Quetzals in taxes. The size of this tax fraud implies collusion by a wide range of managers, accountants, auditors and banks, among others.

Constitutional reforms with a focus on making the justice system more effective and transparent have been stalled for more than two years.² Since then, some of the more than 25 articles in Bill 5179, have been approved, while most have been postponed.³ A report by Impunity Watch and the Observatory of Judicial Independence⁴, cites key changes which are facing stiff resistance from Congress: changes to the length of time judges serve; changes to how judges are elected, to avoid external pressures; separation of administrative and judicial functions to give justices more time to process cases; and questions on indigenous law and justice.

Electoral reforms have also encountered resistance to change, and may negatively affect chances to improve transparency and accountability during the next national and municipal elections in September

¹ Interview with Spanish daily *El País* cited and published on the CICIG website December 5, 2017, http://www.cicig.org/index.php?page=NOT_080_20171205

² The National Dialogue process recounts four times in February and March when Bill 5179 was not approved by Congress, <http://www.reformajusticiagt.org/>

³ See the full document with notes on each article, CICIG, http://www.cicig.org/uploads/documents/2017/5179_Aprobacion_por_articulos.pdf

⁴ See full report, http://www.independenciajudicial.org/images/independencia_judicial/documentos/Resumen-Ejecutivo-Justicia-en-Riesgo.pdf

2019. Three agencies are looking at different opportunities to improve the Electoral and Political Parties Law (LEPP in Spanish). The hasty changes proposed to the Criminal Code and to protect Jimmy Morales from losing his immunity from prosecution in September highlighted public perceptions of a legislative and political party system which is corrupt and dysfunctional. The Supreme Electoral Tribunal, the Congressional Committee for Electoral Affairs and civil society have been making proposals for changes separately, and it is not yet clear how or whether any effective changes will be made in time for the elections. Some of the key changes being opposed include: how political parties develop candidate lists; electoral boundaries; decentralization of political party funding; gender and indigenous equity; and recall of members of Congress by constituents.

Democracy is on the defensive in Latin America and around the world, according to an October report by LAPOP⁵, which has been surveying citizens across the continent for more than 20 years. Support for democracy is significantly lower in 2016-2017 and trust in political parties is at its lowest recorded in the Americas Barometer. Guatemala is at the bottom in terms of democratic support. The population perceives corruption as widespread, combined with the concerning trend that tolerance for corruption has been growing since 2010. Crime and violence continue to be significant problems – though Guatemala's homicide rates have been declining since 2012. Latin America and the Caribbean have 9% of the world's population and 33% of the world's reported homicides. Nineteen percent of Guatemalans feel unsafe in their neighborhoods in 2016-2017 compared to 10% in 2006. Finally, the report identifies local government performance, responsiveness and trustworthiness as central factors for the legitimacy of the political system.

Lastly, SEGEPLAN announced the results of its latest Municipal Rankings in December. It last released municipal ranking data in 2013. There were dramatic changes in municipal performance across the country, as demonstrated by the analysis of 31 indicators over six categories in the report. Half of UMG target municipalities improved their scores from 2013.

TABLE 1.1: MUNICIPAL RANKING CHANGES 2013 - 2017

Municipalities with improved ranking				Municipalities with lower ranking			
Dept./ Muni	2013	2017	Rise in rank	Dept./ Muni	2013	2017	Drop in rank
Guatemala				Guatemala			
Villa Nueva	27	5	22	Villa Canales	16	95	(79)
Mixco	10	6	4	Chinautla	129	207	(78)
Palencia	116	45	71	Chiquimula			
Amatitlán	65	56	9	Esquipulas	33	69	(36)
Chiquimula				Chiquimula	66	325	(259)

⁵ <https://www.thedialogue.org/wp-content/uploads/2017/10/Crime-Avoidance-Report-FINAL-ONLINE.pdf>

Municipalities with improved ranking				Municipalities with lower ranking			
Jocotan	172	49	123	Quetzaltenango			
				Coatepeque	86	163	(83)
San Marcos				Chimaltenango			
Malacatan	248	133	115	Chimaltenango	126	175	(49)
Quetzaltenango				Izabal			
Colomba	294	118	176	Puerto Barrios	9	233	(224)
Zacapa				Retalhuleu			
Zacapa	243	150	93	Retalhuleu	149	257	(108)
				Escuintla			
				Escuintla	58	289	(231)

2.0 MAJOR ACTIVITIES AND ACCOMPLISHMENTS

UMG made important inroads this quarter in its programmatic execution. It continued the important negotiations and signature process of 13 municipal partnership agreements (MOUs). Subsequently, it completed the Functional Organizational Capacity Assessment (FOCAS) and Municipal and Public Financial Management and Training Plans (PFMs), the latter of which lays out the road map for customized UMG program assistance for partner municipalities. Based on these plans, UMG provided technical assistance and institutional strengthening support to municipal governments in the areas of municipal services assessments, annual planning preparation, financial and administrative management, leadership training to COMUDEs. Additional program results for the quarter include:

- Signed MOUs with three municipal councils - four more are pending for January, bringing the total to 17.
- Submitted the Political Economy Assessment final report, providing rich data on national institutions and trends in public administration, and specific perspectives and data on 10 target municipalities included in the study.
- Together with the USAID funded program Community Roots, signed Letter of Intent with the Vice Ministry of Violence Prevention, mapping out future interventions
- Prepared and validated a Technology Assessment on the 10 initial municipalities to determine internal and external information technology needs. The assessment complements the aforementioned FOCAS. UMG analyzed information about local technology enabling environments (bandwidth capacity; mobile penetration and costs; human capacity), technology (hardware and devices; existing tools and platforms used; security) and users (user-groups; user demands; user capacity and culture).
- Based on UPCV's community methodology, UMG identified and began working in nine communities to perform a participatory assessment and start developing the community violence prevention service improvement plan.
- As part of the worldwide celebration of the International Day for the Elimination of all forms of Violence against Women, UMG raised awareness of violence issues which women face in six municipalities through parades, seminars, cultural and sports activities and public events with municipal and community leaders, involving 2,800 women, men and youth.
- Received 51 concept notes in response to the Annual Program Statement (APS) for the three different components, of which 25 were reviewed and 16 were asked to present full proposals. Of those, UMG submitted one completed APS grant application to USAID for review and approval – worth more than \$770,000 over two years, and implemented by private Guatemalan university *Internaciones*. The purpose of the grant is to train staff in 10 municipalities in key capacities and skills identified during the FOCAS workshops.
- UMG will soon open regional offices in Coatepeque in Quetzaltenango and Chiquimula in Chiquimula, with five staff members in each office (one representative of each of the three components, an administrator, and a driver).

2.1 COMPONENT 1: STRONG PUBLIC BUDGETING AND MUNICIPAL SERVICE DELIVERY PROCESSES IN PLACE



CCASTENEDA/ UMG PHOTO FOR USAID

Intermediate Results

IR 1.1 Improved management, administration, and coordination among key public institutions

IR 1.2 Strengthened accountability, responsiveness, and transparency in key public institutions

Component 1 aims to strengthen the ability of municipalities to function effectively and transparently to fulfill their administrative mandates. This year, the goal is to establish formal relationships with key stakeholders, especially target municipal authorities; liaise with relevant national institutions; and begin work together through the Political Economy Assessment and Functional Organizational Capacity-building Assessment processes.

2.1.1 MUNICIPAL AND COMMUNITY SELECTION

The UMG project signed MOUs with Villa Nueva, Mixco and Palencia in the Department of Guatemala, and with Esquipulas in the Department of Chiquimula, bringing to 13 the number of formal agreements signed to-date. Three more (Zacapa, Chiquimula and Jocotan) are scheduled to be signed in January; leaving Puerto Barrios in Izabal as the final municipality to enter the project, which is scheduled to be signed during the next quarter as well.

With the signature of MOUs, UMG has visited urban communities as part of a selection process for future activities. Criteria to select communities include:

1. High rates of violence, where common crime and extortion statistics exist;
2. Level of community organization – preference given to communities with active COCODEs or some form of community group in existence;
3. Presence of at least one primary or secondary school to dedicate community crime and violence prevention activities;
4. Working in communities in close proximity to cemeteries, prisons or trash dumps (generally high-crime areas or areas vulnerable to gang recruitment);
5. Communities should be selected by the municipality and validated by COMUPREs

Selecting a community in Coatepeque is pending. There are few if any remaining communities in the urban area that meet the established criteria. Recognizing this challenge, UMG is exploring the possibility of focusing its resources only in Component I and not within a specific community in Coatepeque. In Villa Nueva, UMG will join the Embassy's Place Based Strategy and work within Mezquital.

FIGURE 2.1: TARGET COMMUNITIES SELECTED

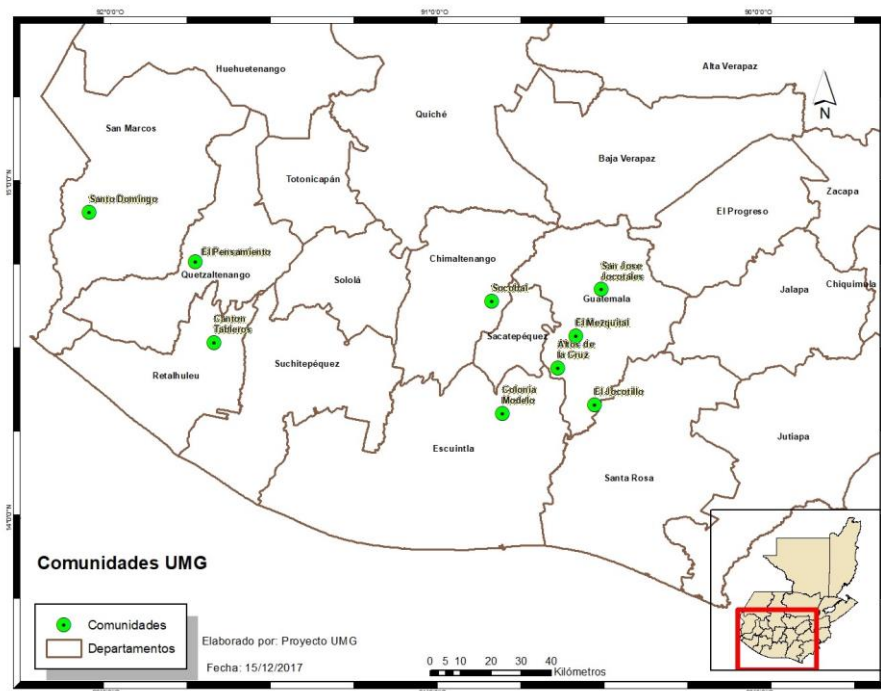


TABLE 2.2: PHASE 1 TARGET MUNICIPAL INFORMATION

Department	Municipality	Population	Crime Rate ⁶	Murder Rate	Migration Return Rate	Municipal Management Index ⁷	Public Services Index	Financial Management Index	Human Development Index ⁸
Guatemala	Amatitlán	110,556	619.6	49.3	42	56	34	34	0.766
	Villa Canales	147,050	295.1	56.8	23	95	79	29	0.705
	Chinautla	126,780	106.5	49.6	23	207	243	173	0.773
	Palencia	60,202	194.3	34.3	240	45	85	16	0.648
Escuintla	Escuintla	153,131	1,072.9	74	67	289	298	327	0.647
Chimaltenango	Chimaltenango	124,545	458.5	38.8	71	175	91	146	0.698
Retalhuleu	Retalhuleu	86,596	231.0	35.5	297	257	334	148	0.686
San Marcos	Malacatán	105,178	121.7	26.7	289	133	57	92	0.606
Quetzaltenango	Coatepeque	131,684	182.3	21.1	248	163	166	281	0.679
	Colomba	40,684	135.2	53.1	181	118	106	74	0.604

Note – Municipalities shaded in blue are shared with INL/RTI project; Municipalities in **bold red** are shared with Mercy Corps' Convivimos; Municipalities in **bold blue** are shared by Raíces Comunitarias; Municipalities in **bold green** are shared by IEPADES

Sources:

- Population and Crime Rate data come from the 2013 National Statistical Institute 2013 reports “Departmental Characterizations” – the crime rate includes all reported incidents of crime. <https://www.ine.gob.gt/index.php/estadisticas/caracterizacion-estadistica>

⁶ Statistics presented for Crime Rate, Murder Rate, and Migration Return Rate are calculated based on 100,000 people.

⁷ Statistics presented for Municipal Management Index, Public Services Index, and Financial Management Index are the ranking of the specific municipality compared to all participant municipalities (essentially out of 340 municipalities).

⁸ The Human Development Index is based on a scale from zero to one. A rating of one signifies a positive trend and rating related to the factors contributing to the human development index. A rating at or close to zero signifies a negative trend related to the factors contributing to the human development index (e.g., human development indicators are poor).

Murder Rate shows the most recent data available from 2016, collected by Evelyn Espinoza and Carlos Mendoza, <http://www.dialogos.org.gt/autor/carlos/>

- Migration Rate shows the most recent data from the International Office of Migration in Guatemala, unpublished
- Municipal Management, Public Services, Financial Management Indices are compiled from data from the recently published 2016 Municipal Ranking of the Presidential Secretariat of Planning and Programming (SEGEPLAN), <http://ide.segeplan.gob.gt/sinittablero/>
- Human Development Indices for municipalities are found in the 2011 Departmental Reports, http://www.desarrollohumano.org.gt/fasciculos/cifras_v4.html

TABLE 2.3: MUNICIPAL SELECTION INFORMATION FISCAL YEAR TWO

Department	Municipality	Population	Crime Rate ⁹	Murder Rate	Migration Return Rate	Municipal Management Index ¹⁰	Public Services Index	Financial Management Index	Human Development Index ¹¹
Guatemala	Villa Nueva	527,174	244.7	50.7	17	5	20	9	0.804
	Mixco	483,705	357.7	34.5	17	6	48	1	0.826
Zacapa	Zacapa	69,655	515.4	96.0	211	150	271	270	0.674
Chiquimula	Chiquimula	95,320	564.4	55.5	243	325	205	259	0.622
	Esquipulas	56,258	312.8	52.4	367	69	45	87	0.618
	Jocotán	57,452	193.2	52.1	150	49	214	13	0.543
Izabal	Puerto Barrios	104,584	615.2	116.7	141	233	104	196	0.704

Note – Municipalities shaded in blue are shared with INL/RTI project; Municipalities in **bold red** are shared with Mercy Corps' Convivimos; Municipalities in **bold blue** are shared by Raíces Comunitarias;

⁹ Statistics presented for Crime Rate, Murder Rate, and Migration Return Rate are calculated based on 100,000 people.

¹⁰ Statistics presented for Municipal Management Index, Public Services Index, and Financial Management Index are the ranking of the specific municipality compared to all participant municipalities (essentially out of 331 municipalities).

¹¹ The Human Development Index is based on a scale from zero to one. A rating of one signifies a positive trend and rating related to the factors contributing to the human development index. A rating at or close to zero signifies a negative trend related to the factors contributing to the human development index (e.g., human development indicators are poor).



LCAAL/ UMG PHOTO FOR USAID

2.1.2 ACTIVITY 1.1: FORMALIZE RELATIONSHIPS WITH NATIONAL COUNTERPARTS

National counterparts

During the reporting period, UMG met with many national, public and private institutions active in financial management, public administration, and civil society strengthening.

Violence Prevention: UMG signed a Letter of Intent with the Ministry of Governance, Vice Ministry of Violence Prevention on November 16 to coordinate efforts to strengthen municipal implementation of the National Policy for the Prevention of Violence and Crime (PNPVD in Spanish). Discussions are underway to develop a detailed Memorandum of Understanding with the Ministry. UMG is working closely with the Ministry's Community Violence Prevention Unit, primarily in three communities - El Jocotillo, Villa Canales; Los Tableros, Retalhuleu; and Socobal, Chimaltenango.

Financial Management: UMG met with and received the support from the Directorate of Integrated Municipal Financial Administration (DAFIM) to support municipalities with the migration of the former financial management system SIAF-MUNI to the new, online system, *Servicios GL*. The support included accompaniment of DAFIM technical personnel to municipalities to train staff and initiate the link from the municipal system to the national one.

Public Administration: UMG engaged INFOM and the *Mancomunidad Gran Ciudad del Sur* during the reporting period to begin organizing the Project Preparation Facility. UMG partner Segura Consulting, will have a major role in supporting the PPF.

2.1.3 ACTIVITY 1.2: IMPLEMENT THE POLITICAL ECONOMY ASSESSMENT

During the reporting period, UMG submitted the Political Economy Assessment. The PEA covered ten municipalities and local organization, *Asociación de Investigación y Estudios Sociales* (ASIES) implemented the assessment.¹²

The result, achieved through in-depth interviews and focus groups at national and municipal levels, deepens the project's understanding about the national and municipal-level political and economic environment that affects how municipalities perform, as well as factors that influence the ability of municipalities to deliver services and meet the needs of citizens within the context of violence prevention. This data supports the development of strategic interventions, which will strengthen municipalities where most needed and begin to change attitudes and behaviors currently impeding municipal good governance. The report highlights the situation from national and municipal authority perspectives.

In addition to awaiting final approval of the report for 10 municipalities, UMG is analyzing how to conduct a similar study in the next seven municipalities. The process with ASIES took longer than expected, was submitted in a disorderly fashion, and did not collect enough data at the community level. Alternatives to complete the next seven PEAs are being explored for next quarter.

2.1.4 ACTIVITY 1.3: IMPLEMENT THE FUNCTIONAL ORGANIZATION CAPACITY-BUILDING ASSESSMENT PROCESS

The target municipalities scheduled for this second round of FOCAS workshops are: Villa Nueva and Mixco in Guatemala; Zacapa in Zacapa; and Chiquimula, Esquipulas and Jocotan in Chiquimula. It is expected that the FOCAS material will be adjusted for Villa Nueva and Mixco as their professional capacity is at a different level as compared to the other municipalities.

2.1.5 ACTIVITY 1.4: IMPLEMENT CAPACITY-BUILDING PLANS IN TARGET MUNICIPALITIES

UMG technical staff implemented 10 FOCAS workshops during its first year. The FOCAS activity is a comprehensive municipal capacity assessment tool that is implemented in coordination with and through an active participation of senior municipal government officials and employees. The results of the FOCAS were systematized and formulated into individual municipal plans. UMG staff and municipal governments develop a customized plan that will guide targeted technical assistance and institutional strengthening activities in each individual municipality.

¹² In Year 1 of UMG, the target municipalities were Amatitlán, Chinautla, Palencia, Villa Canales, and Villa Nueva in the Department of Guatemala; Escuintla in the Department of Escuintla; Colimba Costa Cuca and Coatepeque in the Department of Quetzaltenango; Retalhuleu in the Department of Retalhuleu; and Malacatán in the Department of San Marcos.

The FOCAS reports also serve as a baseline assessment for UMG, since they can be tabulated to produce a snapshot score and allow UMG staff to assess annual levels of improvement in each municipal government. Many mayors recognized and praised the accuracy of the FOCAS in highlighting their own strengths and weaknesses and the customized response in each capacity building plan to target high impact improvements in municipal resource management.

Compared to the Year2 Work Plan, UMG exceeded expectations in offering technical assistance and support to municipalities which respond directly to needs expressed, and lines of work agreed in the FOCAS Training Plan. The most intensive interventions were consultant-led technical training in four municipalities to deliver high quality Annual Operating Plans on-time December 15; and technical assistance to support migration of financial data in the municipality of Amatitlán. Additionally, UMG assisted in the analysis of the status of implementation of Servicios GL in the additional municipalities and plans to provide technical assistance in three additional municipalities to support their migration of financial data next quarter.

UMG invested time gathering more detailed information in two technical areas to better plan assistance and training support in 2018: review of status and use of functional and organizational manuals in five municipalities; and customer service satisfaction and employee satisfaction surveys in five municipalities.

Municipal Planning

One of the key issues identified in the FOCAS was the need for better coordination between Department Directors and key staff, and wider participation of managerial staff, in the development of the Annual Operating Plans. Municipalities are required to submit to the Ministry of Finance by December 15. The need to strengthen linkages between municipality's own Institutional Strategic Plans (PEIs in Spanish), Annual Operating Plans (POA) and Multi-year Operational Plans (POM) was another expressed wish for support.

During the reporting period, UMG supported the strengthening of this coordination and these strategic linkages between different municipal strategies and plans, through two consultants working in each of two municipalities (Villa Canales, Chimaltenango; Malacatán and Coatepeque). Strategic Institutional Plans and Multi-year Operational Plans were updated, and participatory workshops involving different municipal Departments were implemented to develop the 2018 Annual operating Plans. In the process, leaders and staff of the Municipal Planning Department increased their knowledge and understanding of these various documents and the relationships that each has to the others.

While final reports are expected early next quarter, preliminary reports give some indications as to the impact of the activity, and implications for coming years. The case of Chimaltenango in Chimaltenango is worth sharing below.

- **Chimaltenango:** 19 participants included four Department Directors, and six heads of units, like IUSI, Water Services and LAIP. There was a marked improvement in the knowledge and understanding of the legal framework, the inter-relation between multi-annual operating plans and annual operating plans, and the strategic plan. The group reviewed 10 project proposals from the Departmental Development Committee (CODEDE) before deciding on six, worth a total of Q4.8M. Observations from the consultant include:

- There are clear communications problems between departments; this experience showed the need and value for collaborating and communicating in this collective process
- This process included two Council Members – it is valuable for elected officials to participate in this kind of process, and learn more of the operational issues behind the proposals (approval of POA) which come to the Council

TABLE 2.4: PARTICIPATION AND KNOWLEDGE CHANGE IN TWO MUNICIPALITIES IN TRAINING TO PRODUCE ANNUAL OPERATING PLAN

PARTICIPATION AND CHANGE IN KNOWLEDGE AMONG PARTICIPANTS – 2 MUNICIPALITIES					
MUNICIPALITY	PARTICIPATION (MALE)	PARTICIPATION (FEMALE)	PRE-TEST RESULTS (AVERAGE)	POST-TEST RESULTS (AVERAGE)	% CHANGE
Chimaltenango	16	3	59% 5 of 19 scored higher than 80	85% 9 of 11 scored higher than 80	44% improvement
Villa Canales	8	2	74% 5 of 10 scored higher than 80	77% 5 of 10 scored higher than 80	4% improvement

- **Coatepeque:** In this municipality, 14 participants included staff from the Municipal Planning Department, Municipal Department for Women, Office for the Protection of Children and Youth, and the Public Services Department. The final POA submitted to the Municipal Council included 31 projects worth nearly Q23M, which included: school refurbishments; health and environment; potable water; bridges and roads; drainage; public security; public lighting; programs for women; cultural activities; and sports facilities. Observations from the consultant include:
 - **Improve the quality of information:** municipal departments should develop strategies and processes to gather more, and better data to use in these planning processes
 - **Training of more staff in strategic planning themes:** participatory planning and budgeting processes would benefit from deeper knowledge and understanding of strategic planning, development project management and municipal finances
 - **Alignment of all Department Objectives to Strategic Plan** – some work is still required to support the cascading and alignment of municipal strategies and plans down to different departments; so that each department develops its own strategies and plans to deliver the results expected to contribute to the whole

As a result of this consultancy, the four municipal Annual Operating Plans were submitted on-time December 15. Also as a result, Villa Canales has requested further assistance to fill in some of the gaps identified in this process. Final reports for all four municipal experiences are expected early next quarter.

Financial Management

The principal obstacle that many municipalities face is a lack of capacity to implement the financial management software system – *Servicios GL* -- introduced by the Ministry of Finance in 2009. *Servicios GL* is an online system which reports real-time municipal income, as it is being collected, and which the Ministry of Finance can monitor. The principal issues for municipalities in introducing and managing the new system are: that supporting documents for municipal fees and services (such as Fee Schedules) must be uploaded into the system; and that duplicate users (citizens) are not allowed. The system identifies municipal tax-payers by the unique Personal Identity Number (DPI in Spanish). These two issues mean current systems need to be updated in terms of Fee Schedules and other supporting documents, which in some cases, municipalities have not done; and that municipal taxpayer databases must be purged of duplicate or deceased taxpayers. Another common problem is in procurement management, including public contracts and purchases.

UMG developed two lines of work to strengthen these operational areas: strengthening understanding of budgetary processes and the use of technology to management municipal finances; and training municipal staff in the legal framework and procedures for public contracts.

This quarter, UMG fulfilled its plan to strengthen one municipal finance office – Palencia -- to formulate municipal budgets and develop potential income scenarios for 2018. With this assistance, Palencia was able to submit financial statements with correct notations and attachments, and 2018 budget scenarios to *Servicios GL* by the December deadline. Next quarter, four more municipalities will be offered the same technical assistance. The main efforts in Financial Management technical assistance will be invested in FY18 Q3 and Q4.

Income Generation

All municipalities shared fundamental revenue generation challenges in the collection and management of municipal service users' fees for water, sanitation, electricity, public markets and other services. Staff expressed concerns about the variety and range of fees and services that they are required to manage. They also expressed their challenges with establishing adequate fee structures, and explaining cost-recovery principles to citizens.

UMG's plans for supporting municipal revenue generation for FY2 include improving systems and processes for collection and management of taxes and service fees; and strengthening the ability of municipal governments to leverage and manage donor funding to support municipal public services. In this quarter, UMG focused on activities to strengthen the former – systems and processes for collecting and managing taxes and service fees.

- *Servicios GL*

Four municipalities – Escuintla, Amatitlán, Chinautla and Chimaltenango – do not yet operate within the Ministry of Finance *Servicios GL* system mandated by the Ministry of Finance. In these four municipalities, therefore, UMG developed strategies in collaboration with each municipality to comply with the regulation.

In the case of Amatitlán, which had already initiated steps to comply with the Ministry of Finance, six data-entry clerks were hired, and trained by DAFIM to understand the new system and how to enter updated taxpayer data into it. In the cases of Chinautla and Chimaltenango,

UMG supported municipal applications to the Ministry of Finance to migrate from the older SIAF-Muni system to the *Servicios GL* system, and is providing four and six data entry clerks respectively to each municipality to facilitate the transfer of data. In the case of Escuintla, which has seven data entry clerks already, UMG will support a campaign early next quarter to advertise the updating of taxpayer data in municipal offices.

- **Functional and Operational Manuals**

UMG began an extensive review of municipal functional and organizational manuals, beginning with four western municipalities of Malacatán, Coatepeque, Retalhuleu, Colomba and Amatitlán

In Amatitlán, UMG invested technical assistance in reviewing and strengthening the municipal manuals related to functions and tasks of employees. Organizational charts were developed for each Department, and descriptions of specific positions developed. A recommendation during this process was for the municipality to create a Social Development Department which would include units for education, health, culture, sports and other social work. Finally, UMG provided technical assistance to develop a service fee schedule for services in the municipal multi-use sports ground and the All-purpose Community Hall in the *Laguna Seca* community.

- **Municipal Service Fee Schedules**

In the same visit to the four western municipalities mentioned above, UMG began a review of Fee Schedules in order to identify opportunities for technical assistance. In general, fee schedules were found to be out-of-date, with the result that fees do not even cover the costs of delivery and maintenance of most services. Cemeteries in Coatepeque and Colomba were found to have no regulations at all. Other services which could benefit from technical assistance to revise or update include: construction licenses; licenses for sound systems for public events; regulations for slaughterhouses; and licenses for bars and restaurants.

UMG will present a plan for technical assistance to each municipality early next quarter.

Violence Prevention

Planned activities this year include training to municipal employees about violence prevention policies, strategies and activities, and training in resolution of conflicts. These will be developed in later quarters.

Citizen Participation and Outreach

UMG facilitated a rapid analysis of the situation of Social Communication units in Malacatán, Coatepeque, Colomba and Retalhuleu. The survey shows Social Communication Units with limited spaces for work, limited equipment and technical capacity, but much enthusiasm for the work of communication, and even some good practices in terms of growing social media audiences.

The main task identified is to document municipal-led activities – inaugurations, school events, road construction and the like. The Annual Report is a key task at the end of each year. Units provide speakers and projectors for public events, and make diplomas and other documents required by other municipal departments. For most, Facebook is the key medium. All have access to local cable channel, though coverage is limited to the urban center. Programming seems to focus on announcing upcoming activities and/ or changes to municipal services like office closures or road closures. None make use of annual events like municipal fairs to share information with the public. Expressions of needs focus on

technical assistance – with writing, with editing video and sound and images; some would like to manage campaigns; all would like some kind of support in terms of equipment and more efficient work spaces.

A follow-up visit is planned in FY18 Q2 to propose forming a network and to identify more clearly which needs might be addressed and how, with available resources. In addition, visits to the other UMG regions will continue, to collect similar data from all target municipalities.

Strengthening Human Resources

UMG responded to a request from the Municipality of Palencia to strengthen the capacity of selected staff to improve their ability to produce quality reports and documents. A 16-hour course was designed by the UMG Training Specialist which included directed learning, sharing of experiences, and practical exercises to help learning in the class and between classes. Pre- and post-test instruments were developed, and 25 municipal staff were invited to participate.

The four-session course focused on: the importance of writing for reports; use of language and accents; characteristics of technical documents and correspondence; and practical examples of letters, memos, office communications, and email.

Of the 25 participants, 18 were youth aged 15 to 29, and seven were older than 30. As a result of the training, knowledge and application of writing rules and conventions typical for office work rose from an initial average score of 36 over 100 in the pre-test, to 78 over 100 in the final test.

2.1.6 TECHNOLOGY SUPPORT AND TECHNICAL ASSISTANCE FOR MUNICIPAL STRENGTHENING

Improved use of technology was identified as one of the overall gaps in target municipal administrative and financial operations in the FOCAS workshops (see Textbox below). In order to identify more clearly specific gaps and opportunities, an assessment was made by the UMG Systems Technology Advisor and a consultant from Tetra Tech's Technology for Development (T4D) unit in November, and specific tailored technology plans developed for five municipalities. These plans address both baseline institutional technology needs and opportunities to implement innovative solutions to facilitate community engagement, municipal feedback loops, and communications.

The primary objective of this initial assessment was to understand the role of technology in municipalities and to identify opportunities for improved technology solutions to support planning, financial management, revenue generation, citizen outreach and engagement, and violence and crime prevention.

Visits were made to 10 municipalities in the quarter (Chinautla, Escuintla, Villa Canales, Chimaltenango, Amatitlán, Malacatán, Colomba, Coatepeque, Retalhuleu and Palencia) Staff from Information Technology, planning, finance, human resources and property cadaster departments were interviewed. As well as identifying information about key staff roles and responsibilities, UMG

"All municipalities demonstrated the need to improve their use of information technology to enhance administrative efficiency, compliance and transparency. The Government of Guatemala has mandated by law and regulation the use of specific software programs such as *Servicio GL*, *GuateCompras*, *SICOIN GL*, etc. UMG will conduct a rapid information technology assessment in October to identify problem areas and define actions to address them, in collaboration with the Ministry of Finance and municipalities."

PFM and Training Plans FOCAS Report, pg. 4

Textbox 1: Overall gap from FOCAS assessment

gathering information about local enabling environments (bandwidth capacity; mobile penetration and costs; human capacity), technology (hardware and devices; existing tools and platforms used; security) and users (user-groups; user demands; user capacity and culture).

Assessment Findings

The assessment was able to identify some common needs for basic technology improvements in target municipalities, which are simple to address and could have a significant impact of improved function of the daily work of municipalities.

Baseline Information Technology Priorities: **Computers** are outdated and limited in number for the staff and expectations of results. Also, many computers are not robust enough to complete the assigned tasks – communications staff computers are not powerful enough to manage a website. While most municipalities are using standard software packages like Word or Excel, but some cannot afford licenses. All municipalities are at different stages in the implementation and use of the *Servicios GL* system for managing municipal finances. Connectivity is an issue that is often beyond the control of municipalities, but there are some features which can be installed to maintain a minimum baseline of connectivity and bandwidth. UMG will support a specific diagnostic of this situation in each municipality. Data storage considerations are great – more and more data requires more and larger servers; servers require secure and permanently cooled spaces; data requires secure back-ups. UMG will explore feasibility of cloud-based options for municipal data storage. Internal communications is highly inconsistent in target municipalities, with insufficient capacity to use email, document sharing and calendar tools. UMG will work with municipalities to identify opportunities to strengthen communications protocols and improve content delivery and reach.

Cross-cutting Needs: The assessment team noted that most municipalities are in different stages of modernizing land-use planning and management. UMG will work with municipal staff to identify opportunities for support in this area, including building knowledge and capacity in the use of open source geospatial information systems (GIS).

Innovative Technology Projects: UMG staff found municipal staff motivated to leverage technology to improve municipal services and increase engagement with communities. The main opportunities for using technology innovatively are in: improving collection and management of municipal service fees such as with digital platforms or digital invoicing; community outreach and engagement, with more public Wi-Fi, mobile kiosks to access public information or make payments, and smartphone applications so citizens can report service breakdowns more quickly and accurately.

Opportunities with Other Stakeholders: UMG met with different stakeholders interested in the use of technology to improve municipal functioning and services, such as the *Mancomunidad Gran Ciudad del Sur* (MGSC) and *GuateCambia*. The *Mancomunidad* has expertise and experience to work with municipalities to implement cadaster offices; *GuateCambia* has worked extensively in Guatemala and throughout Central America using technology to promote transparency.

The Assessment concluded with three recommendations:

- **Achieve baseline information technology priorities** – including having functioning computers, network needs identified, administrative software, and training in specific software (Office, website design and management; *Servicios GL*, cadaster programs; GIS)
- **Foster engagement between *Mancomunidad* and participating municipalities** – take advantage of the resources and opportunities available at the MGCS and foster collaboration to develop strategies for engagement on projects, especially in land-use planning and management
- **Assess feasibility of innovative technology projects** – UMG should further explore opportunities for appropriate and feasible innovative technology projects

2.1.7 GRANTS RELATED TO MUNICIPAL STRENGTHENING INTERVENTIONS

UMG's grants strategy supports interventions identified in the FOCAS workshops, and through initial discussions with municipal authorities about their needs in administrative and financial management.

As of August 25, 2017, a first-round review was made after UMG received 26 concept papers from various Guatemalan organizations of which eight were focused on strengthening Municipalities (Component 1), eight on community strengthening (Component 2), and 10 on citizen participation (Component 3). After a pre-screening for compliance with basic eligibility requirements, all 26 concept papers were passed to the Review and Evaluation Committee (REC).

On October 5, 2017, the REC selected the five highest-scoring, out of eight, applicants addressing Component 1 of the Project, to be invited to the UMG office in Guatemala City to present their project concept. Minutes of these meetings are maintained in the project archives. Once the in-person presentations were completed, the five applicants were notified to submit a full proposal by October 30, 2017 and relevant instructions, technical and financial feedback and templates were shared with the applicants (budget template, proposal content, implementation schedule, etc.) Of these five applicants: 1) one dropped out; 2) FUNDESA's was approved but negotiations placed on hold until specific municipality needs can be assessed; 3) *Asociación por el Desarrollo* will be evaluated by the Review and Evaluation Committee in 2018; 4 & 5) *Universidad Internaciones* and *FLACSO* (both proposing Component 1 activities) were prioritized and negotiations commenced. Their final revised technical and financial proposals were received the last weeks of December 2017.

UMG Open APS

UMG-GT-APS-1869-17-01

Issued July 24, 2017

Objectives:

- 1) to strengthen budgeting processes and service delivery at the Municipality level;
- 2) to empower marginalized high-crime urban communities to lead to improvements in their living conditions and municipal services; and
- 3) to enhance decision-making and accountability processes through participation of organized citizens and civil society organizations

Currently, the *Internaciones* proposal is in the hands of USAID, pending approval. The final *FLACSO* proposal is expected to be submitted for approval in January.

UNIVERSIDAD INTERNACIONES: This two-year grant seeks to strengthen administrative structures and capacities in ten target municipalities, especially in areas of finances and planning, through the development of six components (diagnostic, training, accompaniment and monitoring, modern

technology and systematization, and institutionalization of processes. The project begins with a thorough analysis of the financial, administrative and organizational status quo of each of the target municipalities. Training will include a university credited two-year Diploma and Technical Certificate, as well as training in specific issues which become apparent. The courses cover municipal framework for delivery of public services, development of Annual Operating Plans and Multi-year Operating Plans, legal obligations, ethics and transparency among others. This grant is aimed at key actors in municipal finance and administration, as well as members of the Municipal Councils, COMUDEs and COCODEs.

Selected municipalities include: Amatitlán, Villa Canales, Palencia, Chinautla, Escuintla, Chimaltenango, Malacatán, Colomba, Retalhuleu and Coatepeque

FLACSO: The purpose of this two-year grant is to strengthen municipal capacities in Results-based Management and Municipal Fiscal Policy to improve efficiency and effectiveness in the delivery of municipal public services in ten municipalities. FLACSO will design and implement two Diploma courses for technical staff in Results-based Management and Municipal Fiscal Policy. Council Members in all 10 municipalities will be given a shorter course in management of municipal fiscal policy. The 60-hour Diploma in Results-based Management will include six Modules in themes like: Public Management, Planning, Budgeting, Management, Follow-up and Evaluation, and Tools. In these modules, 20 selected participants from each municipality – from Public Services, Planning, Youth, Women and other Departments – will explore specific issues such as problem analysis, identification of indicators, calculating costs of services among others. The course for up to 80 Council Members in total for the 10 municipalities is 24 sessions of about one hour and will provide an overview of themes like fiscal policy and taxation, analysis of municipal income and expenditure, and models for increasing revenue generation. This grant will contribute to indicator #2 (Number of municipalities with demonstrated improvement in institutional capacity for public financial management).

Selected municipalities include: Amatitlán, Villa Canales, Palencia, Chinautla, Escuintla, Chimaltenango, Malacatán, Colomba, Retalhuleu and Coatepeque.



GTHOMPSON/ UMG PHOTO FOR USAID

2.2 COMPONENT 2: HIGH-CRIME, URBAN MARGINALIZED COMMUNITIES ARE IMPROVED THROUGH CITIZEN-DRIVEN IMPROVEMENTS IN LIVING CONDITIONS AND MUNICIPAL SERVICES

INTERMEDIATE RESULTS

IR 2.1: Vulnerability of at-risk youth to crime decreased

IR 2.2: Vulnerability of at-risk populations reduced

IR 2.3: Civic responsibility increased

Component 2 links the municipality's increased administrative and technical capacity to fulfill their legal mandates to improve service delivery to the most troubled and needy neighborhoods within their jurisdictions.

During the quarter, UMG succeeded in developing a methodology for conducting community-based participatory vulnerability analyses in target communities, in collaboration with the Governance Ministry's Community Violence Prevention Unit (UPCV), and implementing it in two target communities – Palencia and Amatitlán, in the Department of Guatemala.

VIOLENCE PREVENTION STRATEGIES AND ACTIVITIES IN UMG

UMG seeks to reduce violence and crime in at-risk urban communities through a combination of municipal strengthening, increased municipal service delivery to specific communities, and increased citizen participation in development decision-making.

With communities identified and a deeper project understanding of the violence prevention institutions and strategies in target areas, UMG has achieved a clearer vision of how undertake primary and secondary violence prevention interventions to achieve its goals, through social and situational violence prevention activities. Primary prevention is understood as activities directed to the general population of a target area, which tend to strengthen individual and community resilience to violence, and mitigate social circumstances which may lead to violence. Secondary prevention is directed at specific vulnerable groups – such as women, youth and indigenous people – which have higher risks of becoming victims or violence, or perpetrators.

Risk factors – which will be largely explored with communities in the Vulnerability Analysis described below (pp 28-32) -- include social risks and situational risks. Social risks are those factors which drive people to become ‘marginalized’ in society, and less resilient to violence. Situational risks are those which create opportunity for violence, such as bearing arms in public, or drinking too much alcohol.

UMG’s key strategy in violence prevention is to support the implementation of the Governance Ministry National Policy on Violence and Crime Prevention and the National Strategy on Violence Prevention , in three specific ways: operationalization of the National Policy and Strategy by promoting their implementation in municipal and communities contexts; working with the Governance Ministry and other national agencies to build installed capacity on violence prevention – awareness; institutions; processes – in target areas; and to work through Component 2 and 3 to support the development of effective community violence prevention actions.

Principal achievements this quarter in violence prevention are:

- Signing of a Letter of Intent with the Governance Ministry’s Third Vice Ministry of Violence Prevention November 16; a full Memorandum of Understanding is being negotiated based on this Letter and should be signed in FY18 Q3.
- Agreement to support a series of initiatives in collaboration with the Violence Prevention Vice Ministry this year to promote municipal authority appropriation of the National Violence Prevention Policy and Strategy. Activities planned include: a *Breakfast Dialogue* with 30 Mayors; a public forum on municipal roles and experiences in violence prevention, featuring two international guest speakers on the issue; and the creation of a Technical Round-table to support municipal implementation of violence prevention activities.
- Collaboration with the Governance Ministry Community Violence Prevention Unit (UPCV) to explore their methodology (see below) to create Municipal and Community Violence Prevention Plans. UMG will work with UPCV in three target communities: Jocotillo, Villa Canales; Tableros, Retalhuleu; Socobal, Chimaltenango. As part of this work, the three communities formed Community Violence Prevention Committees (COCOPREs) in the quarter.

2.2.1 ACTIVITY 2.1: IMPLEMENT COMMUNITY-BASED PARTICIPATORY VULNERABILITY ANALYSIS

This quarter UMG has experimented with different methodologies to develop a solid basis for the Community Services Improvement Plans in a Context of Violence Prevention.

In the first instance, in October, UMG staff participated in internal capacity building workshops on a vulnerability analysis methodology that Tetra Tech has used in other countries around the world. Staff visited Los Altos de la Cruz community in Amatitlán to test the methodology which included three different focus groups reviewing questions around a map of their community. Participants included community leaders, women and youth. Afterwards, a transect walk helped UMG staff contextualize their understanding of the security and insecurity issues discussed in the focus groups. A plenary session at the end of the workshop validated information and prioritized issues. After UMG staff had a chance to reflect on the experience, they returned to the community to validate their findings from the vulnerability analysis and ask participants – community leaders, women and youth – about potential actions which could be undertaken with local resources, municipal resources and other resources to address some of the prioritized issues identified earlier. On the basis of this discussion, a draft Community Services Improvement Plan in a Context of Violence Prevention was developed.

The same methodology was tested also in Rincon de la Piedra, Palencia.

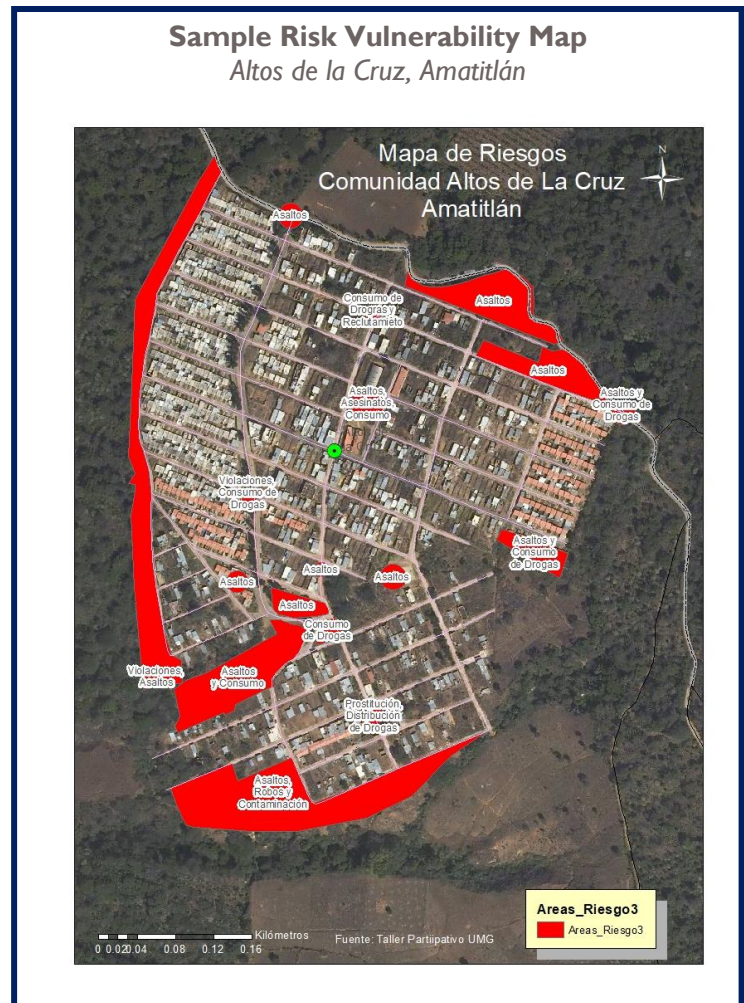
Vulnerability Analysis in Altos de la Cruz, Amatitlán

Altos de la Cruz is an urban Community five kilometers from the center of Amatitlán, on the slopes of a hill below the Pacaya Volcano. The community was developed in 1998, and today consists of about 90 houses and 150 families, of whom 70% are owner-occupiers. Services which come to the community include: electricity, water (single monthly payment of \$12), buses service, telephone and cable. There is one primary school with 260 students, but no secondary school. There is one Catholic and eight Evangelical churches. The Community has a Community Development Committee composed of seven members (4 men, 3 women), but it is of recent reformation. There is a women's group – Women Entrepreneurs in Hope – with 23 members and support from national NGO IEPADES to help women develop and maintain income-generating projects.

Altos de la Cruz Participation
16 Women, 14 Leaders, 10 Youth

When participants were asked to group key risk factors together, they found there were three principal kinds of risk: roads and public pathways not maintained, well-lit or patrolled; unsafe public spaces because of poor lighting, maintenance or the consumption of alcohol and drugs; and too many young people with little to do.

Vulnerability Analysis in Governance Ministry Community Violence Prevention Unit (UPCV)



At the same time, UMG met with senior staff and regional staff of the Governance Ministry Unit for Community Violence Prevention (UPCV), to learn about their methodology for developing Community Violence Prevention Plans (see text box this page). The UPCV Implementation Model is drawn from the 2014 National Policy on Violence and Crime Prevention and emphasizes the strategic role of municipalities in leading violence prevention activities.

This model is being applied in three UMG target communities, in collaboration with UMG: El Jocotillo, Villa Canales; Los Tableros, Retalhuleu; and Socobal, Chimaltenango). The UPCV model includes collection of basic data, selection of municipalities/ communities, and then focuses on creating a Municipal Violence Prevention Committee (COMUPRE) and/ or Community Violence Prevention Committee (COCOPRE). UPCV trains the Committees in specific themes (citizen participation, citizen rights, violence prevention) and then implements the vulnerability diagnostic, which includes a guided dialogue; focus groups; survey of victimization and citizen perceptions of violence; and an exploratory transect walk. These inputs lead to the development of a municipal or community plan, and its subsequent implementation in coordination with other municipal and national institutions and agencies.

UPCV and UMG applied this methodology in three communities in the quarter:

- In Jocotillo, 25 community and three municipal leaders met to create the COCOPRE December 14. It comprises 13 members, including a majority of women, and representation from the Catholic Church and the Community Education Committee. A training session in violence prevention, citizen rights and citizen participation in community development committees was held December 15.
- In Socobal, Chimaltenango, 11 community leaders met December 11, and a COCOPRE of five members was formed. A training session was held December 27
- In Tableros, Retalhuleu, a COCOPRE was formed with six members and a training session was held December 17.

UPCV Methodology for developing Community Violence Prevention Plan

1. Target community identified, and led by COCODE
2. Community Violence Prevention Commission (COCOPRE) formed
3. Training of COCOPRE members in violence prevention context, citizen participation and citizen security
4. *Community Conversation* on violence prevention
5. *Transect Walk*
6. Community Violence Prevention Plan drafted, validated and approved

In all three cases, Community Conversations will be held next quarter. In these dialogues, community participants will talk about issues of security and insecurity in their communities, through semi-structured interviews, a survey and a transect walk.

UMG Methodology to Implement in 2018

As a result of this testing of different methodologies, UMG has decided to combine elements of the methodologies seen. As can be seen in the following graphics, the new methodology has a preliminary phase, a diagnostic stage and a Community Services Improvement Planning stage.

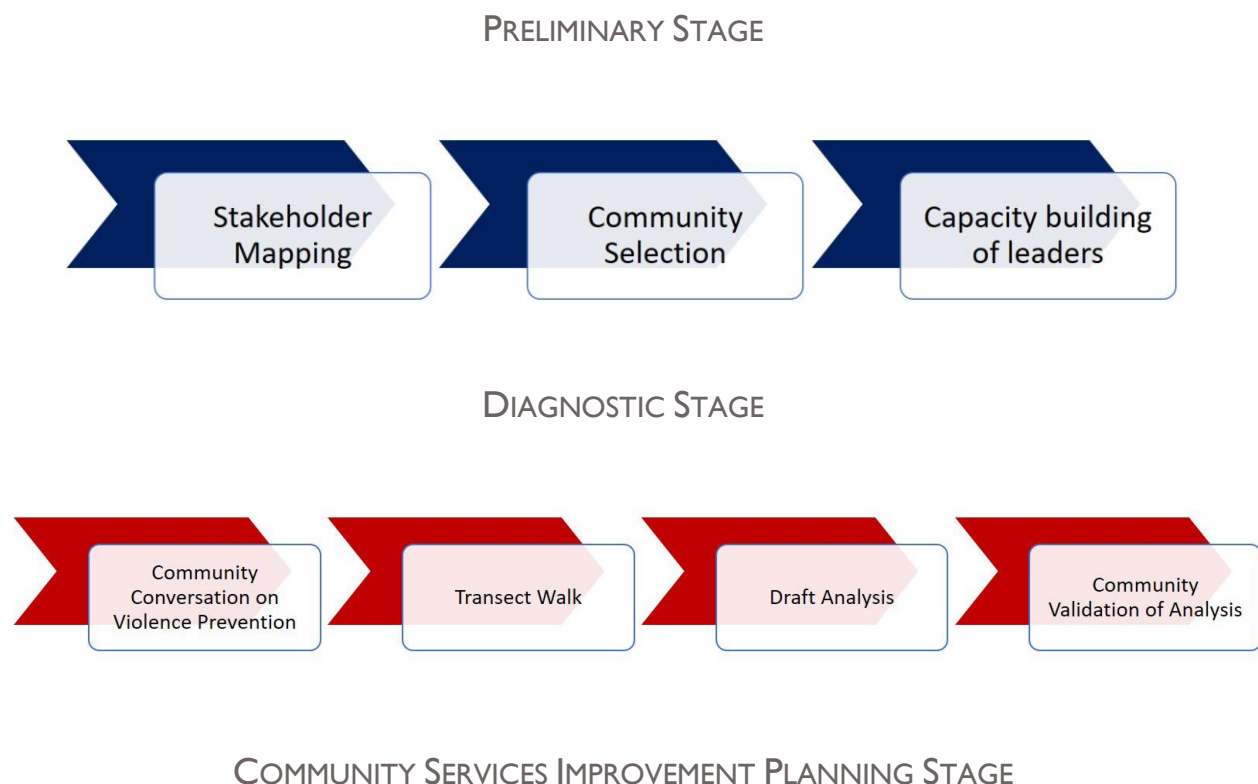
The preliminary stage includes gathering data about the municipality and community, including demographic, violence and security and key stakeholder information. After a community is selected, leaders, including COCODE members, and leaders of other municipal and community entities, are invited to training on themes of violence prevention, citizen security and development and citizen participation.

The diagnostic stage begins with a call to community leaders, women and youth to participate in a Community Conversation and Transect Walk, in which security and insecurity issues will be identified, and potential responses to mitigate these brainstormed. UMG staff will analyze all this data collected and present a summary of findings to the same community leaders and members, who will validate the information and make any necessary adjustments.

The final stage is to develop a Community Services Improvement Plan in a Context of Violence Prevention, and present this again to the community leaders, leaders of women and youth, for a final validation.

This is the model which UMG will be implementing in 2018.

GRAPHIC 2.1: UPCV AND UMG IMPLEMENTATION MODEL FOR MUNICIPAL AND COMMUNITY VIOLENCE PREVENTION





2.2.2 ACTIVITY 2.2: STRENGTHEN RESPONSIVE COMMUNITY VIOLENCE PREVENTION PLANNING THROUGH SDIPS IN COMMUNITIES WITH NO OTHER USAID VIOLENCE PREVENTION PROJECTS

UMG's strategies for developing Service Development Improvement Plans (SDIPs) have evolved this quarter, in rich discussions between USAID, UPCV and UMG leadership. The emphasis in developing community improvement plans remains, including with a focus on improving municipal public services in marginalized communities. But there is also a need to address service improvement which specifically addresses vulnerabilities to violence, especially of at-risk women and youth in urban communities.

The result was to develop Community Service Improvement Plans in the Context of Violence, and that these plans would identify specific interventions which stakeholders could implement related to a) primary and secondary prevention of violence, and b) situational prevention of violence.

In both cases, the Community Services Improvement Plans in a Context of Violence Prevention were presented first to municipal authorities (Amatitlán – 20 November; Palencia – 28 November), where some adjustments were made; and subsequently to community leaders again, where one or two final adjustments were made. These plans will form the basis of Component 2 and 3 work in following quarters.

Altos de la Cruz, Amatitlán

Participants came together November 2 to assess the work completed to-date and brainstorm solutions to the problems identified, and especially solutions in which community members themselves could be involved. There were three solutions proposed, with activities:

- **Improve citizen security, principally on public avenues** – by improving relations with the National Civilian Police who make patrols; install or improve street lighting with support from the Municipality; improve roadways so that public transportation can pass easily through more of the community's streets, and reduce the risks at the principal entrance, with support from the Municipal Transit Police and a consultant expert in urban design; and design and implement a citizen security alert system, using telephone based technology.
- **Make public spaces more secure** – by implementing cultural, sports and recreation activities for youth, and improving maintenance of public spaces with the Municipality; renovating green areas so they can be used more by families and in community activities with help from a consultant expert in urban design and the COCODE; rejuvenate public squares and meeting places in front of the churches, the school and the basketball court, with the Municipality, COCODE and a consultant expert in urban design.
- **Implement activities for at-risk youth** -- through social-cultural and sports activities in public spaces, with support from the COCODE and NGO partners; forming strategic alliances with institutions such as INTECAP and MINECO to provide employment-ready training and

education; offering psycho-social services and activities for youth and their families through NGOs with expertise in these issues.

Rincon de la Piedra, Palencia

Leaders, women and youth came together November 21 to assess the vulnerability analysis and consider actions which could mitigate the situations identified and prioritized earlier. Given that there were four situations identified here, four objectives for the Plan were proposed:

- **Minimize risks to youth of the sale and consumption of drugs** -- through integrated educational campaigns to reduce the demand for drugs; coordination with the National Civilian Police to patrol key areas in the community; promote a culture of reporting crime.
- **Recuperate public spaces for safe community activities** – by working with the municipality to improve lighting; rejuvenating public areas so that the community would make more and better use of them; promote recreational and sports activities to encourage increased public use of community spaces.
- **Promote integrated development for youth** – by implementation of skills building workshops in specific in-demand areas like computers, painting, and others; development of social, recreational and sports activities for youth; provision of psycho-social services for youth, their peers and families.
- **Build positive sense of co-existence with neighboring community** – rejuvenating the basketball court; regularly inviting members of the neighboring community to cultural and sports activities in Rincon de la Piedra; improving public lighting; support the legalization of land in the neighboring community.

2.2.3 ACTIVITY 2.3: IMPLEMENT AND MONITOR COMMUNITY IMPROVEMENT PLANS

The main efforts of this Activity will be implemented beginning from FY18 Q2.

2.2.4 ACTIVITY 2.4: ESTABLISH AT LEAST TWO PROJECT PREPARATION FACILITIES (PPF)

Following on earlier visits and agreements, UMG Partner Segura Consulting visited Guatemala in November to advance their agenda to build Project Preparation Facility (PPF) experiences with the National Institute of Municipal Development (INFOM) and the *Mancomunidad Gran Ciudad del Sur* (MGCS).

In short, both INFOM and MGCS agreed to develop PPF pipeline projects in 2018; with INFOM forming a Technical Round-table to coordinate efforts with offices outside the capital. Segura Consulting also began a hiring process to open their operations in Guatemala through UMG.

At INFOM, meetings were held with General Manager Oscar Suchini and staff from four regional offices (San Marcos, Quetzaltenango, Suchitepequez and Zacapa). UMG and INFOM agreed to set up a Technical Round-table for the PPF project and, at the first meeting, the INFOM Regional Manager from San Marcos was nominated and chosen as a Coordinator of the Technical Round-table.

At the MGCS, there were discussions of what kinds of projects could be implemented, and how they would be operationalized. Discussions will continue in 2018.



LSEQUEIRA/ UMG PHOTO FOR USAID

2.2.5 GRANTS RELATED TO COMPONENT 2

In the quarter, UMG received eight concept papers relevant to Component 2, through the Annual Program Statement process initiated in July. On November 20, 2017, UMG selected the six highest-scoring applicants and invited them to the UMG office in Guatemala City to present their project concept. Once the in-person presentations were completed, six applicants were notified to submit a full proposal and relevant instructions, feedback and templates were shared with the applicants. These five applicants were given full technical and financial deadlines of December 6, 2017 at 17:00.

Women from civil society groups and municipal officials in Retalhuleu after the march for the Elimination of Violence against Women, November 10, in which more than 1,500 participated.

2.3 COMPONENT 3: CITIZENS AND CIVIL SOCIETY ESPECIALLY IN THE MOST AT-RISK COMMUNITIES ARE ACTIVELY INVOLVED IN MUNICIPAL DECISION-MAKING AND ACCOUNTABILITY PROCESSES

INTERMEDIATE RESULTS

IR 3.1: Increased representation and effectiveness of development councils at community and municipal level

IR 3.2: Increased impact of citizen voice through coalition-building

IR 3.3: Increased civic engagement

Component 3 seeks to strengthen the ability of citizens living within the target communities to improve their representation and relationship with municipal officials, knowledge of their rights, and capacity to advocate for positive changes. UMG is seeking to improve citizen participation in key institutions and processes which relate more directly to project objectives: Municipal and Community Violence Prevention Committees; Municipal and Community Development Committees, and bodies like the Municipal Office / Department for Women and the Municipal Office for Youth.

To this end, in the quarter, UMG gathered data on the experiences of target municipality Development Councils, and also from key stakeholder institutions with presence and jurisdiction over violence prevention-related issues in target areas.

Some good practices in development council experience in municipalities outside of target areas was also gathered, for sharing and reflection within UMG target areas.

16 DAYS OF ACTIVISM AGAINST VIOLENCE AGAINST WOMEN

UMG organized a series of public events to promote the UN Secretary-General's "Unite to end violence against women" campaign in November. The campaign promotes 16 days of activism to raise awareness about violence against women around the International Day for the Elimination of Violence against Women, November 25.

UMG organized eight activities in six municipalities, directly involving more than 2,800 women, men and youth in marches, vigils, awareness-raising seminars and talks. National institutions from the National Civilian Police, Public Ministry, Human Rights Ombudsman and the Governance Ministry collaborated in these collective gender-focused activities. Municipal Departments of Women led the mobilization of civil society and school groups to participate widely. Violence Prevention actors were involved, from delegations of the Community Violence Prevention Unit (UPCV), Municipal and Community Violence Prevention Commissions.

The events provided spaces in which women could express their experiences in terms of gender discrimination and gender-based violence, and also where Mayors, Governors and other leaders could publicly express their support for actions which eliminate violence against women.

2.3.1 ACTIVITY 3.1: INVESTIGATE SUCCESSFUL CIVIC ENGAGEMENT AND TRANSPARENCY IN MUNICIPAL GOVERNANCE EXPERIENCES AND MODELS

Local Development Councils were formed in 2002 under the terms of the Urban and Rural Development Council Law to represent, inform and engage their constituencies in community and municipal governance. These replaced previously less formal Community Improvement Committees, and Community Water Committees and other bodies created locally on an ad-hoc basis. The Development Councils are the essential link between governments that provide and sustain services (supply) and those who benefit from the services, the citizens (demand). Typically, the membership is a mix of official and citizen leadership that represent the different constituent groups and officials who provide oversight and expertise. While Component 1 focuses on strengthening the capacity of municipal government, including Councils, to improve functions to administer and supply services, Component 3 focuses on improving the capacity of Councils to ensure that municipalities are satisfying demand.

This quarter, UMG collected initial data on the Development Council experience in target communities, partly through the PEA process and Partner ASIES, and partly through a consultancy documenting best practices in Guatemala.

Rapid Analysis of Target Municipality Development Councils

As part of the extensive data-gathering in the PEA process, focus groups were formed separately with municipal leaders, including members of the Municipal Development Committees (COMUDEs) and community leaders and civil society representatives, including Community Development Committees (COCODEs). UMG asked how citizens were engaged in creating development plans for their communities, how they were engaged in budget matters, and which of the key municipal documents – Strategic Institutional Plan (PEI); Multi-year operating Plan (POM) or Annual Operating Plan (POA) – best incorporated their needs and desires for projects.

- a) **Participation in development planning:** After more than 15 years in operation, many members of the Community and Municipal Development Committees are still not very clear about their roles and responsibilities. Municipal authorities (Mayor and Council) have widely different views and practices with respect to the participation of these Committees in setting development plans. The experience highlighted in Section 1.4 above showed how few municipal Department Directors participate in development annual plans and budgets; the limited participation of development committees follows from that. Some municipalities are more exclusionary than others; but there is a common thread that when Municipal Councils set priorities or engage in development studies, these are not generally shared with others. In some municipalities, the lack of representation of Community Development Committees has provoked the creation of alternate development committees locally. Further information about the workings of COMUDEs/ COCODEs and their exact relationship to POAs is needed. But this rapid analysis has identified some of the key questions which need to be asked.
- b) **Participation in development budgets:** Participation in budget preparation and matters is less common than in developing annual plans. In all cases, participation of development council members in budget matters is left to the COMUDE, if at all. Several focus groups drew a clear distinction also between discussions of investment budget (projects to be implemented) and functional budget, in which there is little involvement of citizens.
- c) **Development council system highest impact: PEI, POA, POM?** The experiences vary widely, though most said the POAs reflect some of the projects prioritized by communities and municipalities. The criteria used to include (or exclude) projects do not seem to be widely known, and are sometimes managed by the Municipal Council, and sometimes by the Mayor. It is clear that in most municipalities, the great majority of approved projects are of the construction variety: drains, wells and road improvement.

Good practices in COMUDEs identified

A consultant was hired this quarter to review experiences in, among other themes, access to public information, open government, fiscal transparency and citizen participation. Some of the factors explored which helped identify a ‘best practice’ included: change which occurred in municipal management; changes to planning processes; viability of experiences; replicability; relevant to public services; levels of socialization and acceptance by citizens/ communities.

The report highlights experiences in eight different municipalities (none target municipalities, by design) relevant to the variables mentioned above. Two experiences are worth highlighting in part here, because of their relevance to citizen engagement and outreach.

- **Santiago Atitlan**, Sololá, a Tz'utujil town with about 17 communities in the urban core, on the shores of Lake Atitlan. The site of one of the last massacres during the armed conflict (1993), Santiago had a complicated time after the Peace Accords were signed in 1996. In the depths of lack of confidence in authorities, and continued chaos in managing public services and payment for services, administrations began to turn things around, with more attention to better administration; introduced participatory budgeting in 2013; created a Coordinating Body for COCODEs (COMUDECO) which has functioned well to bring together the perspectives of 11 different COCODEs in the municipality, involving up to 2,000 people in developing plans for 2016. Municipal administration has moved beyond just one kind of POA – it also develops a Plan for Water and Sanitation; Plan for Local Economic Development; Participation is promoted in developing the municipal budget and an updating of the same. Information is shared in public events; and there are monthly reports of advances and achievements. The COMUDE is especially well informed, and its meetings are transmitted on local cable live. The participatory budget is also presented in a public event. These actions, among others, have gained the administrations of Santiago Atitlan credibility among the people, and this has created more interest in civic engagement.
- **San Cristobal Acasaguastlan**, Progreso. The current mayor, Mirian Ordoñez, is one of the few women to run a municipality in Guatemala, for the LIDER party. Before 2016, there were citizen demands for more Citizens demanded that the COMUDE be used as a space of accountability every four months to the population. More confidence means more communities want to organize COCODEs ... before there were 8; now there are 25. "Taking decisions with the people was not an attractive prospect" said one interviewee. Before, COCODEs came together just to make noise; now they have demonstrated that they can and should be taken into account." COMUDE meetings are transmitted live. The Mayor – a woman? – takes an active part as do two Council Members. The Municipal Office of Community Support has helped greatly, as well as specific Municipal Commissions (Women, Youth, and Violence Prevention). An international agency has promoted the creation of 'little COCODEs' for children and youth, so that the existence and practice of community leadership starts early.

Recommendations: The report recommends actions which should be further explored in specific municipal contexts:

- Mechanisms of internal coordination
- Manage necessary information for citizens, on-time and in language which is easily understood
- Promote accountability exercises – these require good planning, but promote legitimacy and a culture of legality
- Strengthen COMUDEs as spaces for dialogue and debate
- Promote coordination among COCODEs and dialogue
- The work of the COMUDE Commissions must be articulated with the work of Municipal Corporation Commissions (Women, Youth etc.)
- The COMUDE should be regularly informed of municipal advances and achievements, and meetings transmitted live on local cable
- More COCODE members will go to COMUDE meetings if they are advised in time and if agendas are shared in advance

- Municipal Offices of Community Support help the development of COCODEs/ COMUDEs and coordination between them

A similar analysis of the Municipal Department for Women/ Municipal Offices for Women, is pending.

2.3.2 ACTIVITY 3.2: CONDUCT TRAINING IN THE PRINCIPLES OF OPEN GOVERNMENT AND ACCESS TO PUBLIC INFORMATION

The concept of social inclusion goes beyond participation in formal venues such as meetings. UMG strengthens municipal governments to effectively understand and prevent crime and violence at the community-level. Some social groups, such as women, youth and indigenous, have historically been at a disadvantage with limited access to influence, resources and many continue to suffer from discrimination. In communities where crime and violence is prevalent they are the most vulnerable groups. Due to this vulnerability, and other factors such as lower education levels and demands on their time, they are also the most reluctant to actively engage in formal activities. Our approach takes into consideration these social dynamics and barriers (discrimination, machismo, gender-based violence) and has municipal governments working in partnership with community leaders and civil society organizations to understand and address these differential circumstances and needs.

This quarter, UMG completed a mapping exercise of civil society organization in target areas, and began to promote the interaction and inter/articulation of civil society, municipal and national entity agencies in public activities, especially around issues of awareness about social violence, and violence prevention initiatives.

Mapping of key stakeholders in target municipalities

In this quarter, the exercise of mapping stakeholders in target municipalities relevant to violence prevention was initiated, with results from seven municipalities presented. The purpose was to interview key actors in justice, security, education, health and social sectors, and to gather information on issues such as: projects being implemented and challenges which might shed light on the work of UMG.

Some 30 institutions were visited in seven municipalities, which were: Chimaltenango, Malacatán, Coatepeque, Retalhuleu, Amatitlán, Chinautla and Palencia. The institutions interviewed in Coatepeque have jurisdiction over Colomba – both in Quetzaltenango -- and so the data is relevant for that municipality.

In 60% of the cases, interviewees were recently arrivals to the posts, which impeded gathering information about the recent past. The interviews were unstructured, centered around two key discussion points – what are the most pressing violence issues in the municipality; and what operational solutions have been designed for each of them?

Agencies interviewed include: National Civilian Police; justices of the peace; Secretariat of Social Well-being; Ministry of Social development; Human Rights' Ombudsman's Office; National Attorney-General's Office; Presidential Secretariat for Women; Ministry of Education; the Red Cross; Public Ministry; Lions Club. While the investigation continues to capture data from the remaining target municipalities, some commonalities are emerging among projects and challenges in these institutions.

In terms of primary prevention: the Development Council System is still very weak with respect to citizen participation and project planning, and the Municipal Department of Women is still too weak to effectively promote the National Policy on Integrated Women's Development at local levels; the school system suffers from abandonment by students, mostly for economic reasons, and few functioning Schools for Parents; and there are insufficient platforms for women and youth from which to effectively promote their full participation.

In terms of secondary prevention, there is lack of capacity and collaboration in institutions and networks which support victims of violence, few educational programs for at-risk women and youth and/ or victims of violence, and few public mechanisms, and little capacity, to resolve conflicts.

The Law on Access to Public Information (LAIP)

The Access to Public Information Law (LAIP - Decree 57-2008) came into effect in January 2009 to fulfill the public nature of government activities and information, and guarantee the free and easy access to information by citizens.¹³ LAIP has three qualities, according to the Human Rights Ombudsman (PDH in Spanish):¹⁴ a **legal** quality in strengthening the legal operations of the nation; a quality of **national interest** in strengthening credibility between citizens and their government; and a quality of **utility** in providing ways and means for citizens to exercise social audit. LAIP is based on four guiding principles: maximum publication; transparency in the management and execution of public funds and public processes; free access to public information; speed and ease of procedures.

LAIP identifies 29 kinds of information which should be made public officially, through a municipally established Unit of Access to Information, and through a website.¹⁵ PDH arranges these in three groups: general administrative information (directory of staff; municipal organizational structure; internal manuals for procedures); information which demonstrates transparency in implementation (salaries, honoraria and benefits, projects in execution, budgets, purchases); and substantive information about institutional duties (annual operating plans; programs; scholarships and subsidy programs)

The PDH issues periodic reports on municipal fulfillment of LAIP obligations, and in March 2017 reported overall scores for UMG target municipalities Chimaltenango, Chiquimula, Escuintla, Esquipulas, Retalhuleu and Zacapa. Retalhuleu and Escuintla scored relatively well – 76/100 and 67/ 100 respectively, while Zacapa scores very low, at 30/ 100. Zacapa scored low in part because it has no website in compliance with the Law, and only partially fulfills the obligation for a Public Information Access Unit in the municipal offices.

MCBATZ/ UMG GRAPHIC FOR USAID¹⁶

¹³ Concepts outlined in Articles 30, 31 of the 1985 Constitution

¹⁴¹⁴ PDH Report 2016; PDH is the national institution tasked with oversight of LAIP application.

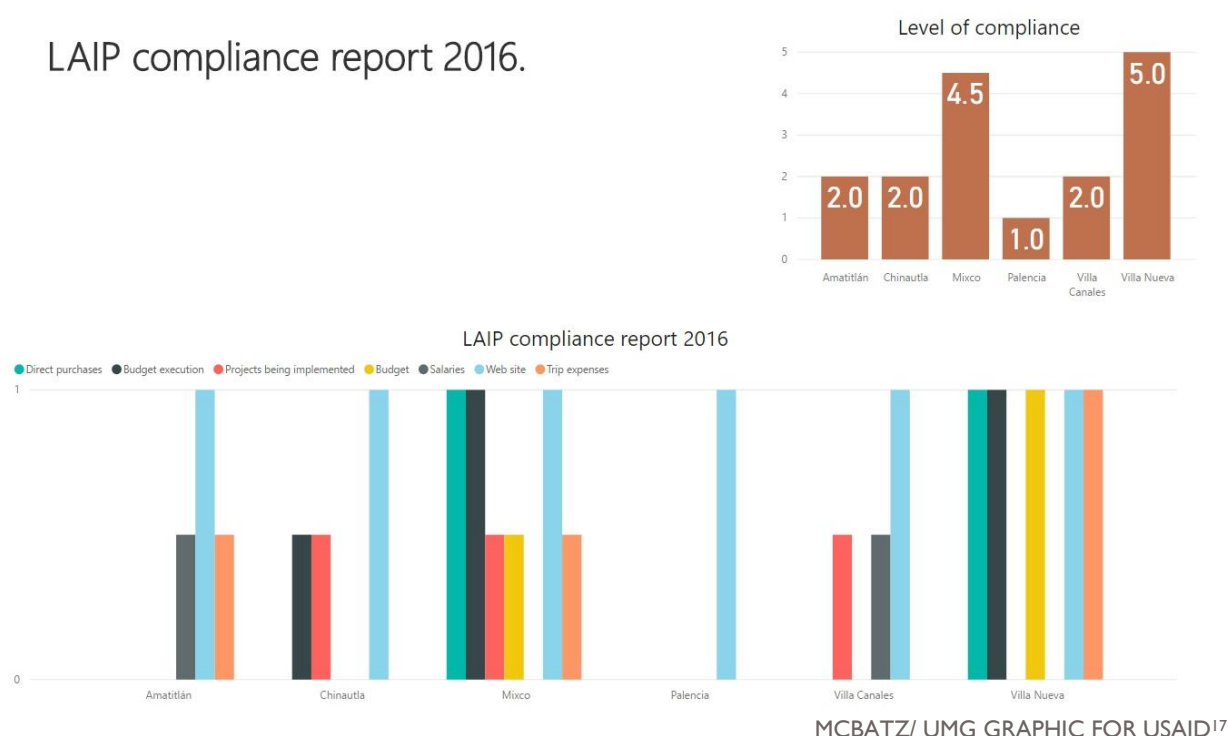
¹⁵ These are found in Article 10 of the Law

¹⁶ Based on data published by the PDH, <https://www.pdh.org.gt/biblioteca/category/57-informes-de-supervisi%C3%B3n-y-seguimiento.html?download=3404:informe-sobre-207-municipios-2017>

In Graphic 2.2, which highlights six more UMG target municipalities (Amatitlán, Chinautla, Mixco, Palencia, Villa Canales and Villa Nueva), it is possible to see a little more detail in the PDH analysis. Villa Nueva and Mixco – much larger municipalities, with more resources – were able to comply more easily with LAIP obligations. But in the multi-colored graph, it is possible which of the key information sectors caused municipalities' more difficulty. Only two published adequate information on direct purchases (green bar); only half on budget execution (black); three partially on public projects in execution (red); two on budgets (yellow); only half published information on municipal staff trip expenses (red-brown).

GRAPHIC 2.2: 2016 ANNUAL REPORT ON LAIP COMPLIANCE OF REMAINING SIX TARGET MUNICIPALITIES

LAIP compliance report 2016.



2.3.3 GRANTS FOR COMPONENT 3

In the quarter, UMG received ten concept papers relevant to Component 3, through the Annual Program Statement process initiated in July. On November 20, 2017, UMG selected the five highest-scoring applicants and invited them to the UMG office in Guatemala City to present their project concept. Once the in-person presentations were completed, five applicants were notified to submit a full

¹⁷ Based on data published by PDH for the year 2016, <https://www.pdh.org.gt/biblioteca/category/100-2016.html?download=2813:supervisi%C3%B3n-municipalidades-del-departamento-de-guatemala,-2016>

proposal and relevant instructions, feedback and templates were shared with the applicants. These five applicants were given full technical and financial deadlines of January 17, 2018 at 17:00.



GTHOMPSON/ UMG PHOTOS FOR USAID

Some 270 women, men and youth march through the community of Los Altos de la Cruz, Amatitlán, to promote awareness about violence against women, in an activity to mark the International Day for the Elimination of all forms of Violence against Women, November 25

2.4 CROSS-CUTTING ACTIVITIES

2.4.1 START-UP, ADMINISTRATION, AND FINANCE

Administration

The main administration achievement in the quarter was to complete the process of creating a legally constituted local office of Tetra Tech ARD INC. in Guatemala, substituting the former arrangements with business service provider Integral Quality Consultant S.A. All staff became contracted employees of the new entity from October 1. In addition, MG added six staff this quarter, as shown in the table below. One staff member, Vivian Mack, resigned December 15. That position will be filled early next quarter.

TABLE 2.5 UMG STAFFING ADDITIONS IN THE QUARTER

Name	Position	Contract Date
Winfred Donald Peña Arévalo	Driver	10/02/2017
Álexander López Chamier	Security Manager	10/04/2017
Mynor Leonel Morataya Corado	Municipal Public Service Specialist	10/09/2017
Lucy Rosangela Lewis Marroquin	Administrative Assistant	10/09/2017
Prisilla Arizai Vásquez Xon	Data Entry Assistant for MEL	11/27/2017
Max Enrique Fajardo González	Technology Specialist	11/27/2017

UMG received several visitors in the quarter – mostly Home Office and Partner visits to advance specific themes such as internal training in vulnerability analysis methodologies, implementation of a technology survey in key municipalities, and administration and programmatic measures to initiate a Project Preparation Facility pipeline in 2018.

TABLE 2.6 EXTERNAL VISITS TO UMG IN THE QUARTER

Visitor	Dates		Motive	Organization
	From	To		
Patricia Caffrey	22/10/17	2/11/17	Training in Vulnerability Analysis for the UMG Technical team	Tetra Tech
Marnie Valdivia	3/11/17	13/11/17	Support for Rapid Assessment of Technology in key municipalities	Tetra Tech
Christian Kolar	8/11/17	18/11/17	UMG visit to revise Work Plan and Project progress.	Home Office
Jorge Segura	8/11/17	18/11/17	PPF Planning	SEGURA Consulting
Renee Vendetti	6/12/17	16/12/17	Support for Grants	Home Office

Grants and Contracts

UMG moved forward with grant applications, submitting one to USAID for approval at the end of the quarter. A second final proposal will be submitted early next quarter. Two proposals for Component 1 are in the final stages of revision; six proposals for Components 2 and 3 are also in the final stages of revision; and another five proposals for Components 2 and 3 are still under review.

UMG had the support for Tetra Tech Home Office in the person of Renee Vendetti in December to help in the preparation of the *Internaciones* University and FLACSO proposals, the two large proposals most ready for final submission (see above page 27). Vendetti helped UMG grants staff finalize documents and formats for the final *Internaciones* application submitted December 29; and to coordinate adjustments in the proposal with FLACSO which will be finalized and submitted in January.

The grants department also worked on two Requests for Proposals (RFP); one to develop a Technical Tool for Online Surveys; one to develop and design a project website in English and Spanish. Both processes closed December 13. Three proposals were received for the Technical Tool and five for the Project website, and these will be reviewed by their respective Evaluation Committees in due course.

2.4.3 MONITORING, EVALUATION AND LEARNING

During this quarter, the Data Entry Assistant was hired to be part of the Monitoring, Evaluation and Learning Team (ME<). UMG has designed, developed and managed two different surveys related with the Municipal Management. The first one aims to identify the opinions of municipal employees about organizational climate, and captures perspectives on the following variables: human, organizational, labor satisfaction and resource factors. The second survey aims to capture perspectives of municipal adult residents and aims to identify their satisfaction with municipal management and public services. This survey measures the following variables: human factor, organizational, satisfaction, image and public services. Palencia, Malacatán, Colomba, Coatepeque and Retalhuleu were the target municipalities for this exercise - below is a preliminary analysis, pending application of the surveys in the remaining target municipalities. Next quarter, UMG will collect data through the surveys in the other target municipalities and will present the main finding and analysis to the Mayors, Councils and key municipal staff.

UMG reviewed with detail the M&E sections of each concept paper and proposal in the Annual Program Statement process. UMG has begun to design and develop a Management Information System (MIS) that will allow the project to collect data of all activities from grantees, ensuring data quality, follow-up of project indicators advances, reporting, dashboards and GIS.

UMG took part in a two-day workshop and forum on 'Open Government' experiences and opportunities at the Rafael Landívar University main campus in Guatemala City. Sponsored by German Cooperation, the National Democratic Institute and the International Republican Institute, the event offered a series of talks, displays and thought-provoking expositions by academics, politicians and development professionals from Guatemala and abroad. Items of special interest to Urban Municipal Governance include: 'We are Chiantla' – an application designed for a municipality in Huehuetenango which allows users to access municipal information by phone; INFOPUBLICAGT, an initiative developed by local organization GuateCambia, to monitor 100 pieces of public information which ought to be freely available in each municipality; and SHEVA, a platform intended for rural women to facilitate access to educational content and opportunities to learn remotely.

The revised Monitoring and Evaluation Plan (MEP) was submitted November 2, 2017. Four additional indicators were suggested by USAID and were included in this version. This revised MEP is under review. The indicators added are:

- Number of municipalities with Municipal Crime Prevention Committees (USAID framework)
- Number of awards made directly to local organizations (F Indicator)
- Number of vulnerable people benefitting from USG-supported social services (F Indicator)
- Percentage of USG-funded NGO or other international organization projects that include activities or services designed to reduce specific risks or harm to vulnerable populations (F Indicator)

Municipal Employee and citizen perception survey

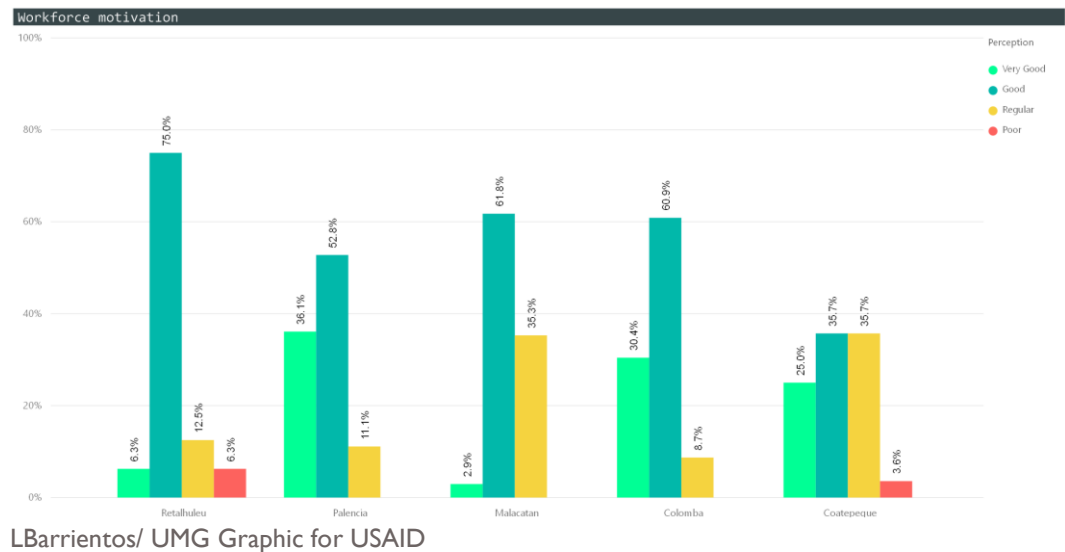
The Monitoring and Evaluation Team implemented the Municipal Employee and Citizen Perception surveys piloted in Palencia in September, in four municipalities in the Western Region (Malacatán,

Colomba, Coatepeque and Retalhuleu) in December. The surveys were developed as a response to a request from Mayors after the FOCAS workshops in July.

In the Employee Survey, which aims to capture information about interpersonal relations between municipal employees, municipal organization, resources and personal levels of satisfaction in the workplace 117 municipal staff in four municipalities were interviewed: 62 women and 55 men. While a final report of the survey will wait for results from all target municipalities, it is worth sharing some of the data which begins to shed some light on issues in which UMG can strengthen capacity.

Graphic 2.4, below, shows the results of employee satisfaction (questions include: personal satisfaction in employment; remuneration and benefits; whether efforts are recognized; whether employees receive training, induction, feedback on their performance). In general, most municipal employees feel very good about their employment – as shown by the bars in shades of green. In Coatepeque, there was less positive recognition of economic and emotional satisfaction. With this information, Human Resources in that municipality may wish UMG support to develop some training package concerning this issue.

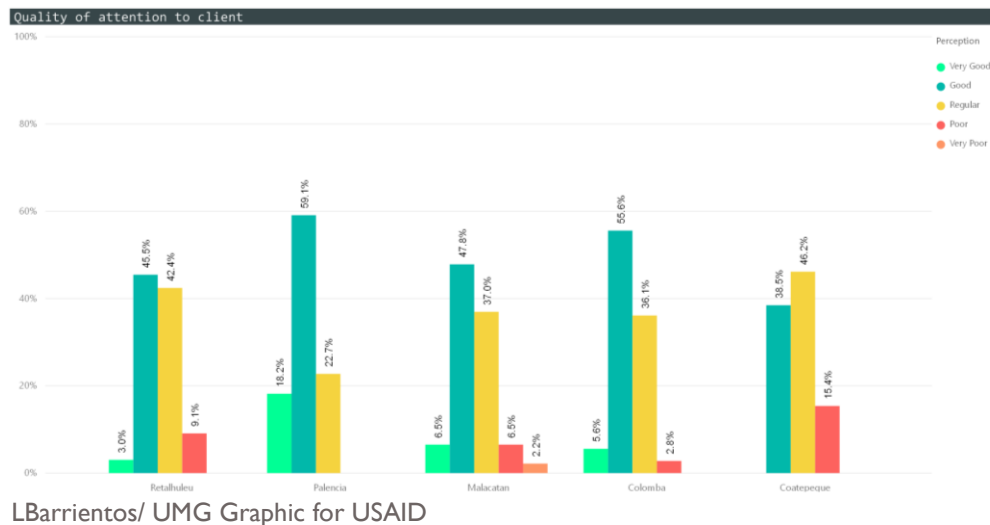
GRAPHIC 2.4 WORKFORCE SATISFACTION IN FOUR MUNICIPALITIES



The Client Satisfaction Survey aims to capture information on interpersonal relations between municipal residents and municipal staff, and documents perceptions of municipal organization, general environment, public image and perceptions of tangible delivery of public services, 163 municipal residents in four municipalities were interviewed: 75 women and 88 men.

Graphic 2.5, below, shows the results of one aspect of this survey: Quality of Attention to Clients. Questions include: how municipal staff treat clients coming to seek services or make payments; whether the service is efficient, effective and friendly; perceptions of staff capacity and service-orientation. As can be seen in the Graphic, it is possible to say that there is some level of client dissatisfaction in all municipalities, especially in Coatepeque, Malacatán and Retalhuleu. Municipal residents desire better attention to their needs. UMG can work with municipal Human Resource staff to develop a training program to improve this attention to clients.

GRAPHIC 2.5 QUALITY OF CLIENT ATTENTION SATISFACTION IN FOUR MUNICIPALITIES



Communications

The project launch November 16, the biggest communications activity this quarter, featured a speech by US Ambassador Luis Arreaga, and was hosted by the Governance Ministry. More than 80 guests present included representatives of municipalities, government agencies, development agencies specializing in violence prevention, and civil society. To emphasize the important role seen for Mayors and municipal officials in confronting the causes of violence, and promoting localized violence prevention policies and strategies based on the national ones, the event included reflections from a mayor and a community leader.

“What is it that we as a municipal team can add? What is our role in crime prevention?” asked Mayor Brenda Del Cid, of Chinautla in the Department of Guatemala. She is one of only 11 female mayors in the country. “The people who live in our municipalities know us, and if we participate, and help in the activities that are implemented, there will be much greater benefit, and as a result, more help from within the local population.”

Promoting community development and organization is an important element of bringing about change in at-risk communities, said Community Roots Chief of Party Borys Chinchilla. Capacity building, enterprise development, education are necessary to create ‘motors of development’ and also ‘motors of violence prevention.’ The event ended with the signing of a Letter of Intent, which outlines activities which are being developed into Memorandum of Understanding between the Ministry of Governance and each USAID project separately in the next quarter.



GThompson/UMG Photos for USAID

The November 16 project launch event was headed by Violence and Crime Prevention Vice Minister Axel Romero, left, US Ambassador Luis E. Arreaga, center, and UMG Chief of Party Brian Husler, right, in the photo above left. UMG COP Brian Husler emphasized the importance of municipalities in promoting successful violence prevention strategies and programs, above right.

Other Communications activities included the following:

- The project Communications and Social Media strategies were developed and submitted to USAID. Adjustments were made after comments were received, and the two documents were ready for re-submission at the end of the quarter. Terms of reference were developed for consultants to develop a website, and proposals were received, though a decision is pending approval of the Communications Strategy.
- As part of this strategy, an initial diagnosis of situation and needs in four municipal Social Communication units was made (see Section 1.4 above, pp 23-24.), with a view to providing capacity building technical assistance to improve citizen engagement and outreach from the perspective of municipal communications departments.
- Project information was shared with the donor and staff, including 11 Weekly Activity reports documenting 40 different activities promoting violence prevention measures through municipal strengthening, improved service provision and citizen engagement and outreach activities
- The Communications Specialist continued to develop materials to promote project visibility: roll-up banners for each Component; roll-ups focusing on violence prevention for the project launch; notepads and pens for meetings and workshops with officials; and a USB through which to share key documents.

ANNEX A: SUCCESS STORY – PARTICIPATORY PLANNING AND BUDGETING

UMG STRENGTHENS MUNICIPAL PLANNING

Collaboration in participatory process is key

It is hard to think how Guatemalan municipalities can effectively and efficiently deliver public services without a strategic plan and an annual operating plan. Big projects, like road construction or amplification of primary schools over a region, require multi-year plans.

But every year, Municipal Planning Department Directors begin to scramble as Christmas approaches, to deliver a key document – the Municipal Annual Operating Plan (POA), with its accompanying budget, strategic plan and multi-year operating plan – to the Ministry of Finance by December 15.

The Urban Municipal Governance Project (UMG) identified this issue in its Functional Organization Capacity Assessment process in July, and implemented a three-month technical assistance project to help four municipalities – Malacatán in San Marcos, Coatepeque in Quetzaltenango; Chimaltenango in Chimaltenango; and Villa Canales in Guatemala – deliver their operating plans on-time and with quality.

The problems are myriad: from lack of staff in the Municipal Planning Department to lack of coordination and communication between departments for different inputs; from a lack of data about communities and their inhabitants to unfamiliarity with the national regulations and formats.

“Many people from different Departments do not know these instruments, or how to fill them in” said Edwin Barrios, director of the planning department in Malacatán.

Added to this is pressure from the national institutions like the Ministry of Finances and the Presidential Secretariat of Planning and Programming (SEGEPLAN) to reject poor documents or delay approval if supporting documents are lacking. Poor results can mean fines and sanctions from the Comptroller-General of Accounts, and lower scores in the Ministry of Finance Municipal Ranking tables.

A good POA earns municipalities credibility with these oversight bodies.

UMG’s intervention cemented a positive working relationship with a wider range of municipal officials and demonstrated how coordination, communication and a little technical assistance can bring value-added to municipal efforts in good governance.

Assistance comprised of an analysis and interviews with municipal officials – principally in the Planning Department; development of a series of workshops to review the 2015 SEGEPLAN regulations for submitting a POA; and support within the municipality to gather the data and fill out the forms. Around 80 different municipal officials were trained in this process.

“One of the biggest challenges in this process was the lack of basic data on communities,” said Leonardo Catún, consultant responsible for activities in Villa Canales and Chimaltenango. The Municipal Code outlines how Municipal Planning Departments should maintain up-to-date databases of the population,

community infrastructure and community services. In Chimaltenango, there is data for the urban centers, but not for rural communities, he said.

Municipal staff, including directors, do not have experience or training in strategic planning or in results-based management, said consultant Adrian De Leon, responsible for implementing the activities in Coatepeque and Malacatán. “The regulations actually require every department to have an annual operating plan, so this capacity needs to be strengthened further.”

Another challenge was the lack of knowledge of strategic planning and the operating plan process in general. UMG purposefully sought participation of a wide range of municipal offices – including the Department for Women, the Office of Protection of Children and Youth, the Water Department, and Public Services as well as Finance and Planning. A pre-and-post test was implemented in the workshops, and in Chimaltenango, the change was impressive: a 44% improvement in knowledge and understanding of the process.

Support from UMG was ‘specific, consistent and clear,’ and helped everyone understand the formats better, said Barrios. “The workshops were participatory, dynamic and friendly and staff were motivated to deepen their understanding of the process, rather than just fill in tables.”

In the end, the desired result was achieved: four POAs submitted to authorities with all their accompanying documents and forms. A wider range of municipal technical staff were left with the positive impression of having contributed to the municipal strategy and plan for community development; many, no doubt with a taste to do it again. Department heads came away with the seed of an idea that working together produces a better result.

“The collaboration was very valuable,” said Hector Ovando, planning director in Villa Canales. “The Operating Plan this year was more complete, and was elaborated in a better way. We had a good result.”

UMG will build on this success in municipal strengthening in 2018.