



TEMPLATE 4.4

PEACEBUILDING FUND (PBF) ANNUAL PROJECT PROGRESS REPORT

COUNTRY: Guatemala REPORTING PERIOD: 1 JANUARY – 31 DECEMBER 2013

Programme Title & Project Number
Programme Title: PBF6 "Strengthening of National Capacities for Criminal Investigation"
Programme Number (if applicable) 80478
MPTF Office Project Reference Number:1

Recipient UN Organizations
List the organizations that have received direct funding from the MPTF Office under this programme:
UNDP, UNWOMEN & UNODC

Implementing Partners
List the national counterparts (government, private, NGOs & others) and other International Organizations: Public Prosecutor's Office and Interior Ministry

Programme/Project Budget (US\$)
PBF contribution (by RUNO) \$ 1,960.000.00
UNDP \$1,372,570.00
UNODC \$544,630.00
UNWOMEN \$42,800.00
Government Contribution (if applicable)
Other Contributions (donors) (if applicable)
TOTAL: \$1,960.000.00

Programme Duration
Overall Duration (months) 24 months
Start Date2 (dd.mm.yyyy) November 16 2011
Original End Date3 (dd.mm.yyyy) November 15 2013
Current End date4(dd.mm.yyyy) February 2014 (Pending approbation of No Cost Extension until December 2014)

Programme Assessment/Review/Mid-Term Eval.
Assessment/Review - if applicable please attach
[ ] Yes [ ] No Date:
Mid-Term Evaluation Report - if applicable please attach
[ ] Yes [x] No Date:

Report Submitted By
Name:
Title:

1 The MPTF Office Project Reference Number is the same number as the one on the Notification message. It is also referred to "Project ID" on the MPTF Office GATEWAY
2 The start date is the date of the first transfer of the funds from the MPTF Office as Administrative Agent. Transfer date is available on the MPTF Office GATEWAY
3 As per approval of the original project document by the relevant decision-making body/Steering Committee.
4 If there has been an extension, then the revised, approved end date should be reflected here. If there has been no extension approved, then the current end date is the same as the original end date. The end date is the same as the operational closure date which is when all activities for which a Participating Organization is responsible under an approved MPTF / JP have been completed.

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Participating Organization (Lead): Email address:
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**PART 1 – RESULTS PROGRESS**

**1.1 Assessment of the current project implementation status and results**

**For PRF projects, please identify Priority Plan outcome and indicators to which this project is contributing:**

<p><b>Priority Plan Outcome to which the project is contributing.</b> Justice system is strengthened through equipping, staffing and training of the Public Prosecutor’s Office and courts to enhance credibility, professionalism, independence and efficiency in the justice system and inclusive law reform in order to consolidate rule of law.</p>
<p><b>Priority Plan Outcome indicator(s) to which project is contributing.</b>                  Rate of impunity in relation to crimes against life and physical integrity (based on the ratio of the number of cases presented to the PPO and the number of cases sentenced).                  Baseline (2009) 95%                  Target (2013) 91%                  Attained 90%</p> <p>Rate of impunity in relation to organized crime (based on the ratio of the number of cases presented to the PPO and the number of cases sentenced).                  Baseline (2009) 98%                  Target (2013) 95%                  Attained 94.5%</p> <p>Rate of impunity in relation to crimes against women (based on the ratio of the number of cases presented to the PPO and the number of cases sentenced).                  Baseline: 99%                  Target (2013) 95%                  Attained 95%</p>

**For both IRF and PRF projects, please rate this project’s overall achievement of results to date:** on track with significant peacebuilding results

**For both IRF and PRF projects, outline progress against each project outcome, using the format below. The space in the template allows for up to four project outcomes.**

**Outcome Statement 1:** AC1 Capacities are strengthened of the Directorate of Criminal Investigation (DICRI) of the PPO for processing crime scenes and monitoring and surveillance of criminal actions.

**Rate the current status of the outcome:** on track with significant peacebuilding results

<p>Indicator 1:                   Number of reports made in which the use of monitoring and surveillance equipment by the DICRI was detailed.</p>	<p>Baseline: 0                  Target: 25                  Progress:40</p> <p>Baseline:                  Target:                  Progress:</p>
<p>Indicator 2:</p>	

Indicator 3:	Baseline: Target: Progress:
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**Output progress**

*List the key outputs achieved under this Outcome in the reporting period (1000 character limit). Outputs are the immediate deliverables for a project.*

The update of procedures for processing crime scenes through the application of new technologies has enabled for more scientific, effective and verifiable reports to be presented before the courts. While previously, convictions relied heavily on witness testimony, the use of scientific and technical investigative methods have strengthened the evidence base on which judges now make convictions and issue arrest and search warrants. DICRI now possesses equipment and has undergone training (supported by a curriculum) which have facilitated work in procedural and preparatory pre-trial stages. It is also important to highlight the creation of a Computer Forensics Unit, which provides essential tools for obtaining informatics-based evidence, results that have been critical for presenting accusations with a solid technical and scientific basis.

**Outcome progress**

*Describe progress made during the reporting period toward the achievement of this outcome. This analysis should reflect the above indicator progress and the output achievement. Is there evidence of the outcome contributing to peacebuilding and to the specific conflict triggers (3000 character limit)?*

The progress achieved has made important short, medium and long term contributions for peace building in Guatemala: the construction and presentation of stronger cases for criminal prosecution has led to increased justice for victims and society more generally, and a reduction in impunity levels. Key elements for these achievements are the political will and efforts made by participating institutions, and project support such as the accompaniment of processes that have enabled the development of key areas within the PPO.

**Reasons for low achievement and rectifying measures**

*If sufficient progress is not being made, what are the key reasons, bottlenecks and challenges? Were these foreseen in the risk matrix? How are they being addressed and what will be the rectifying measures (1500 character limit)?*

The project has enabled the strengthening of criminal investigation capacity, however, continued accompaniment of institutionalization processes is considered vital, given that significant work remains to be done. For example, training has not yet included all staff and the curriculum is in stage of appropriation by the PPO Training Unit. With respect to equipment, the major part has been concentrated in the capital, which in high impact cases is mobilized within the country; however, it would be optimal to be able to provide essential equipment to other areas to facilitate scientific and technical investigation (rather than just relying on testimonial evidence).

It is important to mention that at this stage, the project has initially focused its support on strengthening the PPO at the central level, such that it may reach other country areas / regions. A key challenge remaining is to shift project support to cover all municipal and district prosecutor offices located in the interior of the country.

**Outcome Statement 2:** Expanded capabilities of the Public Prosecutors Office for knowledge management and information intelligence gathering of criminal phenomena, particularly through the expansion and strengthening of the Analysis Unit.

**Rate the current status of the outcome: on track with significant peacebuilding results**

<p>Indicator 1: Number of Analysis Unit liaison offices created (in Public Prosecutor Offices)</p>	<p>Baseline: 0 Target: 5 Progress:14</p>
<p>Indicator 2: Number of cases (public prosecution) in which the mapping of criminal phenomena realized by the Liaison Offices of the Analysis Unit have been used.</p>	<p>Baseline: 0 Target: 5 Progress:54</p>
<p>Indicator 3: A strategy for institutional communication</p>	<p>Baseline: A communications strategy did not previously exist. Target: Increased proximity of the PPO to citizens through the use of a communication strategy. Progress: The PPO currently possesses a communications strategy.</p>

**Output progress**

List the key outputs achieved under this Outcome in the reporting period (1000 character limit). Outputs are the immediate deliverables for a project.

The project has supported the opening of the figure of Liaison Analyst of the Analysis Unit in 10 Public Prosecutor Offices, who, since October 2013, are now formally PPO staff. To date, the Directorate of Analysis has opened this figure in three more Prosecutor Offices.

The 10 analysts have worked on 54 events that are composed of 7064 files. The work has allowed the PPO to request courts to issue arrest warrants; in three of the processes presented sentences were pronounced.

The project has accompanied the development of the Criminal Analysis Directorate, staff training in the use of specialized equipment and criminal investigation programs. Through the support of the project, a Financial Analysis Unit was also created. An institutional communication strategy has facilitated the development of a new institutional image and the timely presentation of results achieved to the population.

**Outcome progress**

Describe progress made during the reporting period toward the achievement of this outcome. This analysis should reflect the above indicator progress and the output achievement. Is there evidence of the outcome contributing to peacebuilding and to the specific conflict triggers (3000 character limit)?

The identification of criminal phenomena has allowed for the dismantling of gang and / or criminal organizations (data), which has influenced victim and societal perception of advances being made in security, greater confidence in the justice system as well as a

reduction of impunity, factors which represent tangible progress in peacebuilding. These developments constitute part of a wider reform process aimed at increasing the efficiency of criminal research and defining a methodology for strategic criminal prosecution. Concrete results are evident in the increasing effectiveness of PPO and PNC (National Civil Police) in criminal investigations, especially concerning crimes against life in the Department of Guatemala (capital city). For example, according to the PPO's 2013 Work Report, prosecutions rates stood at 28% in 2013 compared to 5 % in 2010, with a decrease in impunity for this crime to 72 % in 2012 and 70% in 2013, compared with 95 % in 2010. An and increased number of sentences for convictions, 7122 in 2013 compared to 3280 in 2009 was also reported. Unfortunately, impunity in crimes of violence against women remains high, and shows no change, maintaining a level of between 97 % and 95 % in these last years. It is noteworthy, however, that given improvements in the justice sector's service approach towards population and attention to victims, the numbers of complaints, especially for violence against women, have increased.

**Reasons for low achievement and rectifying measures**

*If sufficient progress is not being made, what are the key reasons, bottlenecks and challenges? Were these foreseen in the risk matrix? How are they being addressed and what will be the rectifying measures (1500 character limit)?*

The biggest challenge in relation to project processes initiated two years ago is the consolidation of progress made during the transition phase within the PPO. Some results remain only weakly institutionalized, and the risk prevails that upon project closure these processes may suffer a reverse or collapse. In this sense, close institutional accompaniment is being maintained to safeguard their continuity. In terms of widening project scope and impact, greater support, for example tools and equipment for the effective functioning of local offices in the interior of the country, is required, particularly given that the project has essentially been focused on the capital and / or central office level: local office deficiencies are important factors preventing more scientific, effective and verifiable working methods.

**Outcome Statement 3:** Capacities of the Public Prosecutor's Office for Organized Crime strengthened for strategic criminal prosecution of the crimes of femicide, trafficking and violence against women and children.

**Rate the current status of the outcome: on track with significant peacebuilding results**

<p>Indicator 1: Success rate of the Public Prosecutor's Office for Crimes against Women</p>	<p>Baseline: 17% Target: 25% Progress:25%</p>
<p>Indicator 2: Effectiveness rate of the Public Prosecutors Anti-Trafficking in Persons Unit</p>	<p>Baseline: 15% Target: 25% Progress:25%</p>
<p>Indicator 3:</p>	<p>Baseline: Target: Progress:</p>

## **Output progress**

*List the key outputs achieved under this Outcome in the reporting period (1000 character limit). Outputs are the immediate deliverables for a project.*

Support for the Public Prosecutor's Section for Women and Child Victims of Violence, and the Office of Anti-Trafficking in Persons has not only involved the provision of specialized equipment and support for training processes, but has also created a database on cases of femicide and supported the institutionalization of protocols for handling crime scenes in cases of sexual violence, violence against women and femicide. On the other hand, the development of a curriculum for the career of Public Prosecution will aid the institutionalization of the PPO training policy and endow prosecutors with greater skills so that they can undertake work more efficiently and effectively. With respect to the Public Prosecutor's Office Management Model, up to the end of 2013 over 20 offices were reorganized and among the most relevant results has been the 30% increase in the resolution of cases during 2012 and 2013.

## **Outcome progress**

*Describe progress made during the reporting period toward the achievement of this outcome. This analysis should reflect the above indicator progress and the output achievement. Is there evidence of the outcome contributing to peacebuilding and to the specific conflict triggers (3000 character limit)?*

During 2013 progress was made in consolidating the institutionalization of the Public Prosecutor's Section for Women and Child Victims, and the Office of Anti-Trafficking in Persons through the design and implementation of the following instruments: a strategy of criminal investigation for the prosecution of cases of the crime of femicide (approved by the Fiscal General and Head of the PPO under the General Instruction No 06-2013, August 27); a protocol for coordination between the PPO's Crimes against Women Unit and the Crimes Against Life and Personal Integrity Unit; a protocol for coordination between the PPO's Crimes Against Life and Personal Integrity Unit and the Anti-Trafficking in Persons Unit; and, a training proposal for strengthening the PPO in investigation and prosecution of the crime of femicide, incorporating a gender analysis and the application of the principles of the Rights of Women. 40 people were trained and who will now be responsible for further training within the PPO. It is important to mention that the PPO is the only institution in the Guatemalan and Central American justice systems that has a guide for formal actions in relation to investigation and criminal prosecution of femicide. These advances contribute to peacebuilding through the creation of stronger institutional frameworks that can respond more effectively to demands for justice, especially for women who are victims of violence.

## **Reasons for low achievement and rectifying measures**

*If sufficient progress is not being made, what are the key reasons, bottlenecks and challenges? Were these foreseen in the risk matrix? How are they being addressed and what will be the rectifying measures (1500 character limit)?*

A curriculum for the career of Public Prosecution is being developed, however, the accompaniment of the institutionalization process is pending and constitute a critical measure to ensure institutional implementation.

Given the PPO's current strategic political context, a key recommendation is to support the socialization of the General Instruction No. 06-2013 for Criminal Investigation for the crime of femicide to ensure its implementation.

The inter-institutional divulgation of the Instruction is also pending, to mitigate any cases where resistance to implementation may exist. The Instruction, in addition to being a working document, should be considered as a political tool for negotiating structural changes to strengthen investigation, prosecution and penalties for femicide.

**Outcome Statement 4:** The Department of Research on Sexual Offences, Trafficking in Persons, Children and Adolescents and Related Crimes of the Specialized Division of the Subdirectorate for Criminal Investigation of the National Civil Police is strengthened through the implementation of a Management Model for Criminal Investigation.

**Rate the current status of the outcome: on track with significant peacebuilding results**

<p>Indicator 1: Number of cases in which evidence generated through the New Management Model has been utilized by the Department of Research on Sexual Offences, Trafficking in Persons, Children and Adolescents and Related Crimes of the Specialized Division of the subdirectorate for Criminal Investigation of the National Civil Police.</p> <p>Indicator 2:</p> <p>Indicator 3:</p>	<p>Baseline: Target: Progress:</p> <p>Baseline: 0 Target: 25 Progress: 265</p> <p>Baseline: Target: Progress:</p>
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**Output progress**

*List the key outputs achieved under this Outcome in the reporting period (1000 character limit). Outputs are the immediate deliverables for a project.*

The Department of Research on Sexual Offences, Trafficking in Persons, Children and Adolescents and Related Crimes was strengthened through the creation of the Anti-Trafficking Section within the Management Model for Criminal Investigation. Its creation began with the appointment of 60 specialized agents investigating the crime of trafficking in persons who received further training in investigative techniques and the legal framework of the Sexual Offences and Trafficking in Persons. The facilities were remodeled to requirements, an organizational structure was defined, and the provision of necessary equipment was made: computer equipment, software, technical equipment to investigate and furnishings. Interconnection between the Police Information System -SIPOL with the Public Prosecution’s Office of Trafficking was developed to facilitate the necessary communication with the PPO.

**Outcome progress**

*Describe progress made during the reporting period toward the achievement of this outcome. This analysis should reflect the above indicator progress and the output achievement. Is there evidence of the outcome contributing to peacebuilding and to the specific conflict triggers (3000 character limit)?*

During 2013, 265 cases were investigated, with 62 people linked to processes and 50 indictments made for the crime of trafficking. Coordinated research between prosecutors and police has allowed for stronger cases to be submitted to the courts. In the wake of the successful implementation of the Management Model for Criminal Investigation and the positive reception it has had with Prosecutors as well as the signing of a protocol for coordination and operational procedures, the ability of agents to cover national level investigation has improved. The accompaniment in-situ of both case management and use of technical analysis constitutes a pillar of the Model’s implementation. Currently, 3 groups of agents are dedicated to investigating cases of irregular adoptions, labor exploitation and sexual exploitation, which are in turn replicated in the PPO.

**Reasons for low achievement and rectifying measures**

*If sufficient progress is not being made, what are the key reasons, bottlenecks and challenges? Were these foreseen in the risk matrix? How are they being addressed and what will be the rectifying measures (1500 character limit)?*

After analysis of the elevated results obtained, the continuity of support to strengthen and achieve the self-sustainability of the Anti-Trafficking in Persons Section is considered necessary such that the section can be decentralized to regions where criminal phenomena is most evident and its investigation requires greater specialization. The promotion of a proactive approach (to combating crime) through the study of criminal phenomena is also essential. From an organizational perspective, the replica of the Management Model for Criminal Investigation is recommended in order to create the Department of Organized Crime and respective Sections, including the transfer of the Anti-Trafficking in Persons Section to continue deepening the model's institutionalization, particularly given that this is already being applied to another Department Division.

**Outcome Statement 5:** Interagency coordination and external cooperation strengthened to improve Criminal Investigation and prosecution capacities within the PPO, the National Institute of Forensic Science and the Interior Ministry.

**Rate the current status of the outcome: on track**

<p>Indicator 1: Number of new protocols established for interagency collaboration in criminal investigation and prosecution.</p>	<p>Baseline: 0 Target: 1 Progress: Under construction, validation process not yet initiated.</p>
<p>Indicator 2: Number of charges generated based on joint work framed by the protocol for interagency collaboration in criminal investigation and prosecution.</p>	<p>Baseline: 0 Target: 100 Progress: Depends on the implementation of the protocol.</p>
<p>Indicator 3:</p>	<p>Baseline: Target: Progress:</p>

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**Output progress**

*List the key outputs achieved under this Outcome in the reporting period (1000 character limit). Outputs are the immediate deliverables for a project.*

The project is supporting the development of a Protocol for Interagency Collaboration between PPO, INACIF (National Forensic Science Institute) and MINIGOB (Interior Ministry) to strengthen criminal investigation. Given that only the PPO and the National Civil Police intervene at the crime scene, and that INACIF’s role is to receive products from the PPO, the definition of interagency collaboration was considered important in terms of PNC and PPO crime scene work and the relation between the PPO and INACIF in the delivery and reception of evidence in order to ensure coordinated efforts aligned with international standards of criminal investigation.

Based on the above logic and supported by various institutional framework documents, a protocol was developed which is currently in the validation stage. March is the expected signing date, after which it will be socialized with a group that will in turn assume the role of facilitating the protocol.

**Outcome progress**

*Describe progress made during the reporting period toward the achievement of this outcome. This analysis should reflect the above indicator progress and the output achievement. Is there evidence of the outcome contributing to peacebuilding and to the specific conflict triggers (3000 character limit)?*

The project has facilitated closer proximity and understanding among different justice sector institutions through communication channels and high-level institutional coordination that the Prosecutor General is conducting. The development of a new institutional working vision, more fluid communication and strengthened joint work has enabled tangible results to be attained, the dismantling of criminal networks is a key example. This has allowed for the reduction of impunity, whose future consolidation is the foundation for augmenting public confidence in the justice sector and the consolidation of peace.

**Reasons for low achievement and rectifying measures**

*If sufficient progress is not being made, what are the key reasons, bottlenecks and challenges? Were these foreseen in the risk matrix? How are they being addressed and what will be the rectifying measures (1500 character limit)?*

The socialization of the Interagency Protocol for the management of criminal investigation between the staff of institutions to guarantee its application is still pending. Of fundamental importance for the project is the subsequent monitoring and follow-up to support effective implementation and institutionalization within the Training Unit of PPO.

**1.2 Assessment of project evidence base, risk, catalytic effects, gender in the reporting period**

<p><u>Evidence base:</u> What is the evidence base for this report and for project progress? What consultation/validation process has taken place on this report (1000 character limit)?</p>	<p>The handling of crime scenes in coordination with other institutions with greater technical and scientific professionalism has led to positive changes in public perceptions and increased confidence and respect for the institution, information which has been detected in different media outlets.</p> <p>Results obtained from superior crime scene management and criminal investigations, such as the dismantling of criminal gangs, constitute significant progress.</p> <p>Training processes are including personnel who have never received capacity building or only received it upon entering the institution. These processes are updating and refreshing knowledge, as well as generating a sense of belonging to the institution and greater willingness to perform the work. New work tools (scientific equipment) have stimulated greater occupational interest to deliver results.</p>
<p><u>Funding gaps:</u> Did the project fill critical funding gaps in peacebuilding in the country? Briefly describe. (1500 character limit)</p>	<p>The project has facilitated the creation of institutional sections / Directorates which have, through the results obtained, demonstrated the imperative for their continuity and growth. This has compelled the institution to absorb, increase and institutionalize these supports, for example, the figure of Liaison Analyst in the Public Prosecutor's Analysis Directorate and the creation of the Computer Forensics Unit.</p>
<p><u>Catalytic effects:</u> Did the project achieve any catalytic effects, either through attracting additional funding commitments or creating immediate conditions to unblock/accelerate peace relevant processes? Briefly describe. (1500 character limit)</p>	<p>The development of directives that systematize criminal investigation and prosecution best practices implemented and the institutionalization of the principles of a gender focus, Women's Rights and international standards, have contributed to strengthening Public Prosecutor's Offices throughout country; for example, in the area of improved care for victims, especially women and children, and the implementation of management information system models using a decentralized approach.</p>
<p><u>Risk taking/ innovation:</u> Did the project support any innovative or risky activities to achieve peacebuilding results? What were they and what was the result? (1500 character limit)</p>	<p>The development of directives that systematize criminal investigation and prosecution best practices that are being implemented and the institutionalization of the principles of a gender focus, women's rights and international standards, have contributed to strengthening Prosecutor Offices throughout country; for example, in the area of improved care for victims, especially women and children, and the implementation of management information system models using a decentralized approach.</p> <p>Supporting institutional development - new figures and institutional sections/offices/units - involved taking significant risks, a danger being that new areas could disappear at the end of the project; however, so far, the need, expediency and importance of these innovations has been palpable. The process of institutionalization is underway to ensure their permanence.</p>

	The continuation of support is considered to be critical, particularly given the prevailing institutional political context which may result in the reversal of some of the processes that are not yet fully institutionalized. Prioritizing training processes to make completely visible the project instruments created and to prevent them from being shelved is recommended.
<b>Gender marker:</b> Is the original gender marker for the project still the right one? Have gender considerations been mainstreamed in the project to the extent possible? Briefly justify. (1500 character limit)	As mentioned above, the issue of gender has been present transversely and a number of actions have been supported around visibility, for example, in different manuals, curriculums and training processes undertaken.

## **PART 2: LESSONS LEARNED AND SUCCESS STORY**

### **2.1 Lessons learned**

*Provide at least three key lessons learned from the implementation of the project. These can include lessons on the themes supported by the project or the project processes and management.*

Lesson 1 (1000 character limit)	The need to directly accompany training processes and / or information sharing, in light of the fact that if protocols and instruments are conveyed in a written and / or digital form, the risk exists that these will be shelved.
Lesson 2 (1000 character limit)	The combined and coordinated work among various UN agencies allowed for great efficiency in the prioritization, organization and execution of resources to focus on key institutional needs at that particular moment as well as avoiding the duplication of efforts in areas already covered.
Lesson 3 (1000 character limit)	The close coordination with various PPO beneficiaries allowed resources to be channeled and executed on basis of actual needs, which in turn influenced and facilitated the institutionalization of various project supports provided.
Lesson 4 (1000 character limit)	
Lesson 5 (1000 character limit)	

### **2.2 Success story (OPTIONAL)**

*Provide one success story from the project implementation which can be shared on the PBSO website and Newsletter as well as the Annual Report on Fund performance. Please include key facts and figures and any citations (3000 character limit).*

## **PART 3 – FINANCIAL PROGRESS AND MANAGEMENT ARRANGEMENTS**

### **3.1 Comments on the overall state of financial expenditure**

*Please rate whether project financial expenditures are on track, slightly delayed, or off track: on track*

If expenditure is delayed or off track, please provide a brief explanation (500 characters maximum):

### **3.2 Comments on management and implementation arrangements**

*Please comment on the management and implementation arrangements for the project, such as: the effectiveness of the implementation partnerships, coordination/coherence with other projects, any South-South cooperation, the modalities of support, any capacity building aspect, the use of partner country systems if any, the support by the PBF Secretariat and oversight by the Joint Steering Committee (for PRF only). Please also mention if there have been any changes to the project (what kind and when); or whether any changes are envisaged in the near future (2000 character maximum):*