Communities Leading Development

FY2023 Work Plan

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TABLE OF CONTENTS

TABLE OF CONTENTS ..... **II**

LIST OF ACRONYMS ..... **III**

1. INTRODUCTION: COMMUNITIES LEADING DEVELOPMENT (CLD) PROJECT **1**

2. BACKGROUND **2**

Migration Context 3

3. CLD ADAPTIVE PROGRAMMING APPROACH **4**

4. IMPLEMENTATION SCOPE FOR FY23 ..... **7**

5. CLD SUSTAINABILITY PLAN **10**

A. Community-based resource mobilization 10

B. Water service delivery and household assets 12

C. Income generation 12

CLD Exit Plan 13

6. IMPLEMENTATION PLAN NARRATIVE **14**

Core Component 1: Market-driven Strategies 14

Azure *15*

Economic Development *17*

Core Component 2: Alliances and Resource Mobilization 20

Community-driven alliance and resource mobilization *20*

Essential Community and Household Assets *21*

Shared Value Initiatives with the Private Sector and Other Key Alliances *22*

7. COORDINATION WITH USAID PARTNERS **25**

8. WORK WITH OTHER STAKEHOLDERS **26**

9. MONITORING, EVALUATION, ACCOUNTABILITY AND LEARNING (MEAL) **27**

Monitoring: 27

Evaluation 27

Accountability 27

Learning 27

10. ENVIRONMENTAL MONITORING PLAN **27**

11. PROJECT BUDGET FY23 ..... **28**

12. LIST OF ANNEXES **28**

List of Acronyms

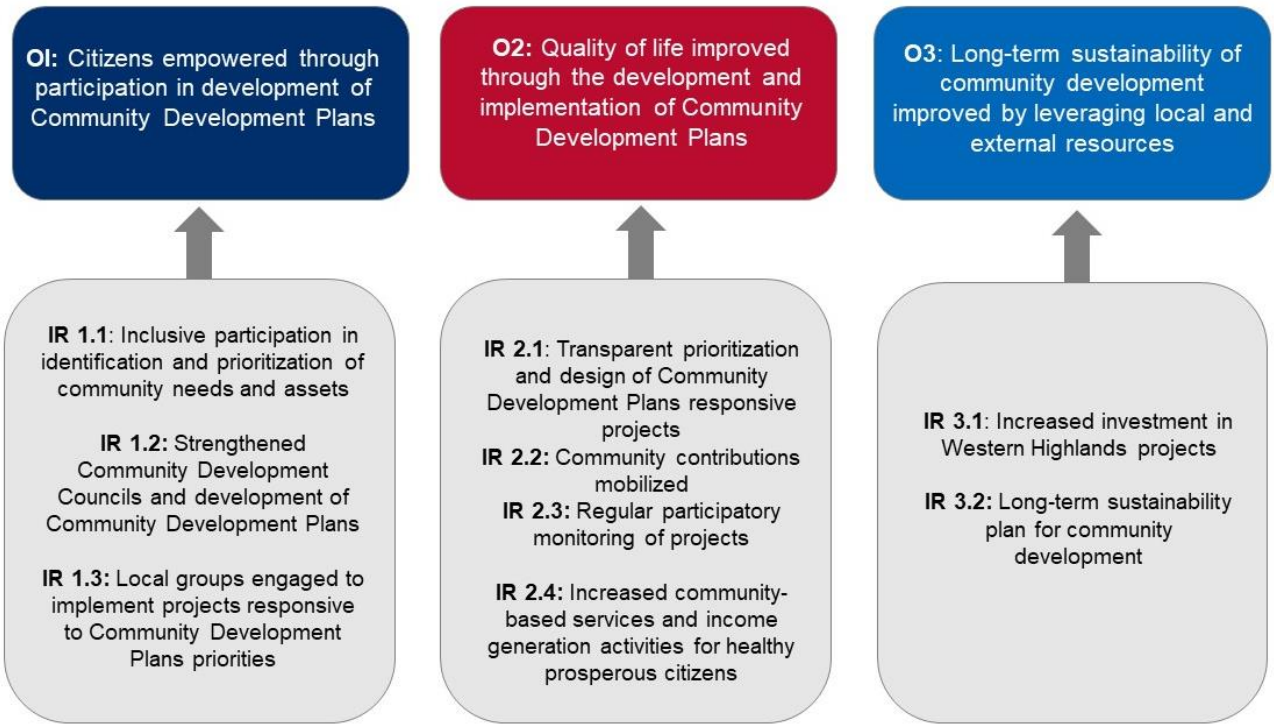
ADESJU	Association for the Sustainable Development of Youth
ANAM	National Association of Municipalities
ANDE	Aspen Network for the Development of Entrepreneurs
BDS	Business development services
CBO	Community-based organizations
CDCS	Country Development Cooperation Strategy
CDP	Community Development Plan
CFR	Code of Federal Regulations
CLD	Communities Leading Development
COAPEM	Municipal Coordination Agricultural Counsel
COCODE	Community Development Council
COVID-19	Coronavirus disease 2019
CRS	Catholic Relief Services
CSO	Civil society organization
EMMP	Environmental Mitigation and Monitoring Plan
FANTA	Food and Nutrition Technical Assistance III Project
FODES	Social Development Fund
FY22, 23	Fiscal Year 2022, 2023
GEDI	The Initiative for Entrepreneurial Development in Guatemala
MAGA	Ministry of Agriculture, Livestock and Food
MARN	Ministry of the Environment and Natural Resources
MEAL	Monitoring, evaluation, accountability, and learning
MINECO	Ministry of the Economy
MSME	Micro, Small and Medium Enterprise
OCAS	Community Water and Sanitation Offices
OMAS	Municipal Water and Sanitation Office
PRO-INNOVA	Innovative Solutions for Agricultural Value Chains
PROSA	National Poultry Health Program
SEGEPLAN	Presidential Secretariat of Planning and Programming
SNIP	National Public Investment System
USAID	United States Agency for International Development
USD	United States dollar
USG	US Government
WASH	Water, sanitation, and hygiene
WSA	Water Smart Agriculture

1. INTRODUCTION: COMMUNITIES LEADING DEVELOPMENT (CLD) PROJECT

Catholic Relief Services (CRS), in consortium with Cáritas Los Altos and Cáritas San Marcos, implements the Communities Leading Development Project (CLD) in more than 200 communities in 30 municipalities of the Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán departments. CLD combines proven community-based development methodologies, strong relationships with relevant stakeholders, innovative alliance and leverage approaches, and a highly experienced and diverse management team to promote inclusive, responsive, and sustainable community-led development that improves the quality of life for individuals and communities. The project's community empowerment approach seeks to support the self-determination of each community to achieve its shared vision of community development and takes a community-driven approach to alliances and leverage, ensuring solid and sustainable bridging between communities and external actors. In this sense, CLD is a platform functioning to catalyze investment in the Western Highlands, in line with the collectively identified needs and priorities of the most marginalized communities.

The CLD results framework is structured around three objectives and corresponding intermediate results (IRs) that are designed to build community assets that lead to economic growth and social opportunity in more than 200 communities in 30 municipalities in Guatemala's Western Highlands (see Figure 1 below).

Figure 1. CLD Results Framework



CLD is built on a development hypothesis that recognizes that economic development is intricately intertwined with social empowerment and change. CLD promotes community-led development with market-driven basic services and economic growth, employing inclusive tools and facilitative approaches that create entrepreneurs, socially oriented businesses and local clusters of economic and civic activities involving multiple communities to increase impact. Through an ambitious agenda to improve social capital and build community assets, CLD implements measures that mitigate pervasive mistrust, build partnerships, increase

citizen participation, and deliver concrete community improvements. By facilitating local action, building local capacity, and increasing services and investment to the Western Highlands to manage future development, CLD serves as a platform for forging a community-led path for Guatemalan communities and institutions.

The CLD results framework aligns with USAID's development objectives 1 and 2 from the **Guatemala Country Development Cooperation Strategy (CDCS) for 2020-2025**, related to increased economic prosperity, inclusion, and stability in areas with high rates of irregular immigration, and strengthened effective and accountable governance to improve quality of life and deter illegal immigration.

CLD's project portfolio, based on a community-based development approach, is aligned with the United States Government's **Root Causes Strategy**, specifically with Pillar I: Addressing Economic Insecurity and Inequality (see more detail in the migration context section below). CLD prioritizes the empowerment of women and youth with a direct focus on creating economic opportunities through its work with micro, small, and medium enterprises (MSMEs); developing a workforce of women and youth; and securing resources to increase access to water services. Also, CLD uses a co-investment approach backed with a sustainability plan that commits public and private sectors to invest resources in the project portfolio and to continue investing in these efforts beyond the life of the project. CLD is also aligned with **USAID's Policy on Promoting the Rights of Indigenous Peoples**, specifically, objectives 1 and 3, related to strengthening engagement of indigenous peoples to support their development priorities and self-reliance and empowering indigenous peoples and their representative organizations to advocate for and exercise their rights and practice self-determined development. "Self-determined" development refers to the ability of indigenous peoples to determine their own development priorities and promote their own self-reliance, which is fundamental to CLD's objectives.[1]

2. BACKGROUND

Guatemala remains a deeply inequitable society manifested by extremely unequal distribution of wealth, increasing poverty, and unequal access to economic opportunities and government services, which contributes to high rates of migration to the United States.[2] Insufficient social services and infrastructure, and poor economic and educational opportunities exacerbate and reinforce cycles of poverty and chronic malnutrition, particularly in the Western Highlands. Weak governance structures, particularly at the community level, underpin the status quo. This situation affects many Guatemalans, especially rural populations, indigenous persons, women, and youth. Social inequalities are also the result of the historic disengagement of the economically successful private sector from the resource-poor majority of the population, particularly in the Western Highlands. Despite Guatemala being the largest economy in Central America, economic opportunities are not evenly distributed among different geographic areas, and even less so between different social groups. Public and private investment in the development of the Western Highlands has been limited. A legacy of conflict and repressed capacities limit citizens' ability to fulfil the goals of justice, well-being, and agency that underpin integral human development. Ineffective, corrupt, or absent State actors reduce the possibilities for creating responsive development policies, effectively channeling resources, and resolving conflicts.[3]

Social inequalities limit the scale and sustainability of advances in development and reduce the ability of the Government of Guatemala to address high levels of insecurity—the legacies of violent conflict and historical exclusion of much of the population. This situation, in turn, limits citizens' access to economic resources and opportunities, as well as quality health, education, and other public services. The limited capacities of

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[1] *USAID, Policy of Promoting the Rights of Indigenous Peoples, March 2020, LINK*
[2] *USAID Guatemala Country Development Cooperation Strategy (CDCS) 2020-2025, LINK*
[3] *UNDP, The Next Frontier: Human Development and the Anthropocene, Guatemala brief. LINK*

governance structures, particularly at the community level, and the often weak or inexistent connections between communities and the next layers of governance structures, result in communities feeling abandoned by the outside world, with minimal capacity to attract investment or funding to respond to critical needs. Current indicators of well-being in the Western Highlands reflect this reality. In addition to poor health and nutritional status, communities are vulnerable to natural disasters and the influence of organized crime. Efforts by international organizations and donors to address these realities are faced with overwhelming demands for basic services, challenges related to engaging communities consumed by daily subsistence efforts, barriers to private investment, and low access to public resources. The involvement of the private sector, although it is growing through CLD and community efforts, is still hampered by lack of legal certainty, bottlenecks in value chains, limited information about investment opportunities, and limited collateral by those seeking credit. The lack of pro-poor and inclusive approaches to business are other critical factors behind persisting social inequality and exclusion in the region. The resulting vacuum has produced the lowest levels of social development in the country, with communities in the Western Highlands having few options to move out of poverty beyond migration and illicit economic activity.

Migration Context

CLD is deeply vested in creating conditions for citizens to choose to stay in their communities, within regions that produce significant numbers of migrants. In 2020, CRS commissioned a study in communities where CRS implements programs in Guatemala to better understand the profile of the 'new migrant'.4 Compared to many analyses of the past, the study examined not only the causes that drive people to leave but more critically, the factors that encourage them to stay in their communities. The low perceived risk by study participants of the U.S. border patrol, detention camps, and a global pandemic demonstrates that migration will persist despite these risks and that punitive measures are ineffective to quell the flow of migration. By better understanding and investing in the factors that help people root and thrive in their communities, CRS can address migration in a more effective and humane way.

Of 785 people surveyed in the Western Highlands5, 77% had little or no intention to migrate from their communities. Among this population, CRS identified the shared factors that promoted rootedness or the desire to remain in one's community of origin:

- Access to basic health and educational services and stable and formal jobs, especially for young people
- Access to formal education and other types of training when linked to profitable job opportunities
- Access and management of fertile land and the ability to sustain harvests and adapt to climate change to improve agricultural productivity
- Community participation and leadership when linked to opportunities that directly improve living conditions.

Lack of dignified work, perceived discrimination, and a desire for a better life were significantly correlated with the intention to migrate, while the relationship with poverty was unclear. The study found stronger linkages between occupation and intention to migrate than socioeconomic status and intention to migrate. People who worked as day laborers in agriculture, construction, and as domestic workers had a greater intention to migrate, followed by students and the unemployed. These findings indicate that it is not just lack

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[4] CRS, Entre el arraigo y la decisión de migrar: un estudio sobre los principales factores que influyen en la intención de permanecer en el país de origen o migrar. CRS, 2020. LINK

[5] The sample included 785 people who participated in household surveys from the Western Highlands and 89 urban youth who participated in a separate survey

of work opportunities, but rather the instability and insecurity of the existing income-generating opportunities available that push people to migrate.

COVID-19 has exacerbated many of the causes that push people to migrate. In Guatemala, where, according to the World Bank6, 80% of workers are employed in the informal economy, curfews and restrictions on group gatherings and travel caused many vulnerable populations to lose desperately needed employment and income. Acute malnutrition has tripled since the beginning of the crisis and maternal and childhood mortality rates have been similarly impacted.

In this context, CLD identified the following opportunities to introduce migration-sensitive programming:

- CLD is operating in an important source region for migration to the United States and faces a big opportunity to link activities to rootedness in tangible ways.
- The population in the CLD coverage area is nearly 30% young people, according to CLD household surveys conducted in 2018 and 2019. This context presents an important opportunity for CLD to meet the urgent social and economic needs of youth, understanding that youth are the most likely to migrate.
- Lack of economic opportunity is a major push factor from CLD communities. Fostering sustainable livelihood opportunities in vulnerable local economies is critical to improve the local conditions that factor into citizens' decisions to remain in their communities or to migrate.
- Given the importance of community participation and leadership in rootedness, CLD offers opportunity for meaningful participation through the community-driven development approach that promotes inclusive leadership and participation in the design, implementation, and support of community development projects.

CLD took these opportunities into consideration in the Annual Work Plans for Fiscal Years 2020 to 2022 (FY20-FY22) and the FY23 Work Plan continues to prioritize strategies that harness these opportunities, weaving them into project activities with a more concentrated focus on sustainability. The FY23 Annual Work Plan aligns with the **Root Causes Strategy** of the Biden-Harris Administration that identifies key actions, organized into five pillars, to improve security, governance, human rights, and economic conditions in the region. Namely, CLD responds to the first pillar, "addressing economic insecurity and inequality." CLD strategies directly contribute to two strategic objectives under this pillar:

- First strategic objective: Foster a business enabling environment for inclusive economic growth
- Third strategic objective: Enhance workforce development, health and education, and protection

CLD achieves these objectives through expanding economic opportunities for women, youth, and indigenous populations, offering vocational and entrepreneurial training that reflects labor market needs, especially for youth, and supporting water and sanitation programs to expand access to clean water.

3. CLD Adaptive Programming Approach

The approach CLD will take for FY23 builds on the achievements gained and lessons learned in the first six years of programming and strengthens the areas prioritized for greatest impact and sustainability. During Phase I (September 2016 to May 2019) of the project, the implementation strategy focused on an inclusive and participatory model for community empowerment with the construction of Community Development Plans (CDPs) in each of the target communities. Through the participatory process of developing CDPs,

[6] *World Bank Group, Guatemala: Closing Gaps to Generate More Inclusive Growth, Systematic Country Diagnostic, 2015, LINK*

incorporating empowerment strategies that encouraged inclusive participation in community development, and strengthening linkages for leveraging alliances and resources to communities, all 203 CLD communities have successfully achieved the project's first Objective *(communities empowered through community development planning)*.

Concluding Phase I, CLD transitioned to Phase II in June 2019, first focusing on developing a pipeline of more than 500 project proposals to respond to the communities' top development priorities, while continuing to promote community empowerment to build alliances and mobilize resources. Soon after launching Phase II, USAID requested CLD to prepare a Contingency Plan for FY20 in response to funding uncertainty. The Contingency Plan focused on the implementation of high-impact projects of short to medium term duration, which was subsequently converted into the FY20 Work Plan. Also, COVID-19 impacted CLD operations significantly during FY20-FY21, given office closures, hygiene and safety protocols that restrict travel and in-person gatherings, leading the team to prioritize mission critical activities and establish remote work and communication with partners and community leaders.

For Phase III starting in October 2020, CLD focused on implementing the highest impact activities with the greatest potential for sustainability, emphasizing market-driven strategies and alliance-building initiatives. This approach included intensified support for CLD prioritized communities and municipalities with the strongest potential and interest to drive forward their own local alliances and directly mobilize resources to respond to their CDPs. During Phase III, CLD's program strategy has been organized in two core components:

- **Market-driven strategies** focused on Azure7 for improved water service delivery and economic development programming, including agricultural value chains, rural business enterprise and youth entrepreneurship.
- **Alliances and resource mobilization** focused on community-driven alliance and resource mobilization, essential community and household assets, financial mechanisms, and shared value initiatives with the private sector.

Through these phases, CLD has achieved important results, demonstrating the ability to grow social capital for participatory and inclusive community development planning and management and the capacity to impact at scale through responsive community development projects. High-level achievements to date are shown in Figure 2 below. These results include the following:

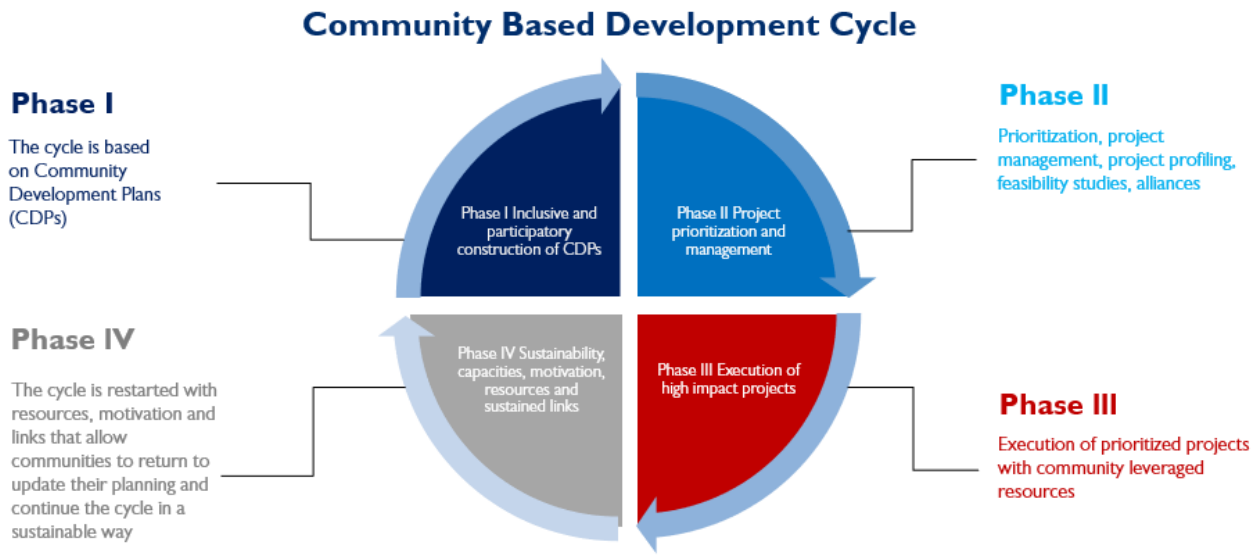
- 558 community projects implemented with over $35M in co-investment mobilized for these projects.
- 203 Community Development Plans (CDPs) completed
- 19,944 Households benefitting from project interventions
- 22 Public-private partnerships established
- 222 Women participating in leadership roles in Community Development Councils (COCODEs)
- 336 Groups employing improved management practices
- 34 Micro, Small, Medium Enterprises (MSMEs) strengthened
- 41 Community water commissions trained
- 21,919 People accessing clean drinking water
- 727 Young people trained as entrepreneurs

[7] https://www.azurewater.org/#/

Figure 2. CLD Achievements FY16-FY22

The social capital that has been built in communities through the planning process is a powerful tool that can be continually harnessed post-project for further inclusive community engagement. Building social capital is a critical part of the CLD theory of change and when consolidated and strengthened, will create sustained change. This FY23 Work Plan presents the last phase of CLD implementation, **Phase IV**, with an emphasis on **sustainability**. Project strategies continue to reinforce best practices within the two core components, completing the projects that began in Phase III and harnessing the network of strategic alliances that co-finance community development projects to drive sustained results post-project. This phase promotes another cycle of community leadership with renewed resources, motivations, and linkages to update their development planning and continue to seek support for the implementation of their development projects.

Figure 3. CLD Project Phases



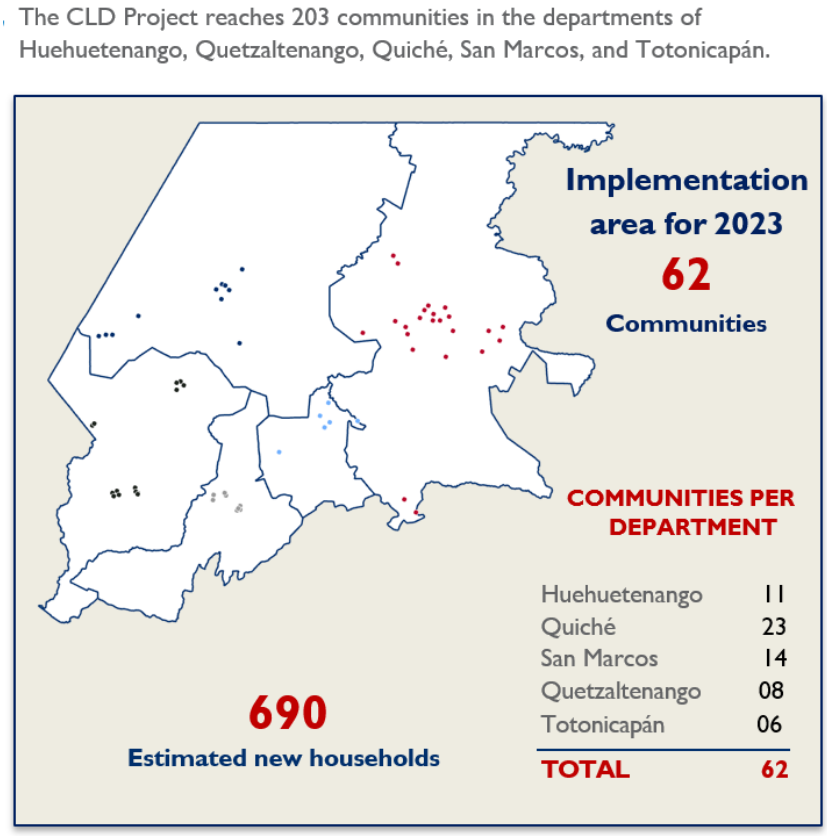
4. IMPLEMENTATION SCOPE FOR FY23

The planning and design of the FY23 implementation plan are based on a series of assumptions, as follows:

- USAID and CRS prioritize sustaining community-driven CLD actions for the long term.
- FY23 priorities include A) consolidation of the Sustainability Plan with the continuation of key CLD actions in the field, B) effective execution to complete projects, and C) implementation of cooperative agreement-stipulated and CRS-required close-out processes.
- CRS will continue to advocate for additional funding to address the current gap between obligated and estimated amounts under the CLD agreement, in order to complete implementation of community-prioritized projects. Any additional future obligation of funds will be efficiently connected to the CLD portfolio and scheduled within an updated Operational Plan.
- CLD will continue to be open to implementing additional projects funded by leverage.
- CRS will receive the pending obligation from USAID of $1.7M by the end of the first quarter. Projected input prices remain as budgeted.
- The political, climate, and COVID-19 country context does not worsen and allows the project to carry out communication and outreach activities as planned.

For FY23, CLD will focus sustainability efforts in 62 communities completing their project cycles. CLD will also work to consolidate relationships with municipal governments corresponding to the intervention communities and partnerships with existing technical implementers to ensure their ongoing support for community development projects.

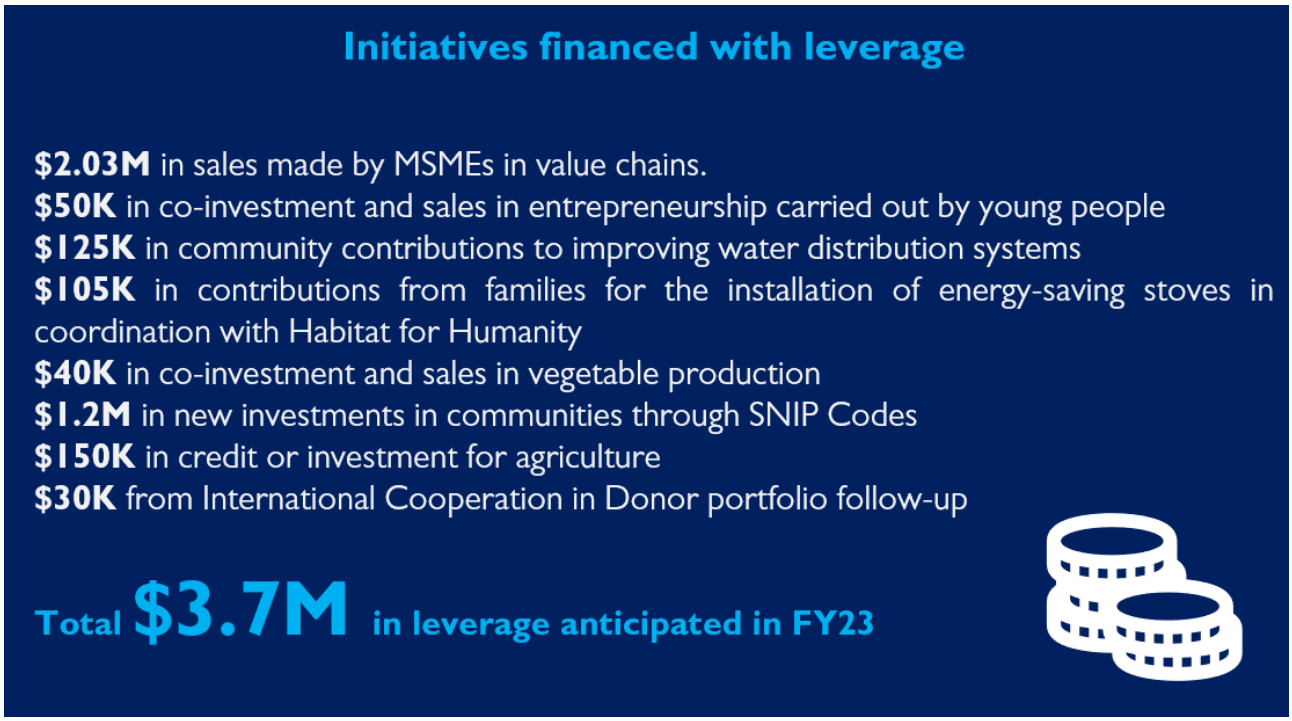
Figure 4. CLD Geographic scope for FY23



Project interventions during FY23 will strengthen and reinforce partnerships that catalyze market, alliance, and leverage opportunities to achieve sustainable outcomes over time, while also continuing to strengthen social cohesion by working with communities that have demonstrated commitment to inclusive participation in community development. Social cohesion is an important factor for individual and community rootedness. The following figure offers a selection of key indicators that demonstrate the expected reach during FY23 that cut across several of the project's core components.

Figure 5. FY23 Projected goals for FY23 in 62 communities completing project cycles

Figure 6. Projected Leverage



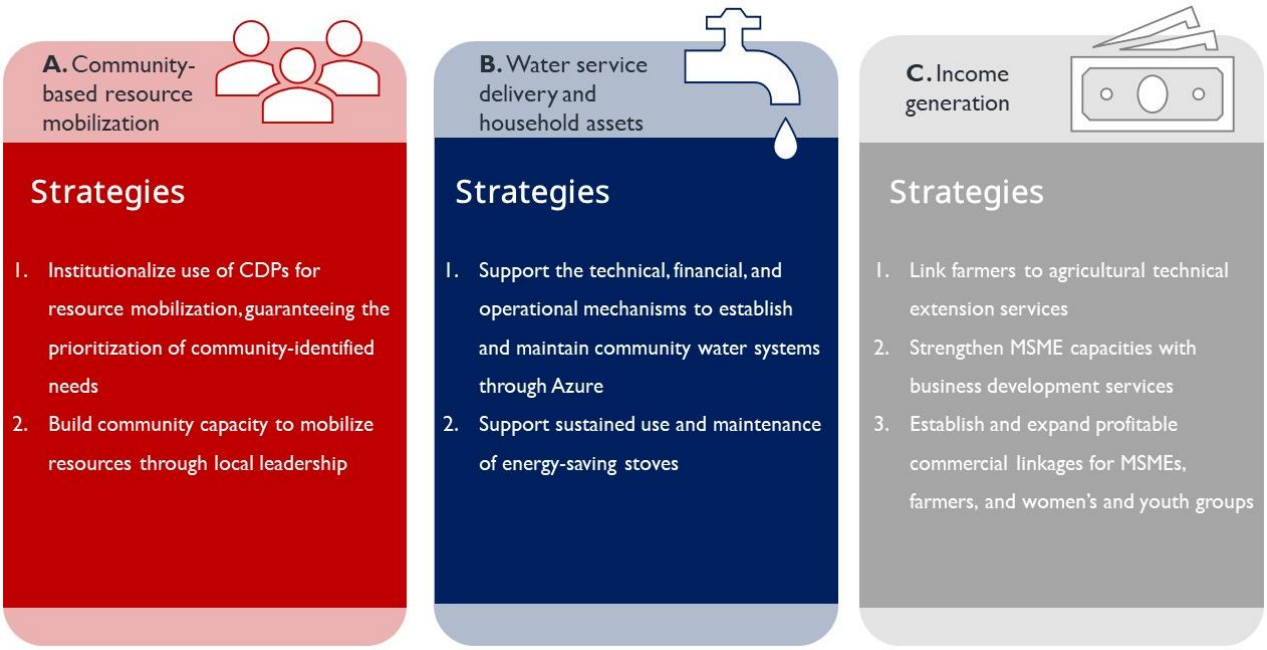
In FY23, CLD will increase efforts to connect the portfolio of projects prioritized by communities in their Community Development Plans with other USAID-funded projects continuing activities in the Western Highlands area that include a strategic focus on WASH, Household Assets, Youth, and Economic Development. This linking and integration will help ensure that project actions will be sustainable after the

life of the project and will continue to support the USAID Guatemala implementation strategy. Please see more details below in the section "Coordination with USAID Partners."

5. CLD Sustainability Plan

The CLD Sustainability Plan, Annex B, relies on a conceptual model and outlines a plan to sustain three key outcomes of CLD: 1) community-based resource mobilization, 2) water service delivery and household assets, and 3) income generation. These key outcomes are supported with actions that generate sustained capacities, motivations, resources, and linkages, based on the Food and Nutrition Technical Assistance III Project (FANTA) model. For each key outcome to be sustained, the plan describes the strategies that drive the sustainability and defines milestones toward that sustainability. Additional indicators were added to the Monitoring, evaluation, accountability, and learning (MEAL) Plan based on the milestones established for sustainability. Ultimately, the work to be conducted for FY23 is focused on implementing the key strategies as outlined in the Sustainability Plan, anticipating the achievement of at least 75% of the sustainability milestones during the year. The following figure and narrative describe the three areas the CLD Sustainability Plan focuses on for long-term sustained impact and the key strategies CLD relies on to achieve each one.

Figure 7. CLD Sustainability Plan key outcomes



A. Community-based resource mobilization

Community-based resource mobilization is demonstrated by local authorities who are empowered to identify resources independently, communities organized with updated CDPs, community leadership that uses the CDPs to design and present projects to municipal and national authorities for financing, and communities that seek technical assistance for project implementation per municipal regulations and other financial sources. CLD has also worked to promote the development of CDPs as a standardized way to identify community needs and prioritize and design projects in an inclusive manner. The following list offers illustrative advances in the sustainability plan:

- Transferred the CDP methodology to Presidential Secretariat of Planning and Programming (SEGEPLAN), National Association of Municipalities (ANAM), municipal leaders and other local

leaders to include them in their planning tools to design projects based on community-prioritized needs.

- Supported 50 communities to update their CDPs to reflect the latest community development needs and priorities.
- Provided technical assistance for resource mobilization through the development of 50 community advocacy plans and project profiling to respond to those needs.
- Registered 10 communities with 13 projects completed with government funds through National Public Investment System (SNIP) investment in the amount of $1,351,338.

For Phase IV, CLD will continue to strengthen community empowerment to mobilize resources for projects based on CDP priorities and analyzed in the Community Advocacy Plans. The institutionalization of the CDPs within SEGEPLAN will be reflected in greater public sector investment in projects prioritized by the communities. Likewise, the departmental delegations of SEGEPLAN will continue to work with the municipalities to promote the use of CDPs through the participation of leaders and prioritizing their needs in municipal planning each year. As part of the agreement signed between CRS and SEGEPLAN, CLD will meet with SEGEPLAN to review the methodology and priorities of the CDPs to continue promoting them at the municipal level through departmental delegations. In addition, empowered community leaders will continue to seek opportunities to attract resources to implement their projects that respond to community development needs; these resources can be achieved through SNIP codes and other strategic alliances. The communities and municipalities are expected to continue implementing projects using the project cycle: beginning with the priorities of the CDPs, development of advocacy plans, development of project profiles, resource mobilization, project implementation, and accountability.

Diario de Centro América — Guatemala, jueves 7 de octubre de 2021 — Nacionales 3

GOBIERNO de GUATEMALA — SECRETARÍA DE PLANIFICACIÓN Y PROGRAMACIÓN DE LA PRESIDENCIA

Segeplan y CRS sellaron una alianza para mejorar la calidad de vida de 200 comunidades ubicadas en cinco departamentos del Altiplano guatemalteco.

Keila Gramajo — Holly Inurreta

Suscriben convenios para desarrollo comunitario

Rodrigo Pérez
Redacción

Dos convenios, por separado, fueron suscritos ayer. En uno participó la Secretaría de Planificación y Programación de la Presidencia (Segeplan), el cual permitirá impulsar el desarrollo de comunidades del Altiplano occidental, mientras que el segundo entregará créditos a pequeños y medianos agricultores de diecharegüino y de las Verapaces.

Uno de los acuerdos fue signado entre Segeplan y Catholic Relief Services (CRS), para impulsar el desarrollo de comunidades de los departamentos de Huehuetenango, Quiché, San Marcos, Totonicapán y Quetzaltenango.

Con esta acción "se busca mejorar la calidad de vida de 200 comunidades del Altiplano", afirmó Holly Inurreta, representante en Guatemala de CRS.

Deyna Cual, del proyecto Comunidades Liderando su Desarrollo, comentó que los planes de modernización comunitaria "abarcan cinco ámbitos: calidad de vida, desarrollo económico, recursos naturales, gobernanza y competitividad. Estas áreas reflejan las necesidades de las comunidades en su visión de desarrollo a más de diez años".

Keyla Gramajo, titular de Segeplan, explicó que el proyecto es ejecutado por CRS, con el apoyo de la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID). Al referirse al financiamiento de los 200 planes, puntualizó: "La idea es que sea complementario, que haya un aporte del Gobierno, de la fuente cooperante y del socio implementador; en este caso, CRS".

2 convenios fueron suscritos por el Gobierno y entidades nacionales e internacionales.

COOPERATIVAS — MICOOPE

Alianzas estratégicas incluyen al Gobierno, cooperación internacional, cooperativa y ONG.

Otro acuerdo

La otra alianza, que fue tripartita, se concretó entre Micoope, Heifer Internacional y CRS, con el fin de apoyar a 3000 pequeños y medianos agricultores del Altiplano y las Verapaces a obtener crédito y asistencia técnica, para mejorar sus ingresos y su productividad. La entidad que agrupa a organizaciones cooperativas "va a otorgar financiamiento con tasas de interés convenientes, facilidades para obtención de créditos y, además, servicios financieros de manera integral. Al agricultor que normalmente se le dificulta tener acceso a inclusión financiera va a recibir de Micoope todos los productos y servicios que prestamos a la comunidad", dijo Santiago Saravia, gerente de gestión de proyectos de dicha cooperativa.

"Nosotros vamos a brindar asistencia técnica y Micoope, líneas de crédito para los productores que estén interesados en financiamiento", remarcó Gustavo Hernández, director de Heifer Internacional.

La asistencia técnica también será ofrecida por CRS. Los préstamos tendrán el respaldo de un sistema de garantías parciales de crédito agrícola, el cual garantizará de manera parcial (hasta el 50 por ciento) de las operaciones de crédito de las cooperativas-miembros de Micoope (intermediarios financieros) hacia el sector agrícola", se explicó.

5 ejes se cubren: calidad de vida, desarrollo, recursos naturales, gobernanza y competitividad.

Article in the official national newspaper about the signed agreement between SEGPLAN and CRS, 7 October 2021

Specifically, for FY23, CLD will focus on the following actions to support the sustainability of community-based resource mobilization:

- Maintain communication with SEGEPLAN to encourage and document their use of the CDP methodology and encourage SEGEPLAN to follow up with Municipalities to ensure the use of CDPs in municipal budgeting decisions.
- Build capacity of local leadership by supporting communities to update their CDP information on problems, challenges, needs, and priorities and develop resource mobilization plans to seek co-financing.
- Monitor the registration and implementation of projects within the SNIP that respond to community-defined priorities.
- Through learning exchange events and close-out activities, consolidate good practices with prioritized municipalities and communities and demonstrate the effectiveness of their collaboration, while also

consolidating the relationship with the municipal offices to incorporate the CDP methodologies to support garnering budget allocation through SNIP. CLD activities will include a learning event with SEGEPLAN departmental delegations to report and learn about the results of implementing CLD guidance.
- Disseminate the results in a guidebook on Impactful Community Planning that will serve as a publicly available resource for future projects in the area.

B. Water service delivery and household assets

CLD supports integrated water resource management using Azure. This approach involves establishing and supporting community and municipal offices for water system management, strengthening the capacities and linkages between community and municipal water committees, and helping to develop community water usage regulations. A key part of sustainable water services is the sustained capacities and linkages among OCAS, municipal water and sanitation offices (OMAS), and health inspectors from the Ministry of Health who support water commissions.

As for sustained household assets, CLD will continue to offer energy-saving stoves and support their continual use and maintenance. CLD supports the sustained resources and motivation for their continual use by partnering with Habitat for Humanity, who helped with the design and installation, and the municipalities. With the installation of the stoves, CLD offers household information on its continual maintenance.

For FY23, CLD will focus on the following actions to support the sustainability of water service delivery and household assets:

- Following the learning agenda, CLD will conduct field visits to learn about how communities are implementing their water system regulations and improved water system management practices, as well as how the OMAS are providing technical assistance to the communities. This learning will be key to understand and illustrate how the water strategy is and will continue to be sustained beyond the project period.
- Train water commissions and COCODEs in the administration and maintenance of water systems and conduct an assessment of the ten trained communities to identify which have the potential to be incorporated in the next phase of Azure activities, which will provide technical assistance and linkages to financial services. CLD is transferring Azure activities to an internal Azure Unit within CRS Guatemala that will start operating in the first quarter of FY23 and ensure continuity.
- Conduct feasibility studies for new water projects that water commissions can use to identify co-financing.
- Train OMAS technicians to offer continual support to OCAS and link OCAS to other key actors for continued support, such as the Ministry of Health.
- Involve communities in the installation of the stoves with contributions from households.
- Train households in the use and maintenance of the energy-saving stoves.
- Develop a manual on energy-saving stoves Uk'u'x Ja as a promotional tool to be used by Habitat to scale-up their use at the community level with support from municipalities and potential donors.

C. Income generation

CLD works to sustain communities' ability to generate income for dignified work through various strategies: a) linking farmers and farmer groups from CLD communities with the agricultural technical extension services of other actors; b) strengthening the capacities of MSMEs with business development services; and c) establishing and expanding profitable market linkages for MSMEs, farmers, and women's and youth groups. These actions are carried out through the following project components: business development services for

MSMEs, rural business enterprise, youth entrepreneurship, and increased access to financial services. These components will allow communities to sustain linkages with local and international markets, MSMEs to sustain access to business development services from local public-private providers, and youth to become part of wider youth entrepreneurship networks.

Specifically, for FY23, CLD will focus on the following actions to support the sustainability of ongoing income generation for participants.

- Strengthen the capacities of MSMEs with BDS.
- Identify self-employment opportunities for young people and support their market viability.
- Link youth participants of the Multiverse training to the permanent alumni program.
- Link farmers and producer groups with agricultural technical extension services and CRS' Water Smart Agriculture (WSA) platform, particularly with regards to climate change mitigation.
- Coordinate with the Ministry of Agriculture (MAGA) for support for continued provision of extension services.
- Link producers with financial services of MICOOPE/IDB Lab Green Climate Fund through the WSA Platform.
- Establish and expand profitable business linkages for MSMEs, farmers, women, and youth groups.
- Launch and train rural commercial enterprises (poultry and vegetable producer networks).
- Establish and expand profitable market linkages for MSMEs, farmers, women, and youth groups.
- Convert current technical implementing partners, including Alianza S.A., Copichajulense and the Neumann Foundation, into long-term service delivery support mechanisms for participating farmers and MSMEs.

The Implementation Plan matrix includes targets for three sustainability indicators (3.2.1):

- 13 communities that implement projects with municipal resources within the framework of SNIP
- 34 community water and sanitation offices (OCAS) with technical capacities strengthened as a result of the assistance they receive from municipal water and health offices
- $2,036,500 generated by MSMEs and farmers as new income or investments as a result of the business development services provided by the project

CLD Exit Plan

During FY23, CLD will roll-out an exit plan to close-out project activities and deliver final results through learning activities and products, close-out events with communities and key stakeholders, the final project evaluation, CLD staffing transitions, and administrative and financial close-out. Beginning in October 2022, CLD will hold a series of learning workshops and develop audiovisual materials to showcase project results and then share these materials in community, municipal, and a national-level events. During close-out events in communities, the CLD team will thank leaders for their work, celebrate achievements, and motivate them to continue using the CDP and resource mobilization tools for further community development. In close-out activities with municipalities, CLD will deliver information on final results and emphasize follow-up actions, specifically support from the OMAS to the OCAS and other technical assistance to maintain community projects. In addition, CLD will accompany an administrative close-out process with partners. See Annex K, Plan for Close-out Activities, for more detail.

6. IMPLEMENTATION PLAN NARRATIVE

The Implementation Plan Narrative and the attached Implementation Plan Matrix (Annex A) outline the actions to be taken in FY23 to strengthen linkages for ongoing community-led development project planning and implementation, while phasing-out and phasing-over CLD involvement, leaving tools and increased capacity for ongoing work. The actions described here complement the strategies in the sustainability plan and include additional actions to finalize project cycles and transition to close-out. Like the Annual Work Plans from previous years, the Work Plan for FY23 is a living document that may require updates as the project, funding and operating context evolve. The Implementation Plan Narrative is organized by the following core components and sub-components:

1) Market-driven strategies
    - Azure
    - Economic Development
        - BDS for MSMEs
        - Rural business enterprise
        - Youth entrepreneurship
2) Alliances and resource mobilization
    - Community-driven alliance and resource mobilization
    - Essential community and household assets
    - Shared value initiatives with the private sector and other key alliances

The strategies described in each of these core and sub-components will contribute to achieving the indicator targets and overall project results per CLD's framework, as presented in the Implementation Plan Matrix. They are also linked to the key strategies in the Sustainability Plan, figure 6, above. Actions taken under Azure contribute to sustained water service delivery; economic development strategies contribute to sustained income generation; community-driven alliance and resource mobilization contributes to sustained community-based capacity to mobilize resources for ongoing projects; and alliances, leverage and communication strategies strengthen the sustainability of project results across all areas.

Core Component 1: Market-driven Strategies

The first core component of Phase IV programming involves market-driven strategies that promote the sustainable provision of basic community services and offer economic development through sustainable livelihood opportunities for vulnerable local economies—conditions that influence people's decision to migrate. CLD built a strong platform from which to leverage resources and scale responses to CDPs. By emphasizing market-driven strategies, CLD leverages the resources of the private sector and the sustainability of market forces. While the market-driven strategies will be focused geographically on the 62 communities representing the FY23 implementation area, the impact of this work will reach far beyond, offering benefits in the Western Highlands region. The methodologies proposed under this core component include Azure for sustainable water service delivery and several strategies for economic development: strengthening MSMEs with BDS, supporting the efforts of rural business enterprise, and youth entrepreneurship. The market-driven strategies described below have clear links to the first pillar of the **Roots Causes Strategy**, designed to address economic insecurity and inequality:

- Azure supports the third strategic objective of enhancing community health through increasing access to improved household water in collaboration with local government and microfinance institutions with community contributions and support from other donors.

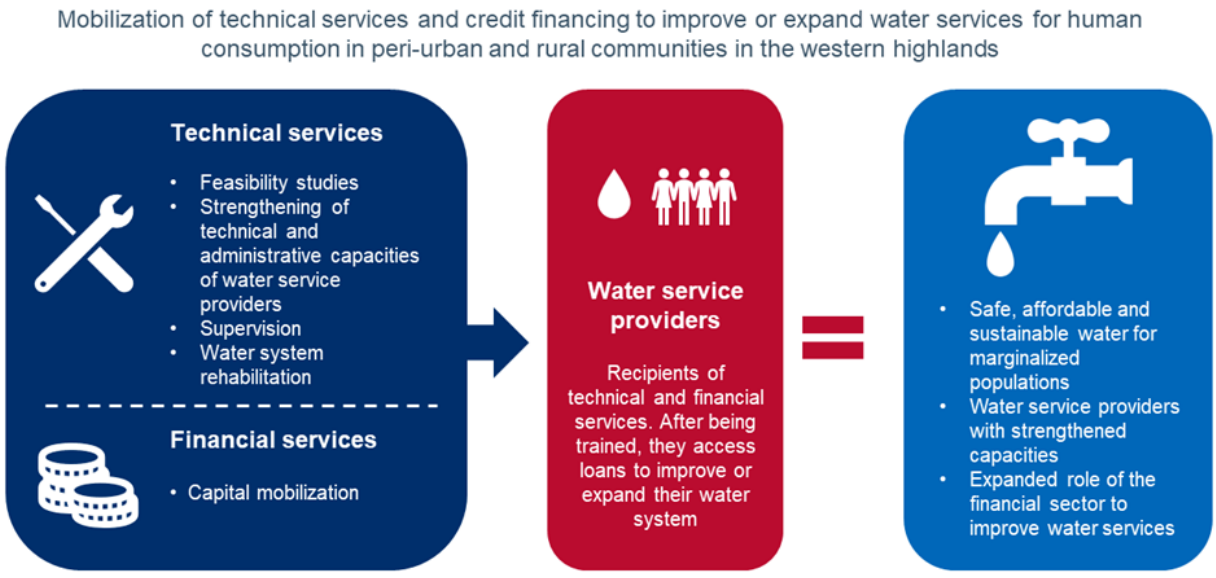
- The economic development strategies described below for rural business enterprise support the first strategic objective, fostering an enabling environment for inclusive economic growth by supporting participants to integrate into market sectors; for example, through connections with local markets, the creation of business networks, and through support for MSMEs to access and manage loans.
- The BDS offered to the MSME portfolio focus specifically on supporting women's economic empowerment, which aligns with the fourth line of effort for the first strategic objective, generating leadership opportunities in community and household level business for economic and social growth.
- Efforts to enhance youth entrepreneurship also support the third strategic objective, through vocational and entrepreneurial training for young people that is connected to market opportunities in their communities.

Azure

CLD will continue to use Azure to reach six prioritized communities, leveraging its robust Water, Sanitation, and Hygiene (WASH) project pipeline and advances building capacity for water governance at the community level. Interventions using Azure will ensure basic water services are managed effectively for the long-term, impacting the lives of people in under-served communities by mobilizing financial capital to expand and improve water and sanitation services and deliver technical support for community water commissions.

Azure's strategy, through capacity building and technical support for the formalization of community water commissions and linkages to municipal and institutional technical support, contributes to strategic objective 1, Pillar I of the Roots Causes Strategy by facilitating communities' access to resources, supporting decision-making regarding legal certainty of its resources in the water systems, and through formal access to private investment through credit and donations for the rehabilitation and maintenance of water systems.

Figure 8. Azure



Activities for FY23, as listed in the Implementation Plan Matrix, describe the processes required to ensure sustainable water service delivery. These include the following actions:

- Training 15 community water commissions, 15 OMAS, and 4 health inspectors' offices on ongoing management and maintenance of community water systems

- Developing project profiles for the delivery of a toolkit to 15 OMAS and 4 health inspectors' offices to support their efforts to ensure ongoing management and maintenance of community water systems
- Collection of information and conducting 10 feasibility studies for the rehabilitation or implementation of new water system projects
- Complete two community water system rehabilitation projects, reaching an expected 270 households
- Connecting communities already trained in the Azure methodology with the new CRS Guatemala Azure unit to ensure their continued access to technical and financial services.

These expected outputs contribute to the achievement of the indicator targets. This table provides a selection of the indicators and the contributions by this sub-component toward reaching the targets for the indicators for FY23 as presented in the Implementation Plan Matrix.

Table 1. Contributions of Azure to MEAL indicators

MEAL indicator	Contributions to the Indicator
1.3.1: Number for-profit private enterprises, producers' organizations, water users' associations, women's groups, trade and business associations and community-based organizations (CBOs) that applied improved organization-level technologies or management practices with USG assistance	• 30 Community Water Commissions applying at least one practice or technology promoted by the project
2.1.1: Number of proposals endorsed by Community Development Councils that respond to Community Development Plans	• 37 project profiles developed, 4 of which have an environmental analysis per regulation 216, and 10 that have an environmental analysis by the Ministry of the Environment and Natural Resources (MARN) • 6 projects completed by EMMP standards
2.1.2: Number of community or CSO-proposed initiatives receiving USG support that are implemented	• 39 projects implemented and delivered
2.2.1: % of community contributions invested in the participatory identification, design and implementation of community projects aligned with Community Development Plans	• $125,000 mobilized in community contributions
2.2.2: Number of rural households benefiting directly from USG interventions	• 270 households benefitting
2.4.1: Number of people accessing basic drinking water service as a result of US government assistance	• 1,350 people have access to water services • 2 completed Azure integral water projects offering safe water for human consumption
3.1.3: Value (USD) of non-USG funds leveraged to co-finance implementation of Community Development Plans	• $60,000 USD leveraged

3.2.1.2: Number of OCAS with technical capacities strengthened as a result of the assistance they receive from municipal water and health offices	• 34 OCAS with strengthened technical capacities

Economic Development

The following sub-sections in the first core component all form a package of economic development strategies (see figure below). These strategies work synergistically to support various MSMEs, farmers groups, and youth entrepreneurs to generate income. During FY23, CLD will focus on BDS for MSMEs, rural business enterprise, and youth entrepreneurship initiatives to foster sustained opportunities for income generation among CLD participants. Given the importance of economic opportunities as a push factor for migration, these strategies help strengthen rootedness in one's community.

Business Development Services for MSMEs

CLD will focus actions on a select group of MSMEs that demonstrate commitment to work together, openness to innovation, positive results from the investments made in the BDS program to date, and the potential impact on local economies. CLD will continue to offer BDS with a focus on commercial linkages and strategic management to promote income generation. To achieve commercial linkages, CLD will provide logistical marketing services to facilitate new business or support for repeat purchases. CLD will support the establishment of new national and international commercial contacts as new options for the next harvest, offer training on marketing issues, and support the continual participation in activities for commercial positioning. As for strategic management, CLD will strengthen MSME skills in administrative issues and offer personalized organizational development support for business networks that are still in the transition process to formalization to get their products ready for market.

The links and alliances established previously with actors associated with prioritized value chains will offer key support, such as universities, Ministry of the Economy (MINECO), WE-3A[8], and others that can aid during this final phase as well as post-project. In addition, CLD will develop a map of free support tools and services for continual training, and basic online resources, such as ENKO, which is a free access platform for business training facilitated by the Guatemala Ministry of Economy.

In FY23, CLD will continue to offer BDS to 20 selected MSMEs, given the positive results to date of the impacts of new market linkages on the entire supply chains for these MSMEs. Specific actions included in the implementation plan include the following:

- Review priorities in the MSMEs' Work Plans to adjust and plan for the prioritized BDS
- Offer BDS directly to 20 MSMEs and link MSMEs to other entities for ongoing support
- Monitor and control progress and compliance with BDS offered
- Record progress reports and collect supporting documentation of MSMEs' sales

Rural Business Enterprise

CLD will continue to support rural businesses with the promotion and strengthening of business networks in communities that contribute to family income through the production and marketing of eggs and vegetables. The business network methodology moves individual production to community markets. The

[8] WEConnect International is a global network that connects women-owned businesses to qualified buyers around the world. The 3A initiative is "Aspire, Activate, and Accelerate" LINK

target population will be women with an emphasis on young women who will acquire and strengthen productive, administrative, and commercial skills.

Also, CLD will strengthen the relationship between MAGA's rural extension program and business networks by promoting a Municipal Coordination Agricultural Counsel (COAPEM), coordination meetings, field visits, and the transfer of the database of Paravets and agricultural promoters to MAGA and National Poultry Health Program (PROSA) offices. These actions will guarantee technical assistance post-CLD for business networks through the municipal rural extension agencies.

Lastly, CLD will link the outgoing value chains implementing partners with CRS' Water Smart Agriculture (WSA) platform for training and information on climate smart agricultural practices that improve production through agricultural technologies and practices.

Specifically, activities proposed for FY23 include the following:

- Prepare four project profiles for rural business enterprises with poultry and vegetable production
- Identify and register women to participate in groups for productive projects
- Support economic enterprise projects in 16 communities
- Facilitate local market linkages
- Train participants in technical skills, enterprise networking, and creating sales plans
- Train Paravets and agricultural promoters as Private Services Providers (PSP)
- Identify community contributions to support rural business enterprise
- Record leverage from the sale of eggs and vegetables

Youth Entrepreneurship

Youth entrepreneurship initiatives will focus on two areas, The first is the creation and expansion of knowledge and entrepreneurial and administrative skills of young people between the ages of 15 and 29 that allow them to build successful self-employment. To accomplish this aim, young people with few or no opportunities will be identified, then they will be trained with ADESJU's "Learn and Launch" (*Aprende y Emprende)* entrepreneurship program. As a result, young people will develop a business plan and present this plan in a contest. The winners will receive seed capital to carry out their business plans, which allows them to generate income. To ensure businesses continue to function well, CLD promotes an acceleration program to increase sales skills, generate new jobs, increase profitability, and expand commercial links. This program helps youth entrepreneurs further advance their ventures, which contributes to their rootedness and ability to financially support their families.

The second focus area is market linkages. Entrepreneurs will be linked to organizations that provide business and commercial technical assistance. For example, the Multiverse Alumni program will continue to be strengthened, inviting entrepreneurs from the first to the third cohorts. This program will allow entrepreneurs to continue with workshops and consultancies related to the industry as needed. In addition, entrepreneurs will continue to promote and position their enterprises through festivals, entrepreneurship fairs, and business conferences, which will help increase sales. The linkages between entrepreneurs in different cohorts will also be strengthened, allowing them to be agents of change in their communities, identify opportunities for other young people, and manage projects together, forming an entrepreneurial network and community.

Specifically, activities proposed for FY23 include the following:

- Identify additional youth participants for the "Learn and Launch" methodology
- Offer technical assistance to 300 youth to develop business plans
- Provide seed capital for 50 youth with the strongest business plans through a competition organized by ADESJU
- Link youth to internships for those who receive entrepreneurship support
- Support business incubation for 25 startups with the Multiverse InHatcher methodology
- Follow-up and monitor business ventures and record contributions

The following table demonstrates how *all economic development strategies* (BDS for MSMEs, rural business enterprise, and youth entrepreneurship) contribute to project indicators.

Table 2. Contributions of economic development strategies to MEAL indicators

MEAL indicator	Contributions to the Indicator
1.1.1: Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment).	60% of participants who access productive economic resources are anticipated to be women
1.3.1: Number of for-profit private enterprises, producers' organizations, water users' associations, women's groups, trade and business associations and community-based organizations (CBOs) that applied improved organization-level technologies or management practices with USG assistance	62 groups applying at least one practice or technology promoted by the project
2.1.1: Number of proposals endorsed by Community Development Councils that respond to Community Development Plans	4 technical profiles for projects to be financed with USG funds
2.1.2: Number of community or CSO-proposed initiatives receiving USG support that are implemented	4 projects implemented and delivered
2.1.3: Number of youth-led initiatives to prevent or reduce violence and conflict, or promote social development implemented with USG assistance	300 young people participating in training processes on economic ventures with USG funds
	50 youth-led initiatives receiving support
2.2.1: % of community contributions invested in the participatory identification, design and implementation of community projects aligned with Community Development Plans	$91,500.00 mobilized in community contributions
2.2.2: Number of rural households benefiting directly from USG interventions	190 households benefitting
2.4.2.2: Number of micro, small, and medium enterprises (MSMEs), including farmers, receiving business development services from USG-assisted sources	20 MSMEs receiving business development services
	225 business development services delivered

3.1.1: Value of agriculture-related financing as a result of USG assistance	$150,000 leveraged resources in credit or investment for agriculture in CLD target areas
	2 MSMEs receive technical assistance to strengthen access to credit
3.1.3: Value (USD) of non-USG funds leveraged to co-finance implementation of Community Development Plans	$2,036,500 leveraged from sales from the private sector linked to MSMEs

Core Component 2: Alliances and Resource Mobilization

The second core component for Phase IV programming is strengthening alliances and resource mobilization to support community development. These strategies promote participatory empowerment through inclusive planning and resource mobilization that strengthen social cohesion and rootedness. Best practices around community and municipal-driven alliances and resource mobilization can be scaled to increase impact across the region.

In FY23, CLD will continue to integrate these efforts around critical focal interventions that are highly responsive to CDPs. Through this approach, CLD will consolidate the relationships between communities, local government, and local and national alliances, building on shared value initiatives with the private sector, ongoing efforts and priority needs of communities. The strategies employed to implement this core component include community-driven alliance and resource mobilization, essential community and household assets, financial mechanisms, and shared value initiatives with the private sector.

The alliances and resource mobilization activities have clear links to the **Roots Causes Strategy**, specifically the short-term action item highlights building partnerships and mobilizing investment and the medium-term action item highlights creating economic opportunities with foundations, civil society, and the private sector to deliver new economic opportunities.

Community-driven alliance and resource mobilization

CLD will build upon progress and investments to date in inclusive community empowerment, community planning and prioritization, and leadership and governance training to support long-term sustainability of community-driven alliance and resource mobilization for the implementation of community development projects prioritized in the CDPs. CLD supports the self-determination of each community to achieve its shared vision of community development and ensure solid and sustainable bridging between communities and external actors. This approach is an important aspect of the short-term actions as described in the Roots Causes Strategy as the joint efforts with communities are one of the main channels to gain financial and technical commitment by government actors to respond to the needs prioritized by the communities and include these projects in central and municipal governmental budgets.

CLD takes two general approaches to catalyze community-driven alliances and resource mobilization. The first is accompaniment and coaching with community leaders combined with efforts at the municipal level to influence municipal budgeting decisions to include CDP-prioritized community development projects in the 30 prioritized communities for FY23. The second is targeted efforts to support the integration of community development projects into SNIP, which commits municipal funding for prioritized projects. CLD will continue to support these efforts as well as support communities to identify additional co-financing opportunities for prioritized projects.

Specific actions included in the implementation plan include the following:

- Support the identification of co-financing for projects prioritized by the CDPs and Community Advocacy Plans in 30 communities

- Follow-up on the implementation of projects with SNIP codes and other committed co-financing

These actions contribute to the achievement of the indicator targets. The table below provides a selection of the indicators and the contributions by this sub-component toward reaching the targets for the indicators for FY23 as presented in the Implementation Plan Matrix.

Table 3. Contributions of Community-driven resource mobilization to project indicators

MEAL indicator	Target
1.2.1.6: Number of Community Advocacy Plans managing projects to achieve the sustainability plan	30
2.1.1.8: Number of basic project profiles with co-financing (community and external), developed according to Community Advocacy Plans	30
2.1.1.10: Number of projects with SNIP code assignment (achieved through the direct leadership of communities)	6
2.1.2.3: Number of projects in the implementation stage with leverage funds (disaggregated by % of progress)	15
2.1.2.4: Number of projects delivered to the community with leverage funds	15
3.1.3.4: Amount in US$ of leverage executed annually by the Municipal and/or Central Government	$1.2M
3.2.1.1: Number of communities that implement projects with municipal resources within the SNIP framework	13

Essential Community and Household Assets

CLD supports projects that respond to needs for essential community and household assets; this year CLD will focus on improved stoves and water filters. These projects will be jointly financed with USAID funding and leverage from communities and municipalities. Specific activities proposed in the Implementation Plan Matrix include the following:

- Delivery of 305 stoves and 305 water filters and training on their use
- Develop four project profiles for the delivery of energy-saving stoves and water filters
- Install 305 energy-saving stoves and water filters in four communities
- Register in the MEAL system 230 new households that benefit from the energy-saving stoves (75 households continuing) and 305 households that benefit from water filters (1,220 people)

These actions contribute to the achievement of the indicator targets. The table below provides a selection of the indicators and the contributions by this sub-component toward reaching the targets for the indicators for FY23 as presented in the Implementation Plan Matrix.

Table 4. Contributions of Essential Community and Household Assets to MEAL Indicators

MEAL indicator	Contributions to the Indicator
2.1.1: Number of proposals endorsed by Community Development Councils that respond to Community Development Plans	4 project profiles for the delivery of energy-saving stoves and 4 project profiles for water filters
2.1.2: Number of community or CSO-proposed initiatives receiving USG support that are implemented	305 stoves (4 projects) and 305 water filters (4 projects) in 4 communities

2.2.1: % of community contributions invested in the participatory identification, design and implementation of community projects aligned with Community Development Plans	$45,000 mobilized in community contributions
2.2.2: Number of rural households benefiting directly from USG interventions (new and continuing)	230 new households / 75 continuing households
2.4.1: Number of people accessing basic drinking water service as a result of US government assistance	1,220 people benefit from water filters

Shared Value Initiatives with the Private Sector and Other Key Alliances

CLD will capitalize on current alliances established with the public and private sectors to support community development projects and the economic development strategies. These relationships include alliances with financial institutions, construction and technical services businesses, and agricultural value chain actors. This activity aligns with the medium and long-term steps as defined in the Roots Causes Strategy, regarding building a network of partnerships with national and local private sector entities. The FY23 implementation strategy includes actions that will reinforce existing alliances, generate further leverage, support sustainability, and strengthen the positioning of the importance of community-led development initiatives.

The key sustainability actions for shared value initiatives include: 1) leverage through resource mobilization and advocacy for government investment, 2) alliances to manage and maintain community water systems with Azure, 3) consolidating commercial linkages, and 4) as part of the learning agenda, positioning effective methodologies and interventions with local actors to support ongoing community development priorities (see figure below).

Figure 9. Key sustainability actions

CLD will focus efforts on the following alliances during FY23, for their potential to continue offering access to services to communities in the Western Highlands.

Figure 10. Key Alliances

Table 5. Shared Value Initiatives and Other Key Alliances

Alliance to be sustained	Sustainability action
SEGEPLAN	Accompany efforts to scale the Community Development Plan methodology
Habitat for Humanity	Ensure access to household solutions, water filters and stoves
Alianza, S.A.	Strengthen macadamia producer groups and link them with markets
Copichajulense	Strengthen honey producers and link them with markets
Neumann Foundation	Strengthen coffee producers and link them with markets
Popoyán	Continuation of Business Development Services for MSMEs
Yummus	Strengthen garbanzo producers and link them with markets
EMAGRO	Technical assistance for producers to promote organic agriculture practices
DIFAM	Technical design and implementation of agriculture and livestock projects
United Nations Development Program – Volcanes Project	Technical assistance and accompaniment for agricultural producers in San Marcos
ADESJU	Strengthen economic opportunities for youth

In Phase IV, after creating two credit mechanisms with the Isidro social impact fund and the IDB Lab Green Climate Fund with MICOOPE, CLD will focus efforts on maintaining and strengthening the links between these mechanisms and producers in the Western Highlands. The two mechanisms link MSMEs and agricultural

producers to credit services, allowing access to capital to expand their agricultural activities and mitigate the barriers to access credit due to lack of collateral. These efforts align with Pillar I of the Roots Causes strategy by mobilizing investment through linkages between CLD, Isidro, the IDB Lab Green Climate Fund, and local and national financial entities that will continue to support access to credit for smallholders beyond the life of the project.

IDB Lab: CLD will continue to identify opportunities for coordination between local partners, agricultural producer groups, cooperatives, and participating MSMEs to participate in the IDB Lab project for direct support. The intention is that these organizations participate in the IDB project to implement Water Smart Agriculture practices and increase their access to financing through the MICOOPE system.

Isidro social impact ***fund***: CLD will continue to support MSMEs that have received funds from Isidro or are receiving BDS from CLD. The project will coordinate closely with Isidro so that its technical team can continue supporting MSMEs after project close-out in the following ways:

- Support and monitor the application process to Isidro for MSMEs that are already in the process.
- Follow-up and monitor the MSMEs in the business acceleration course facilitated by Pomona and the products generated with their completion.
- Coordinate complementary BDS within the post-disbursement work plan (if applicable), for the MSMEs with financing from Isidro.
- Promote and circulate information about Isidro to MSMEs that need financing.
- Link interested MSMEs directly with Isidro focal points for direct support and follow-up.

Figure 3. FY23 Leverage Targets

These actions contribute to the following indicators.

Table 6. Contributions of Alliance, Leverage, and Communications to MEAL indicators

MEAL indicator	Contributions to the Indicator
3.1.2: Number of public-private partnerships formed as a result of USG assistance	11 alliances transitioned 112 actions to position project methodologies and learning with alliances (89 community events, 22 municipal events, 1 national event)
3.1.3: Value (USD) of non-USG funds leveraged to co-finance implementation of Community Development Plans	$30,000 from international cooperation agencies $2.2M from the private sector $1.2M from municipal government $261,500 from community contributions **Total: $3.7M USD**[9]
3.2.1 Percentage of milestones from the sustainability plan achieved	75% of milestones achieved
3.1.3.1 Amount of private sector funding mobilized to address the second-order impacts of COVID-19	$2,245,000 Leveraged amount from private sector to minimize effects of COVID-19

7. COORDINATION WITH USAID PARTNERS

In FY23, CLD will continue bilateral and multilateral coordination with USAID partners who operate in the Western Highlands.

International Organization for Migration (IOM): CLD will coordinate with IOM by linking technical implementing partners to the IOM subgrant mechanism that funds projects with up to $80,000 USD for 12 months. CLD will share the following information to support projects potentially funded through this mechanism:

- Community needs through the CDPs
- Women's groups whose leadership has been strengthened
- Municipalities willing to invest in projects for vulnerable populations
- Project profiles with a budget of less than $80,000

Popoyán / PRO-INNOVA project: This project has committed to support five of the MSMEs supported by CLD. There is also potential coordination for a formal alliance between Popoyán and a Feed the Future project and a connection with Isidro. Meanwhile, CLD will continue to coordinate with Popoyán in organizational development and technical and commercial areas.

The Initiative for Entrepreneurial Development in Guatemala (GEDI): Multiverse was one of the eight grant award winners to be recognized by GEDI, which is managed by the Aspen Network for the Development of Entrepreneurs (ANDE) supported by USAID. Multiverse supports MSMEs in business acceleration services in the Verapaces and Western Highlands, creating regional business centers to support stronger business ecosystems and create linkages between rural communities and these regional centers using the CEED Accelerator Program.[10] ADESJU will support this effort with field implementation in collaboration with the Swiss Argidius Foundation to seek additional funding. CLD will support Multiverse to

[9] *The FY23 leverage data in this table is also represented in a disaggregated form in each of the tables above.*
[10] https://www.ceed.ca/sme-accelerator/

identify MSMEs to participate in this program once they have defined the participant profile. Referred MSMEs could include those supported by CLD or others.

La Ruta: This is a Guatemalan government initiative that seeks alliances with representatives of indigenous communities to promote greater government investment for the development needs of the indigenous peoples of Guatemala. Through this initiative, USAID projects contribute by identifying potential participant indigenous populations. During FY22, CLD prioritized actions to generate inclusive economic development in the municipality of Todos Santos Cuchumatán with technical support in agronomic, post-harvest, organizational and commercial ties for coffee growers and promoting youth entrepreneurship as part of the inter-institutional coordination of USAID projects to contribute to *La Ruta*. For FY23, CLD will continue coordination with the projects that support the *La Ruta* initiative within the framework of the Sustainability Plan.

USAID Cross-Sectoral Coordination (X-Co) Group: CLD will continue to co-lead the X-Co group of USAID partner organizations working throughout the country. This group offers an important space for organizations to exchange ideas, share best practices, and discuss technical approaches to foster collaboration and avoid duplication of efforts, as well as to develop a shared understanding of how USAID partners are contributing to country development objectives.

DAI / Nexos Locales: This project is projected to finalize implementation by March 2023. CLD will seek opportunities to coordinate actions related to their income generation and WASH activities in communities and municipal strengthening support for technical offices, such as the OMAS.

8. WORK WITH OTHER STAKEHOLDERS

CLD will continue to coordinate and communicate with allies, local implementing partners, technical implementers, and other stakeholders to strengthen relationships and alliances focused on market-driven strategies and alliance and resource mobilization. This collaboration will gradually shift from coordination to direct linkages between these entities and those involved in the CLD project.

- ***USDA/McGovern Dole "Learning for Life" project (L4L)***: CLD will continue to coordinate with the Learning for Life Project to strengthen the linkages between CLD-supported products and the market for the school feeding program. This process has two fronts: 1) the commercial agreement between the MSME COPIRED supported by CLD and L4L to supply eggs to the school feeding program, and 2) the business networks in the egg, vegetable, and garbanzo chains. Together, CLD and L4L technical teams will identify mechanisms to link these producers with school feeding markets directly with the schools.

- ***Global Communities*** currently has two projects that support WASH initiatives; the first, IWASH, works in Quiche and Huehuetenango to strengthen water service providers on community, municipal, and national levels. They work with the Social Development Fund (FODES) to facilitate access to funds for water services. The second project is with CRS' L4L project, in which Global Communities implements the WASH infrastructure for schools and a savings-based group lending methodology for women (Women Empowered). CLD will coordinate with Global Communities to identify opportunities for linkages to the OMAS and water feasibility projects supported by CLD.

- ***Creative:*** CLD began discussions with Creative regarding coordination with the USAID/OTI Central America Regional Initiative (CARI) project.[11] This project is focused on migration and interested in

[11] *CARI – Central America Regional Initiative, LINK*

the CLD activities related to youth and energy-saving stoves. This project may be able to support the youth business plans not funded by CLD.

- ***World Vision:*** CLD is exploring their potential support for water projects.

9. MONITORING, EVALUATION, ACCOUNTABILITY AND LEARNING (MEAL)

CLD will continue to implement MEAL actions as described in the project MEAL Plan. For FY22, CLD plans to take the following actions:

Monitoring:

- Continue recording and tracking indicator data and achievement toward life of project targets for reports by partner and geographic coverage
- Conduct in-person or virtual quarterly monitoring visits meetings with partners
- Conduct system maintenance to monitor project indicators

Evaluation

- Implement the final evaluation of the project using a mixed method study design
- Conduct a Data Quality Assessment with partners.
- Assess the service quality for two USAID standard indicators (water and MSMEs).

Accountability

- Continue promoting and implementing the community accountability mechanism through field visits, meetings, in-person interviews, and a hotline to collect comments and suggestions.
- Support the CLD team in the preparation and development of quarterly and annual reports.
- Conduct close-out activities in groups at community and municipal levels to share project results.

Learning

- Support and promote learning events to document good practices, lessons learned, and success stories during closing events related to the work carried out with key project interventions.
- Share and communicate the findings, results and recommendations obtained in the final evaluation of the project according to the MEAL policy.
- Follow up on the learning study: "The Planning Methodology for Community-Based Development" and the audiovisual material generated in FY22. Share results with key stakeholders, including communities, partners, USAID, and others.

10. ENVIRONMENTAL MONITORING PLAN

All USG-funded activities, including those implemented directly by CLD are subject to USAID regulations on environmental monitoring as per 22 CFR 216 as well as Guatemalan national standards. At the time of preparation of this document, CLD has 15 approved Environmental Mitigation and Monitoring Plans (EMMPs) as well as a robust system and sufficient staffing to ensure systematic and strict compliance with the EMMPs. Annual Reports include the required annex with environmental compliance information and results of environmental monitoring of projects throughout the year, per the approved EMMPs. The principal actions planned during FY23 are the following:

- Monitor the implementation of environmental mitigation measures in the field and collect all documentation to demonstrate environmental compliance to close-out environmental actions.
- Train technical implementers on environmental compliance with mitigation measures.
- Provide equipment to participants for the safe use of pesticides in compliance with PERSUAP guidelines.
- Provide training materials and tools to participants to ensure good practices in project implementation.

11. PROJECT BUDGET FY23

The CLD FY23 detailed budget presented in Annex F includes $3.2M in USAID funding and $3.7M in leverage, for a total budget with leverage of $6.9M. CLD expects to enter FY23 with a pipeline of approximately $1.5M for project implementation; CLD expects an additional obligation of USAID funds by the end of Q1 of FY23 of $1.7M as previously discussed with the Mission, to come from a flexible funding stream. The FY23 project budget is currently based on available and anticipated DGO funding, as CLD has fully expended the funds in the other obligated funding sources in FY22.

The FY23 project budget reflects a focus on phase IV sustainability activities and project close-out, to be executed in conjunction with consortium partners, a small number of technical implementers, and communities.

As FY23 is planned as a close-out year, consortium staffing is gradually reduced each quarter to form a lighter, agile structure. CRS staffing reductions in the first quarter of the year include:

- Reduction from five to two manager level positions, corresponding to reduced oversight needs. Anticipated reduction to three key personnel positions.
- A reduced Operations team, corresponding to a smaller portfolio of subawards and contracts.
- Conclusion of Value Chain technical specialist positions, as these activities will conclude in FY22.
- A reduced WASH and Infrastructure staff, corresponding to a smaller portfolio.
- A reduced MSME BDS support team.

The CLD team and structure is fully prepared to integrate additional USAID funds from the remaining $13.8M of the project total estimated budget if they become available during the first part of FY23, with these funds planned to be efficiently connected to identified community project needs for execution during the fiscal year.

12. LIST OF ANNEXES

A. Implementation Plan Matrix FY23

B. Sustainability Plan (updated)

C. Gender Integration Plan (updated)

D. Conflict Sensitivity Plan (updated)

E. Strategic Communications Plan (updated)

F. Project Budget FY23

G. Training Plan

H. Factsheet in English (updated)

I. Factsheet in Spanish (updated)

J. Minimum Security Criteria (updated)

K. Plan for Close-out Activities

L. Official list of communities FY23

CLD Implementation Plan Matrix: OCTOBER 2022 - SEPTEMBER 2023

No.	MEAL / Process Indicator	FY2023 Target	Activities	Sources and Means of Verification	Implementation Schedule											
					Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Ago	Sep
1	**OBJECTIVE: Citizens empowered through participation in development of Community Development Plans (CDPs)**															
1.1	**IR: Inclusive participation in identification and prioritization of community needs and HH Assets**															
1.1.1	**MEAL INDICATOR: Percentage of female participants in USG-assisted programs designed to increase access to productive economic resources (HH Assets, credit, income or employment).**	**60%**														
1.1.1.2	Number of women who access productive economic resources	130	RBE: Identification of women for groups with productive projects	Form F6; MEAL database	x	x	x	x	x	x						
			RBE: Registration of women in productive groups		x	x	x	x	x	x						
			Youth: Injection of seed capital for young women with the strongest business plans, through competition organized by ADESJU		x	x	x	x	x	x	x					
1.1.1.3	Number of participating men and women who access productive economic resources	250	Youth: Injection of seed capital for youth with the strongest business plans, through competition organized by ADESJU	Lists of Participants, Form F6, MEAL Database					x	x	x					
			RBE: Identification of men and women for groups with productive projects		x	x	x	x	x	x						
			RBE: Registration of women in productive groups		x	x	x	x	x	x						
			RBE: Implement economic-productive projects (vegetables)					x	x	x	x					
1.2	**IR: Strengthened COCODES lead development of Community Development Plans (CDPs)**															
1.2.1.6	Number of community incidence plans managing projects to achieve the sustainability plan	30	CBRM: Support the identification of co-financing for at least one more project prioritized by the CDPs and community advocacy plans	Participant lists for technical support for advocacy plans and final report of the analysis of the implementation of the community advocacy plan (one per community)	x	x	x	x	x	x						
			CBRM: Follow-up in the execution of projects with co-financing identified during 2022		x	x	x	x	x	x						
			CBRM: Technical support on co-financing for at least projects that empower leaders to continue mobilizing resources		x	x	x	x	x	x						
1.3	**IR: Local groups engaged to implement projects responsive to CDP priorities**															
1.3.1	**MEAL INDICATOR: Number of for-profit private enterprises, producers' organizations, water users' associations, women's groups, trade and business associations and community-based organizations (CBOs) that applied improved organization-level technologies or management practices with USG assistance**	**92**														
1.3.1.1	Number of groups applying at least one practice or technology promoted by the project	92	RBE: Registration and updating of women's groups implementing productive projects (poultry / vegetables)	Form F6 & Database; Training Lists, Group Regulations and Delivery Note		x	x	x	x	x	x					
			RBE: Enterprise Networking Policy Training			x	x	x	x	x	x					
			RBE: Training Paravets / Agricultural Promoters			x	x	x	x	x	x					
			RBE: Create sales plans			x	x	x	x	x	x					
			MSMEs: Continuation of work with 20 MSMEs registered in the system							x	x					
			Youth: Registration of internships for groups of young people who receive entrepreneurship support					x	x							
			MEAL: Registration of groups to the system						x	x	x	x				
			Azure: Training on the rational use of water and delivery of kit	List of participation of trainings / Regulations of water systems / Notes						x	x	x				
			MEAL: Report and entry to the MEAL system		x	x	x	x	x	x	x	x				
1.3.1.2	Number of practices and technologies implemented by registered groups	353	Review and update practices and technologies in the MEAL system	List of participation of trainings / Regulations of water systems / Notes of delivery of OMAS and ISAS.		x	x	x	x	x	x	x				
			Registration of practices and technologies applied by new and follow-up groups			x	x	x	x	x	x	x				
2	**OBJECTIVE: Improved quality of life through the development and implementation of CDPs**															
2.1	**IR: Transparent prioritization and design of CDP responsive projects**															
2.1.1	**MEAL INDICATOR: Number of proposals endorsed by Community Development Councils that respond to Community Development Plans**	**41**														
2.1.1.2	Number of technical project profiles generated as a result of the prioritized needs in the CDPs	41	RBE: Preparation of project profiles (4 rural business)	Factsheets Stove datasheets/ Feasibility study datasheets/ Stove datasheets	x	x	x	x								
			RBE: Approval of project profiles		x	x	x									
			RBE: Registration of project profiles		x	x	x	x								
			Azure: Compilation of information for project profiles for feasibility studies of water systems (10).		x	x	x	x	x							
			HH Assets: Compilation of information for project profiles of stoves (4)		x	x	x	x	x							
			HH Assets: Compilation of information for project profiles of water purifiers (4)		x	x	x	x	x							
			Azure: Compilation of information for project profiles of 15 OMAS and 4 ISAS.		x	x	x	x	x							
2.1.1.3	Number of technical profiles that have the environmental analysis per Regulation 216	12	HH Assets: 4 improved stoves and 4 water filters	Environmental monitoring in MEAL database EMMP approved and tab checked in CommCare	x	x	x	x	x							
			RBE: 4 projects													
			MEAL: Registration of project profiles included in the EMMP's approved by USAID													
2.1.1.4	Number of technical profiles that have MARN's environmental analysis	10	Azure: 10 feasibility studies	MARN reception letter					x	x	x					
2.1.1.6	Number of projects executed that comply with the environmental mitigation measures approved in the EMMP	14	MEAL: Collection of verifiers and registration of environmental mitigation measures in the CommCare system	Environmental Instrument Format		x	x	x	x	x	x					
			MEAL: Verification of the CommCare environmental mitigation record in the CommCare System			x	x	x	x	x	x					
			RBE: 4 projects													
			Azure: 2 water systems							x	x					
			HH Assets: 4 improved stoves and 4 water filters								x	x				
2.1.1.8	Number of basic project profiles with co-financing (community and external), developed according to advocacy plans	30	MEAL: Development of project profile, review and entry into the system by an internal team at CommCare	Registration to the system of the contributions committed and executed with evidence (mail, letter, agreement)	x	x	x	x	x	x						
			CBRM: Projects with co-financing executed for new and follow-up communities		x	x	x	x	x	x						
			CBRM: Projects with co-financing executed for new and follow-up communities.		x	x	x	x	x	x						
2.1.1.10	Number of projects with SNIP code assignment (achieved through the direct leadership of communities)	6	CBRM: Provide follow-up to SNIP codes assigned projects from CLD communities	Registration to the system with technical file title and F9 to leverage executed.	x	x	x	x	x	x	x					
			MEAL: Register in the MEAL system project profiles for the projects from CLD communities with SNIP codes		x	x	x	x	x	x	x					
2.1.2	**MEAL INDICATOR: Number of community or CSO-proposed initiatives receiving USG support that are implemented**	**58**														
2.1.2.1	Number of projects in the implementation stage with USG funds (disaggregated by % progress)	43	RBE: Implement projects (4)	Form F6 Training list Progress report		x	x	x	x	x	x					
			RBE: Train groups in the project topic			x	x	x	x	x	x					
			Azure: Construction and rehabilitation of water systems. (two)			x	x	x	x	x	x					
			HH Assets: Construction of 305 saving stoves (4) and purifiers (4 communities)			x	x	x	x	x	x	x				
			Azure: Feasibility studies for water systems (10)		x	x	x	x	x	x	x	x				
			Azure: Kits of 15 OMAS and 4 ISAS.		x	x	x	x	x	x	x					
2.1.2.2	Number of projects delivered to the community with USG funds	43	RBE: Implementation of the projects (4)	Minutes of delivery/ F-9/ F-6/ Final report.		x	x	x	x	x	x					
			RBE: Training of groups in the theme of the project			x	x	x	x	x	x					
			Azure: Construction and rehabilitation of water systems (two)			x	x	x	x	x	x					
			HH Assets: Construction of 305 saving stoves and purifiers (4 communities)			x	x	x	x	x	x	x				
			Azure: Feasibility studies for water systems (10)		x	x	x	x	x	x	x	x				
			Azure: Kits of 15 OMAS and 4 ISAS		x	x	x	x	x	x	x					
2.1.2.3	Number of projects in the implementation stage with leverage funds (disaggregated by % of progress)	15	Preparation of project profiles	Fact sheets of projects financed with leverage and F9	x	x	x	x	x	x						
			Registration of project profiles		x	x	x	x	x	x						
			Project monitoring		x	x	x	x	x	x						
2.1.2.4	Number of projects delivered to the community with leverage funds	15	Monitoring and closing of project profiles	Fact sheets of projects financed with leverage and F9	x	x	x	x	x	x						
			Approval of project profiles		x	x	x	x	x	x						
			Gathering evidence for project closure		x	x	x	x	x	x						
2.1.3	**MEAL INDICATOR: Number of youth-led initiatives to prevent or reduce violence and conflict, or promote social development implemented with USG**	**50**														
2.1.3.4	Number of young people participating in training processes on economic ventures with USG funds	300	Youth: Call and recruitment of young people (with support from all partners)	Form F6, list of participants of each training module.	x	x										
			Youth: Selection and training in "Learn and Launch" methodology			x	x	x	x	x						
			Youth: Technical assistance to youth to develop business plans			x	x	x	x	x						
2.1.3.5	Number of youth-led ventures geared towards income generation	50	Youth: Identification and delivery of seed capital to 50 youth with the best business plans	Multipurpose spreadsheet						x						
			Youth: Incubation of 25 startups with the Multiverse InHatcher methodology	Multiverse Records							x	x				
			Youth: Follow-up and monitoring of enterprises							x	x	x				
2.2	**IR: Community contributions mobilized**															

2.2.1	**MEAL INDICATOR: Amount of community contributions invested in the participatory identification, design and implementation of community projects aligned with Community Development Plans**	**$ 261,500.00**															
2.2.1.1	Amount in USD invested in community contributions	$ 261,500.00	RBE: Identification of community contributions for each action that is implemented in the communities	Leverage Form F9 Letters of agreement/ Final reports	x	x	x									
			RBE: Negotiation and coordination of community contributions to register leverage		x	x										
			RBE: Collection of community contribution data for community projects and sales and sending to leverage specialist					x	x	x	x					
			Youth: registration of contributions from youth in enterprises					x	x	x						
			Azure: 2 Water System ($125,000)								x	x				
			HH Assets: Project of 305 saving stoves and water purifiers ($45,000)								x	x				
2.2.2	**MEAL INDICATOR: Number of rural households benefiting directly from USG interventions**	**690**															
2.2.2.1	Number of households benefited (new)	690	MEAL: Registry of households benefited by family income	Form F6		x	x	x	x	x	x					
			Azure: Collection of information in the F6 for 2 water systems (270 families)							x	x	x				
			HH Assets: Collection of information for the saving stoves project (230 families)						x	x	x	x				
2.4	**IR: Increased community-based services and income-generating activities for healthy prosperous citizens**																
2.4.1	**MEAL INDICATOR: Number of people accessing basic drinking water service as a result of US government assistance**	**2570**															
2.4.1.1	Number of established water systems with safe water for human consumption	2	Azure: Monitoring and delivery of water systems built or rehabilitated. (2 communities) Yulhuitz 200 and Telená 1,150	Delivery reports						x	x	x				
			HH Assets: Water filters (305 families) 1,220 people	Delivery reports						x	x	x				
2.4.2	**MEAL INDICATOR: Number of micro, small, and medium enterprises (MSMEs), including farmers, receiving business development services from USG-assisted sources**	**0**															
2.4.2.2	Number of MSMEs that complete the training or technical assistance process (disaggregated by type of service received)	20	MSME: Review of priorities in work plan, adjustments and agreements for BDS that are prioritized	Work plans	x											
			MSME: Development of agreed BDS		x	x	x	x	x	x	x	x				
			MSME: Coordination of internal and external supply of BDS		x		x		x		x	x				
			MSME: Closing session and linkages to follow-up actors (if applicable)									x				
2.4.2.3	Number of Business Development Services (BDS) that MSMEs receive based on their work plan	225	MSME: Monitoring and control of progress and compliance with BDS	Evidence of BDSs made (photos, recordings, participation lists, reports, etc. Delivered products (from consultancies) F6s	x	x	x	x	x	x	x	x				
			MSME: Identify other indirect complementary BDS or in joint implementation with another organization			x		x		x		x				
3	**OBJECTIVE: Long-term sustainability of community development improved by leveraging local and external resources**																
3.1	**RI 3.1 Increased investment in Western Highlands projects**																
3.1.1	**Value of agriculture-related financing as a result of USG assistance**	**$ 150,000.00**															
3.1.1.1	Value (USD) of leveraged resources in the form of credit or investment for agriculture, destined for the CLD departments	$ 150,000.00	MSME: Associations, cooperatives and businesses that receive funding from Isidro, beneficial returns and others	Alliances and agreements F9			x			x			x			
3.1.1.2	Number of MSMEs that receive assistance to strengthen their ability to access credit	2	MSME: Registration of BDS received by MSMEs related to issues of access to financing	Tracking MSMEs in CommCare allocation of BDSs			x			x			x			
3.1.2	**MEAL INDICATOR: Number of public-private partnerships formed as a result of USG assistance**	**0**															
3.1.2.3	Number of alliances in implementation	11	Alliances: Transition process or closure of alliances in the execution stage	Quarterly report	x	x	x									
			Alliances: Linking work with local entities and external actors as required by the alliance			x	x	x	x	x	x					
			Alliances: Coordination of compliance with CLD agreements and allies (alliance implementation efficiency survey, group accountability document)		x	x	x	x	x	x	x					
3.1.2.5	Number of actions to position the project with alliances	112	Close-out: Design and elaboration of closure according to coverage area	Quarterly report - weekly highlight				x	x	x						
			Close-out: Hold (89) closing events at the community level							x	x					
			Close-out: Hold (22) closing events at the municipal level								x	x				
			Close-out: Hold (1) closing event at the national level							x						
3.1.3	**MEAL INDICATOR: Value (USD) of non-USG funds leveraged to co-finance implementation of Community Development Plans**	**$ 3,736,500**															
3.1.3.2	Amount in US$ of leverage executed annually from International Cooperation	$ 30,000	Donor portfolio follow-up	F9			x			x			x			
3.1.3.3	Amount in US$ of leverage executed annually from the private sector	$ 2,245,000	Leverage record	F9			x			x			x			
3.1.3.4	Amount in US$ of leverage executed annually by the Municipal and/or Central Government	$ 1,200,000.00	Leverage record	F9			x			x			x			
3.1.3.5	Amount in US$ of leverage executed annually by the Communities	$ 261,500.00	Leverage record	F9			x			x			x			
3.1.3.8	Amount in US$ of leverage executed annually	$ 3,736,500.00	Leverage record	F9			x			x			x			
3.1.3.9	Amount in USD for sales made from private sector linked to value MSES	$ 2,036,500	RBE: Record the sales for eggs and vegetables	F9			x			x			x			
			MSME: Fill out documentation for leverage registration			x			x			x				
			MSME: Record reports or supporting documentation of the sale			x			x			x				
			MSME: Leverage registration in the system			x			x			x				
3.1.3.1	**MEAL INDICATOR: Amount of private sector funding mobilized to address the second-order impacts of COVID-19**	**$ 2,245,000**															
3.1.3.1.1	Leveraged amount from private sector to minimize effects of COVID-19	$ 2,245,000.00	Tracking activities that support impacts of COVID-19 Leverage record related to mitigation impacts COVID-19	F9			x			x			x			
3.2	**RI 3.2 Long-term sustainability plan for community development**																
3.2.1	**Percentage of milestones from the sustainability plan achieved**	**75%**															
3.2.1.1	Number of communities that implement projects with municipal resources within the framework of the national public investment system (SNIP)	13	CBRM: Follow-up on the implementation of projects with SNIP codes registered in 2021 and 2022	Registration in the MEAL system through the technical file cover and F9.	x	x	x	x	x	x						
3.2.1.2	Number of OCAS with technical capacities strengthened as a result of the assistance they receive from municipal water and health offices	34	Azure: Strengthening OCAS 15, Strengthening OMAS 15+ ISAS 4 = 19	Certificates of delivery OMAS, ISAS and OCAS Kits Multipurpose training sheet and/or Azure consultant report					x	x	x	x				
3.2.1.3	Amount in US$ generated by MSMEs and farmers as new income or investments as a result of the business development services provided by the project	$ 2,036,500	MSME: Sales records in F9 of MSMEs, Generated sales endorsements, registration in the MEAL system	Form F9	x	x	x	x	x	x	x	x				

Communities Leading Development

Sustainability Plan

Cooperative Agreement No. AID-520-A-16-00005

Recipient: Catholic Relief Services (CRS)
Start Date: 21 September 2016
Completion Date: 20 September 2023
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Table of Contents

LIST OF ACRONYMS 2

LIST OF TABLES & FIGURES 3

I. INTRODUCTION: COMMUNITIES LEADING DEVELOPMENT PROJECT (CLD) 4

CLD RESULTS FRAMEWORK 4

II. SUSTAINABILITY EMBEDDED IN CLD DESIGN AND ADAPTIVE PROGRAMMING 5

DEFINING SUSTAINABILITY FOR CLD: LEARNING STUDY 6

III. THEORETICAL MODEL FOR SUSTAINABILITY 7

SUSTAINED KEY OUTCOMES OF THE CLD PROJECT 9

A. COMMUNITY-BASED RESOURCE MOBILIZATION 9

B. WATER SERVICE DELIVERY AND HOUSEHOLD ASSETS 9

C. INCOME GENERATION 10

A. COMMUNITY-BASED RESOURCE MOBILIZATION 10

1. Institutionalize use of CDPs for resource mobilization, guaranteeing the prioritization of community-identified needs. *10*

2. Build community capacity to mobilize resources through local leadership. *11*

B. WATER SERVICE DELIVERY AND HOUSEHOLD ASSETS 12

1. Support the technical, financial, and operational mechanisms to establish and maintain community water systems through Azure *12*

2. Support sustained use and maintenance of energy-saving stoves *13*

C. INCOME GENERATION 13

1. Link farmers and farmer groups in CLD communities to agricultural technical extension services by other actors *13*

2. Strengthen MSME capacities with business development services *14*

3. Establish and expand profitable commercial linkages for MSMEs, farmers, and women's and youth groups *14*

4.Increase access to financial services, including loans and other financial products, for the agriculture sector. *15*

IV. MILESTONES FOR SUSTAINABILITY 15

V. CLD MONITORING, EVALUATION, ACCOUNTABILITY, AND LEARNING (MEAL) SYSTEM AS A TOOL FOR UNDERPINNING SUSTAINABILITY 16

VI. POTENTIAL CHALLENGES/DIFFICULTIES FOR SUSTAINABILITY 16

VII. PROGRESS TO DATE 18

A. COMMUNITY-BASED RESOURCE MOBILIZATION 18

B. WATER SERVICE DELIVERY AND HOUSEHOLD ASSETS 19

C. INCOME GENERATION 19

VIII. KEY PROJECT ACTIVITIES ALIGNED TO THIS SUSTAINABILITY PLAN FOR FY23 20

IX. ANNEXES 21

ANNEX I: COOPERATIVE AGREEMENT GUIDELINES FOR CLD SUSTAINABILITY PLAN 21

List of Acronyms

ADESJU	Association for Youth Development *(Asociación para el Desarrollo de la Juventud)*
ANAM	National Association of Municipalities of Guatemala *(Asociación Nacional de Municipalidades de la República de Guatemala)*
CDCS	Country Development Cooperation Strategy
CDP	Community Development Plan
CLD	Communities Leading Development
COCODEs	Community Development Council
COMUDEs	Municipal Development Council
COPRESAM	Presidential Commission for Municipal Affairs *(Comisión Presidencial de Asuntos Municipales)*
CRS	Catholic Relief Services
EMMP	Environmental mitigation and monitoring plan
FUNDIT	Foundation for Integrated Development of Guatemala
FY21-24	Fiscal years 2021-2024
ICTA	Institute for Agricultural Science and Technology *(Instituto de Ciencia y Tecnología Agrícolas)*
INFOM	National Institute for Municipal Development *(Instituto Nacional de Fomento Municipal)*
MAGA	Ministry of Agriculture, Livestock and Food *(Ministerio de Agricultura, Ganadería y Alimentación)*
MEAL	Monitoring, Evaluation, Accountability and Learning
MOU	Memorandum of understanding
MSME	Micro, small, and medium-sized enterprise
NGO	Nongovernmental Organization
SEGEPLAN	Secretariat of Executive Planning *(Secretaría de Planificación y Programación de la Presidencia)*
USAID	United States Agency for International Development
WSA	Water Smart Agriculture

List of Tables & Figures

Table 1. Strategies that propel the sustainability of key project outcomes 10
Table 2. Potential challenges for sustainability and CLD response 17

Figure 1. CLD results framework 4
Figure 2. The FANTA sustainability conceptual model 8
Figure 3. CLD sustainability conceptual model (adapted from FANTA) 9

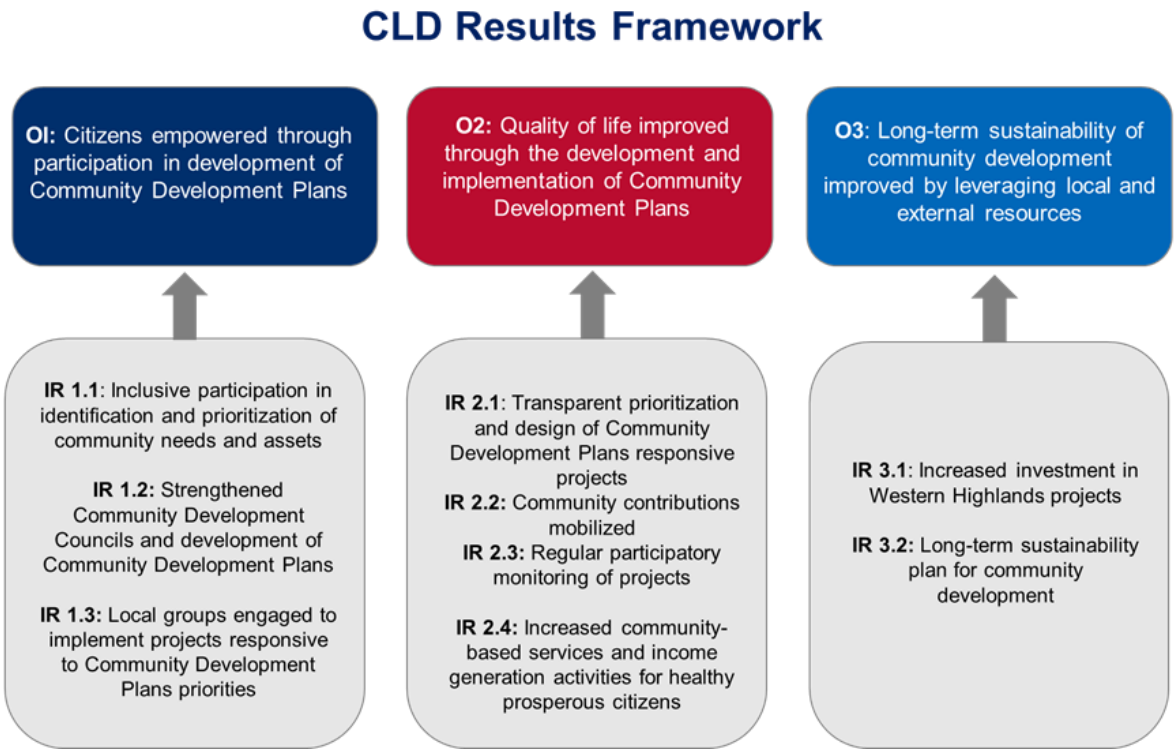
1. Introduction: Communities Leading Development Project (CLD)

Catholic Relief Services (CRS), in consortium with Cáritas Los Altos and Cáritas San Marcos, implements the Communities Leading Development (CLD) project with 200 communities in 30 municipalities of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán departments. CLD combines proven community-based development methodologies, strong relationships with relevant stakeholders, innovative alliance and leverage approaches, and a highly experienced and diverse management team to promote inclusive, responsive, and sustainable community-led development that improves the quality of life for families and communities. The project's community empowerment approach seeks to support the self-determination of each community to achieve its shared vision of community development and takes a community-driven approach to alliances and leverage, ensuring solid and sustainable bridging between communities and external actors. In this sense, the CLD project is a platform functioning to catalyze investment in the Western Highlands, in line with the collectively identified needs and priorities of the most marginalized communities.

CLD Results Framework

The CLD results framework is structured around three objectives and corresponding intermediate results that are designed to build community assets that will lead to economic growth and social opportunity in 200 communities in 30 municipalities in Guatemala's Western Highlands (see Figure 1 below).

Figure 1. CLD results framework[1]



The CLD results framework aligns with development objectives 1 and 2 from the Guatemala Country Development Cooperation Strategy (CDCS) for 2020-2025 related to increased economic prosperity,

[1] *This results framework will be updated to feed into the new USAID results framework presented in the Guatemala Country Development Cooperation Strategy (CDCS) for 2020-2025. The USAID development objective and intermediate results appearing in this framework match to the previous CDCS.*

inclusion, and stability in areas with high illegal immigration and strengthened effective and accountable governance to improve quality of life and deter irregular migration. CLD programming supports the factors that help people strengthen roots and thrive in their communities, including education and training connected to employment opportunities, community engagement and leadership for development opportunities, access and management of land for sustainable and adaptive agriculture, and stable income. These retention factors were identified in a study on the push and retention factors for migration among 785 households in rural Guatemala.[2]

CLD is also aligned with USAID's Policy on Promoting the Rights of Indigenous Peoples, specifically, objectives 1 and 3, related to strengthening engagement of indigenous peoples to support their development priorities and self-reliance and empowering indigenous peoples and their representative organizations to advocate for and exercise their rights and practice self-determined development. "Self-determined" development refers to the ability of indigenous peoples to determine their own development priorities and promote their own self-reliance, which is fundamental to CLD's objectives.[3]

2. Sustainability embedded in CLD design and adaptive programming

Sustainability was carefully considered in the original design of the project and throughout its adaptations. The following are key concepts that were integrated into the original project design and initial project planning as stated in the first version of the sustainability plan submitted in 2016. These concepts are still relevant to the CLD sustainability approach.

Community capacity and ownership

- The overarching design of CLD is community-driven development: key program activities are designed for local ownership and leadership and, hence, sustainability beyond the life of the project.
- Creation of participatory Community Development Plans (CDPs): Community priorities have been articulated through a participatory process of community development planning, the basis of sustainable ownership of local development agendas.
- Community capacity development through supporting 200 participating communities to prioritize, design, implement and monitor projects gives them the experience and know-how that will contribute to sustainability.

Resources through investment of diverse actors

- Community development priorities will continue to be supported after the project closes with support mainly from community, municipal, GOG, and private sector participation and investments in community development projects.
- CLD Leverage Strategy and Private Sector Engagement Strategy Framework: An overall project Leverage Strategy and Private Sector Engagement Strategy are critical for creating the linkages for organizational collaboration and financial support for sustained community development efforts.

[2] *Entre el arraigo y la decisión de migrar: un estudio sobre los principales factores que influyen en la intención de permanecer en el país de origen o migrar. CRS, 2020.*
[3] *USAID, Policy of Promoting the Rights of Indigenous Peoples, March 2020*

MEAL

- The CLD Monitoring, Evaluation, Accountability, and Learning (MEAL) system as a tool for underpinning sustainability: The MEAL system is key for program leadership and communities to make evidence-based decisions to adjust implementation and the sustainability strategy as necessary.

Communications

- A Strategic Communications Plan ensures institutional communications disseminate best practices and attract partnerships and leverage, which includes a Social Behavior Change Communications (SBCC) Plan that promotes empowerment efforts. The Strategic Communications Plan is important for sustainability as building on the success of community-led development is critical for attracting long-term support. The SBCC Plan is important for sustainability as participatory decision-making and ownership of development outcomes is essential for communities to continue leading development efforts.

Since the original submission of the CLD sustainability plan, CLD has relied on an adaptive programming approach as the project has transformed across three phases. During Phase I (September 2016 to May 2019), project actions focused on inclusive and participatory strategies for community empowerment that involved 1) the participatory process of developing CDPs and 2) empowerment strategies that encouraged inclusive participation in community development. CLD transitioned to Phase II in June 2019. This second phase focused on strengthening linkages for leveraging alliances and resources for communities and implementing high-impact projects of short to medium-term duration prioritized in the CDPs. Communities learned and practiced skills in project design and planning and CLD began supporting the roll-out out of several of these projects, which responded to communities' needs identified in the CDPs.

Phase III strategies are focused on areas with highest impact and potential for sustainability. CLD leverages the sustainability of market-driven strategies that support economic opportunities and improve the quality of life for target communities; and therefore, also increase retention factors. Activities include intensified support for CLD prioritized communities and municipalities with the strongest potential and interest to drive forward their own local alliances and directly mobilize resources to respond to their community development plans (CDPs). This phase involves two core components:

1. **Market-driven strategies** focused on improving water systems and services and economic development programming, including agricultural value chains and rural business enterprises.
2. **Alliances and resource mobilization** focused on community-driven alliance and resource mobilization, financial mechanisms, shared value initiatives with the private sector. This includes co-investment by communities and municipalities for projects that support community services.

Phase IV is focused on sustainability during Fiscal Year 2023. The cycle is restarted with resources, motivations and links that allow communities to update their planning and continue the cycle in a sustainable way. For this phase, CLD has prioritized the main activities of the sustainability plan, which will be carried out by linking key actors of the private sector, local and national governments, among others, so that the results can be sustained over time.

Defining sustainability for CLD: learning study

To better understand how the target population for CLD interventions understands key concepts used within the project, CLD conducted a learning study in 22 communities within 13 municipalities of the project coverage area during FY18. The team gathered information through focus groups and individual interviews

with adults and youth, both men and women. Among the key concepts explored was the local understanding of sustainability.

When asked about the term *sustainability*, most of the adult and youth participants in the study reported they did not fully understand what it meant but reflected on concepts related to sustaining, contributing to, or maintaining something, such as a family or a job. Participants were also asked to reflect on important sustained changes in their communities in the last five years. These comments mainly referred to improvements in infrastructure, such as the construction or improvement of roads, bridges, schools and health posts or centers, and the introduction or expansion of basic services such as water or electricity. According to the participants, the identification, management, and execution of these projects are the responsibility of the Community Development Council (COCODE). The projects that the participants considered successfully sustained were those where most of the community participated, a benefit for the community was achieved, and needs felt by the majority were resolved. Participants stated that the projects that they considered unsuccessful were those that were unable to completely solve the issue, such as road conditions without maintenance that worsened with the arrival of the rainy season. Many needs are not resolved, as indicated, because of lack of funding, mismanagement of funds, or because authorities did not consider them a priority.

While the term may be nebulous to many participants, their responses suggested a practical, working concept of sustainability in the maintenance of community infrastructure projects and projects financed with local resources.

Based on these findings and discussions with the CLD implementing team, CLD included a working definition of sustainability in the Monitoring, Evaluation, Accountability and Learning (MEAL) Plan.

> *Sustainability is a multivalent concept that generally refers to resources or processes that 1) can be utilized without being exhausted, and 2) that are able to last or continue for a long time. For CLD efforts to be sustainable, this will entail adapting project empowerment efforts to local cultural practices and timeframes for them to continue beyond the life of the project. CLD works to strengthen community ownership of 1) participatory community planning (Objective 1); management and monitoring of community development efforts (Objective 2); and the financial aspects of investments in community development (Objective 3). CLD also engages aspects of environmental sustainability by implementing environmental mitigation and monitoring plans (EMMPs) to mitigate environmental effects of community development efforts and ensuring compliance with national and USG environmental regulations.*

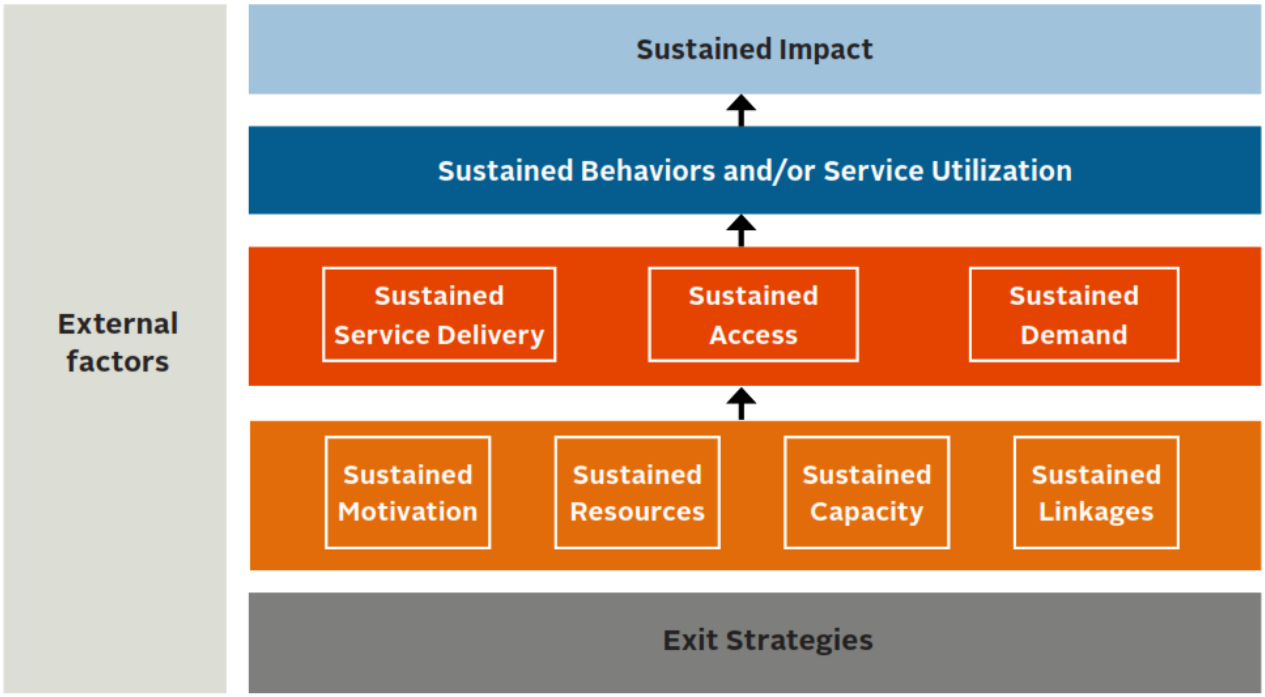
This sustainability plan focuses exit strategies and sustainability post-project. It describes how project strategies currently being implemented will propel the sustained effect of project outcomes beyond the life of the project. Other aspects related to sustainability, such as environmental sustainability, are considered in project action plans and Environmental Mitigation and Monitoring Plans (EMMPs), for example.

3. Theoretical model for sustainability

Taking the embedded strategies that foster sustainability and lessons learned throughout adaptive programming, CLD proposes a sustainability plan based on the theoretical model developed out of the FANTA III – Food and Nutritional Technical Assistance study on sustainability and exit strategies among development food assistance projects.[4] This model postulates that sustained behaviors and social change resulting from development programs require sustained *resources*, *capacity*, *motivation*, and *linkages*. See Figure 2.

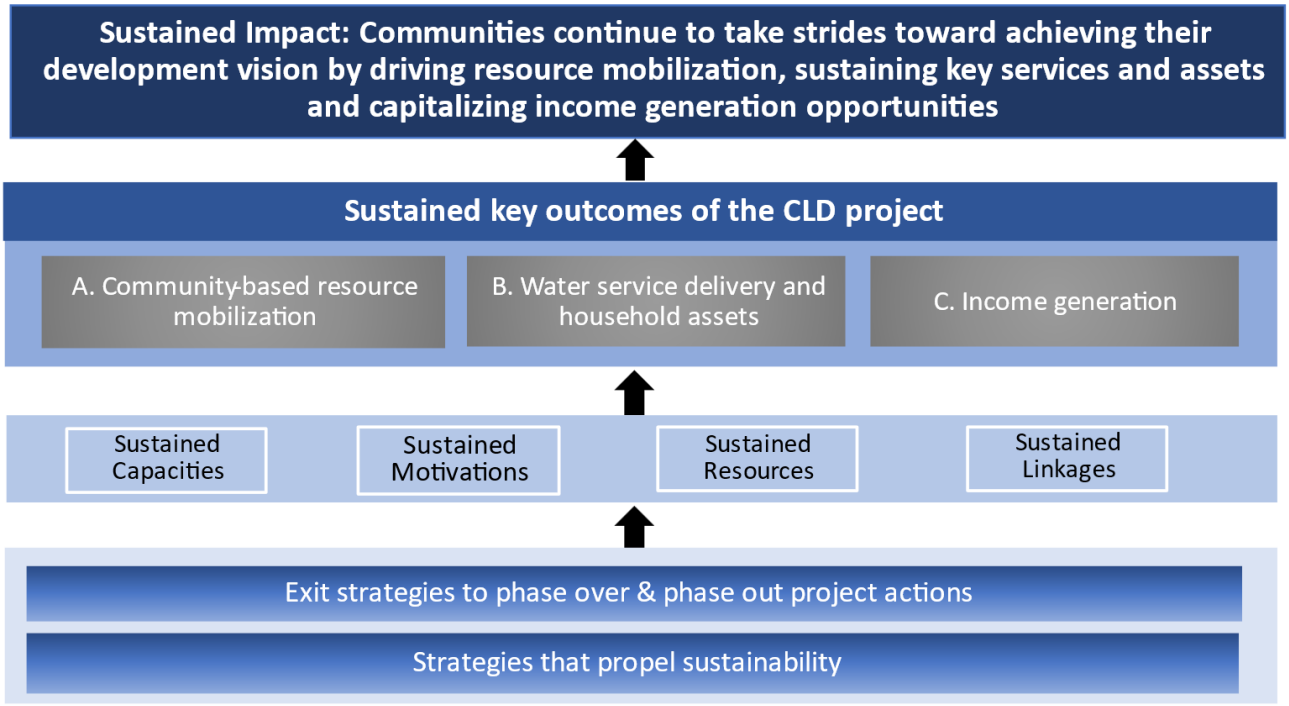
[4] *Sustaining Development: A Synthesis of results from a four-country study of sustainability and exit strategies among development food assistance projects. FANTA III, October 2016.*

Figure 2. The FANTA sustainability conceptual model



CLD adapted this framework and used lessons from the FANTA study to analyze sustainability priorities and strategies based on progress to date, best bet exit strategies and key outcomes. Figure 3 shows that key CLD strategies embedded in the design of the project and presented in the FY21 Annual Work Plan, together with project exit strategies, will support the capacities, motivations, resources, and linkages necessary to sustain key outcomes of the CLD project: a) Community-based resource mobilization; b) Water service delivery and household assets; and c) Income generation.

Figure 3. CLD sustainability conceptual model (adapted from FANTA)



Sustained Key Outcomes of the CLD project

A. Community-based resource mobilization

CLD has defined this key project outcome as communities that participate in community development planning and implementation through vocalizing their needs and interests to local leadership. Inclusive local leadership facilitates a common understanding of the prioritized needs and proper responses to those needs. This also involves organizational skills and capacity of local leadership to use CDPs as an instrument to mobilize resources to carry out the community's vision of the programming response to their needs. This community-based resource mobilization seeks to fill the gaps in the current development planning process as outlined in the System for Development Councils, that governs the processes by which Community Development Councils (COCODEs) solicit municipal resources for community development projects.

Community-based resource mobilization is manifested in local authorities that are empowered by independent resource mobilization, organized communities with updated CDPs, community leadership that uses the CDPs to design and present projects before municipal and national authorities to garner resources, and communities that seek technical assistance to support the technical design of their projects per regulations and stipulations by municipalities and other financial sources.

B. Water service delivery and household assets

CLD has defined this key project outcome as the provision and use of water services and essential household assets that meet basic needs for quality of life. Water services involves water for human consumption, ensuring adequate quality, quantity, cost, coverage, and continuity. Household assets include rainwater catchment systems, water filters and energy efficient stoves. Rainwater catchment systems facilitate water access and water filters facilitate water quality. Energy efficient stoves provide a means to prepare food more efficiently and safely. These household assets were selected based on prioritized needs as defined by the CDPs and by the leverage support of strategic alliances who offer these assets and the means for their

sustained access and use. The strategies utilized to plan for and promote the use of these assets rely on community organization and participation in decision-making and planning and implementation of water infrastructure projects, hygiene education, and the operation and maintenance of community water systems. This key project outcome is manifested by continued access and use of these assets that improve quality of life.

C. Income generation

CLD has defined this key project outcome as strengthening the structures that provide technical assistance, market linkages, and access to credit to improve income generation for rural areas, which benefits individual farmers, farmers groups, cooperatives, youth and women's groups, and micro, small, and medium-sized enterprises (MSMEs). Although these efforts are concentrated in most of the CLD communities, CLD also works with other actors in key value chains such as local municipal and ministerial offices, input suppliers, research agencies, and other donor-funded initiatives. This approach allows CLD to better broker relationships than can help tackle key bottlenecks in order to strengthen prioritized agricultural value chains. This key outcome is manifested when farmers, community associations and groups, and MSMEs generate income that contributes to household and community economies.

The following table shows the strategies CLD implements to foster sustainability of the three key project outcomes. The following sections describe each of these strategies.

Table 1. Strategies that propel the sustainability of key project outcomes

Sustained key outcome	Strategies that propel its sustainability
A. Community-based resource mobilization	1. Institutionalize use of CDPs for resource mobilization, guaranteeing the prioritization of community-identified needs
	2. Build community capacity to mobilize resources through local leadership
B. Water service delivery and household assets	1. Support the technical, financial, and operational mechanisms to establish and maintain community water systems through Azure
	2. Support sustained use and maintenance of energy-saving stoves
C. Income generation	1. Link farmers and farmer groups in CLD communities to agricultural technical extension services by other actors
	2. Strengthen MSME capacities with business development services
	3. Establish and expand profitable commercial linkages for MSMEs, farmers, and women's and youth groups
	4. Increase access to financial services, including loans and other financial products, for the agriculture sector.

A. Community-based resource mobilization

<u>Institutionalize use of CDPs for resource mobilization, guaranteeing the prioritization of community-identified needs.</u>

This strategy seeks to define the methodology and tools for the creation of Community Development Plans (CDPs) as a standardized way to identify community needs and prioritize and design projects in an inclusive

manner. The "institutionalization" of CDPs is essentially the transfer of the use of existing CDPs as well as the methodology and tools for the creation of future CDPs to local leadership and government authorities for their continued use. This involves using the CDPs as a reference to update municipal development plans, sharing the results of the CDPs in municipal spaces, and promoting a simplified version of the methodology and tools among decision-making bodies. Much of this process involves accompanying community leaders to present and advocate for the use of the CDPs for development planning among municipal authorities and other funding sources. The CDPs and accompanying tools (project profiles, advocacy plans, feasibility studies, etc.) also facilitate the work of funders and municipal authorities as these tools provide the technical and financial information necessary to plan for and implement the projects. Key actors that CLD works with to support the institutionalization of CDPs and the methodology and tools to design and use them include the Secretariat of Executive Planning (SEGEPLAN) and the National Association of Municipalities (ANAM). This contributes to the portfolio of projects that municipalities present for funding. To support institutionalization, CLD will take the following actions.

- Support communities to update their CDP information on problems, needs, and priorities as many of these issues have shifted since the CDPs were developed originally, especially with the impact of COVID-19.
- Support communities to identify resources based on their advocacy plans and monitor projects registered in the National Public Investment System

By the end of FY23, CLD will have taken all necessary actions so that the central government will continue disseminating and promoting the CDP methodology and tools into the future and implement projects prioritized in the community advocacy plans as a follow-up to the CDPs developed in the target communities.

Build community capacity to mobilize resources through local leadership

This strategy seeks to strengthen local leadership capacity to mobilize technical assistance and resources through municipal funding and from other sources, such as cooperation grants and the private sector—including local technical service providers, who can offer technical assistance to support project design. This involves establishing the relationships and linkages for long-term technical and financial support of community development projects. One of the best sources for resource mobilization is municipal funding. Often the municipalities do not execute enough development projects for the financial resources they are allotted and many of the projects they do execute are infrastructure and construction projects. Therefore, there is an opportunity to present proposals and gain resources for other types of development projects. To effectively present community development projects and advocate for their funding with the municipalities, COCODEs must be registered, present the supporting documentation, and build a relationship with the Municipal Development Council (COMUDE) and other municipal authorities. This requires training and coaching COCODE leaders on the process to solicit funds through the municipal funding mechanism and advocating for its inclusion in the municipal budgets, which is reported in the National System for Public Investment (SNIP). CLD will take the following actions to build sustainable community capacity to mobilize resources.

- Accompany and support capacity strengthening activities for community leaders in conjunction with the municipalities to create linkages and support the process to request funding through municipal financing.
- Offer technical assistance for resource mobilization using advocacy plans that are aligned with the annual municipal planning process and timeline.
- Support training in managing and processing project files to be included in the SNIP.

By the end of FY23, CLD expects that communities will have successfully secured government funding for the implementation of prioritized community development projects. Further details are shown in table 2 in section IV below.

B. Water service delivery and household assets

Support the technical, financial, and operational mechanisms to establish and maintain community water systems through Azure

CLD supports integrated water resource management using Azure. This involves establishing and supporting community and municipal offices for water system management, strengthening the capacities and linkages between community and municipal water committees, helping to develop water usage regulations, and involving microfinance institutions that can extend credit to communities in order to rehabilitate, expand or otherwise improve their community water systems.

Azure is a model that was developed by CRS/El Salvador and is being adapted to reach peri-urban and rural communities in the Western Highlands, leveraging CLD's robust WASH project pipeline to build capacity for water governance at the community level. Interventions using Azure will ensure basic water services are managed effectively for the long term, impacting the lives of people in under-served communities by mobilizing resources to expand and improve water and sanitation services and delivering technical and financial services for small-scale water service providers.

A key part of sustainable water services is the sustained capacities and linkages among community water and sanitation offices (OCAS), municipal water and sanitation offices (OMAS), and health inspectors from the Ministry of Health who support water commissions. This involves training water commissions at community and municipal levels, provision of a toolkit for maintenance and operation, and supporting the development of a community water regulation that stipulates the terms by which the system is managed, operated, and maintained. This integrated package of technical support includes support for household and community level water metering to measure water consumption, the development of water system regulations, and the establishment of the OCAS physical office space to manage community water systems.

Azure supports sustained community water systems through water service fees that recover costs at an affordable rate, which allows for the continual operation and maintenance of the system over time. It contributes to sustained capacities through training in administrative, financial, and legal aspects of water management. It also motivates other actors to offer financial services and technical assistance for community water and sanitation projects. CLD will take the following actions to implement this integrated model.

- Strengthen capacities of water commissions and COCODEs in the administration, operation, and maintenance of water systems, including the financial and legal aspects of water management.
- Train trainers in the OMAS who will then offer continual training to OCAS in the future.
- Offer technical support and accompaniment to community water commissions in the assessment, planning, implementation, supervision, and operation of the community water systems with practical guides and tools to support their work.
- Link OCAS to key actors: OMAS, MSPAS, other governmental actors, and NGOs.
- Support to the water commissions in planning to improve the provision of water services through feasibility studies and support to the water commissions in identifying resources for project implementation.

By the end of FY23, CLD expects that Azure will have supported communities to achieve high-quality water service delivery for the long-term. Gains in this regard will be measured by the high-level milestones outlined in table 2 of in section IV below.

Support sustained use and maintenance of energy-saving stoves

This strategy seeks to offer energy-saving stoves and support their continual use and maintenance. These wood-fired stoves require less wood and emit less smoke, therefore improving the household health as well. CLD supports the sustained resources and motivation for their continual use by partnering with Habitat for Humanity, who helped with the design and installation, and the municipalities. With the installation of the stoves, CLD offers household information on its continual maintenance. CLD will take the following actions to support these linkages.

- Involve communities in the installation of the stoves with contributions from households.
- Train households in the use and maintenance of the energy-saving stoves.
- Develop a manual with basic information on the benefits of this model and instructions on its installation, to be used as an advocacy tool to garner resources from additional sources for additional installation.

C. Income generation

CLD seeks to sustain communities' ability to generate income for dignified work. The actions contribute to the sustainability of income generation: agricultural value chains, rural business enterprise, financial mechanisms, and shared value initiatives with the private sector. CLD has identified four key strategies that will sustain the resources, capacities, motivations, and linkages necessary for communities to have sustained income generation. A description of each of these four strategies follows.

Link farmers and farmer groups in CLD communities to agricultural technical extension services by other actors

This strategy seeks to establish the linkages for sustained technical assistance to individual farmers and farmer groups/cooperatives, organized both informally and formally. Technical assistance providers may include governmental agencies, for example, municipalities, the Ministry of Agriculture (MAGA), the Institute for Agricultural Science and Technology (ICTA) and private and voluntary organizations, such as Anacafé, Popoyán, among others. CLD will take the following actions to support sustained agricultural technical services by external actors.

- Formalize the relationships between development cooperation agencies with local actors through signed agreements, MOUs, and letters affirming collaboration.
- Facilitate the active and ongoing participation of cooperatives and associations in working groups and other coordinating platforms.
- Strengthen the capacities of local actors to provide extension services (with new technologies, fundraising, building alliances, etc.).
- Coordinate with MAGA and municipalities to garner their support for continual provision of agricultural technical extension services.
- Link these actions and those of partner organizations with CRS' Water Smart Agriculture (WSA) platform.

By the end of FY23, CLD seeks to achieve key milestones measured by the commitments of external actors to support ongoing technical assistance. Further details are shown in table 2 of section IV below.

Strengthen MSME capacities with business development services

This strategy seeks to strengthen the operational, commercial, and administrative capacities of micro, small, and medium-sized enterprises (MSMEs) as part of an integrated package of support in business development services (BDS). MSMEs include farmers cooperatives, associations, registered businesses, and individual entrepreneurs. Support in BDS involves accompanying the MSMEs through a process to first assess needs and then develop a work plan to fulfill those needs. This most often involves strategic planning, financial projections, developing commercial strategies, among others. The provision of BDS supports MSMEs to establish more sophisticated market linkages, expand membership, and incorporate more producers in their supply chains over the long term. In alignment with the FY21 Annual Work Plan, CLD will take the following actions to support BDS for MSMEs.

- Identify MSMEs within the coverage area and among the prioritized value chains that have potential to contribute effectively to boost the local economy.
- Support MSMEs through a process to conduct a needs assessment and develop a work plan that responds to those needs through either direct assistance from CLD or alliances with other actors.
- Offer BDS through consultancies, alliances, and contracts with other actors such as Popoyán, MINECO, and others.
- Facilitate participation in a business acceleration program offered by Pomona AgTech.
- Explore fee-for-services and micro-franchise models as alternatives for income generation for vulnerable women and youth.
- Identify self-employment opportunities for youth and support their market viability in coordination with the Association for Youth Development (ADESJU).
- Organize entrepreneur competitions and award seed funding for winners.

Establish and expand profitable commercial linkages for MSMEs, farmers, and women's and youth groups

This strategy seeks to support the establishment of commercial linkages that remain in place beyond the end of the project. These can be categorized into three groups: 1) farmers participating in CLD interventions that receive technical assistance and can access new markets; 2) MSMEs that incorporate CLD farmers in their supply chains; and 3) MSMEs that establish long-term relationships with providers and buyers with support from CLD. CLD will take the following actions to support sustained and profitable market linkages for MSMEs and farmers.

- Support the launch of rural business enterprises (family-level poultry farms for egg production and/or micro-greenhouses for vegetable production).
- Organize and promote participation in business exchange visits, trade fairs, and similar commercial events.
- Provide seed capital to producer groups and MSMEs to increase their production and commercial capacity.

- Select 1,000 farmers from five prioritized value chains to participate in a process of technical support to strengthen commercial linkages.[5]
- Support the use of revolving funds as a technique to support small business enterprise with initial seed capital that is re-invested on an ongoing basis and managed by community groups.

By the end of FY23, CLD will take accumulated leverage reported by project-supported MSMEs, farmers, women's and youth groups as measured in sales as an indicator of the establishment and expansion of profitable market linkages, as shown in table 2 of section IV below.

Increase access to financial services, including loans and other financial products, for the agriculture sector.

This strategy seeks to establish linkages between financial service providers and local actors, strengthening the capacity for farmers and MSMEs to access credit. This involves linking MSMEs to opportunities through permanent financial services from the financial sector. CLD will take the following actions to support sustained access to financial services, including access to credit.

- Link MSMEs and participating farmers to the IDB-Green Climate Fund project.
- Support MSMEs to fulfill the requirements to be eligible for CRS' Isidro impact investment fund.
- Strengthen MSMEs so they have the knowledge, financial documentation, accounting processes, and other requirements to access loans through the BDS program.

By the end of FY23, CLD expects that MSMEs and agricultural producers will be linked with key financial service providers to receive impact investment funding and loans for agricultural production, as shown in table 2 of section IV below.

4. Milestones for Sustainability

CLD has identified the high-level sustainability milestones in table 2 below as key markers demonstrating strong conditions for sustainability for each of the three key outcomes.

Table 2. Sustainability milestones per key sustainability strategy

Milestones	Timeline	Status
Community-based resource mobilization		
The central government has adopted and is disseminating and promoting the methodology for using CDPs as a planning and investment tool	Sep 2022	Completed
50 communities secure government funding for the implementation of prioritized community development projects	Sep 2023	In process
Water service delivery and household assets		
CLD has supported the transfer of the Azure technical service provider role to one or more third party entities, facilitating the start-up of operations by the third party(ies) to achieve provision of high-quality Azure technical services over the long term	Sep 2023	Transferred to the new CRS Azure Unit

[5] *This activity has been completed as described on the Progress Section, Page 18*

A new loan product has been made available in the market responding to the financial needs of rural and peri-urban communities for ensuring sustainable water service delivery	Sep 2023	Transferred to the new CRS Azure Unit
45 Community water and sanitation offices (OCAS) have strengthened technical capacities as a result of the assistance provided by municipal water and sanitation offices (OMAS)	Sep 2023	In process
Income generation		
CLD has signed 10 agreements and/or MOUs with technical implementers and other entities, preparing for the provision of technical assistance and extension services to communities over the long term	Sep 2022	In process
$6 million USD in leverage reported by project supported MSMEs, farmers, women's and youth groups, as measured in sales	Sep 2022	Completed
CLD supports MSMEs to have access to the Isidro impact investment fund for credit provision over the long-term	Sep 2023	Adjusted, In process

5. CLD Monitoring, Evaluation, Accountability, and Learning (MEAL) system as a tool for underpinning sustainability

During FY18, the MEAL team conducted a qualitative learning study to identify the multiple understandings of the three key concepts within the CLD results framework: empowerment, quality of life, and sustainability. Ensuring a common understanding of these terms among communities, project implementers, and stakeholders is critical for ensuring long-term sustainability of CLD concepts and activities. A summary of findings related to the community understanding of sustainability is reported in section II above.

In FY20, CLD contracted the organization *Instituto de Progreso Social (IPS)* to document and propose project impact indicators as a proxy for indicators for the key objectives of the project: empowerment, quality of life, and sustainability. This proxy was based on the data from the 4,600 surveys conducted by CLD in 2018. These proxy results can be measured again at approximately three-year intervals to establish the degree of sustained impact the project has had on the participating communities.

On FY23 CLD will focus on conducting the final evaluation of the project, which will be aligned with the results framework of the project and the sustained impact according to the current sustainability plan.

6. Potential challenges/difficulties for sustainability

CLD has anticipated the following potential challenges or difficulties in implementing the actions and strategies described above to achieve sustainability of the key CLD outcomes. These are listed in the following table with a description of how CLD will address these challenges with prevention and/or mitigation measures.

Table 3. Potential challenges for sustainability and CLD response

Challenges / Difficulties	CLD response: prevention & mitigation measures
Municipalities may lack interest or political will to support the financing of community development projects	• Invest resources in supporting the linkages and relationship building between community leaders and municipalities to hold municipalities accountable for their commitments to education, water, infrastructure, and economic development. • Include influence strategies with central government authorities who can place political pressure on municipalities to respond (ex: Vice Minister of Water, Comisión Presindencial de Asuntos Municipales - COPRESAM). • Identify potential donors and entities that can offer financial resources—European Union, Government of the Netherlands, National Institute for Municipal Development (INFOM), International Bank for Reconstruction and Development—for community development projects and advocate and/or solicit funds. • Advocate for SEGEPLAN's adoption and promotion of the CLD community planning methodology, which would motivate its use by municipalities to support development projects.
New COCODE leaders may lack interest or active participation in promoting community development projects	• Support COCODE training for new members and accompany turn-over to new members. • Strengthen COCODE advocacy skills so they can more effectively influence municipal leaders. • Increase community members' awareness about the roles and responsibilities of their COCODE members for their support in leadership transitions.
Lack of resources available may make it difficult to scale-up the process to design and develop CDPs in an inclusive and representative manner as conducted in CLD	• Develop a methodology that is more flexible and practical for the construction of CDPs that can be institutionalized within SEGEPLAN. • Train officials in SEGEPLAN and others interested in adopting this methodology.
Communities may reject a water system model that requires payment for the service	Promote a shift in understanding about water services and greater value for sustainable water service delivery which includes recovering costs for properly administrating, operating, and maintaining the system and saving for future repair needs. This may involve: • Exchanges between communities to share experiences • A learning focus on the factors that are most influential in this social change process and building those into action planning • Communication on the calculation of the costs of water service and increase understanding of real costs for water service alternatives (purchasing water or water collection from other sources)

COVID-19: risk of contagion, uncertainty and doubt related to COVID-19 fears, regulations that limit transportation and in-person activities to prevention transmission, and development backsliding as a result that shifts development priorities.	• Conduct individualized trainings and rely on virtual platforms to the extent possible. • Implement protocols that reduce risk of infection and allow for community organization. • Support vaccination campaigns. • Seek community support in COVID-19 responses using the CLD platform. • Participate in discussions on COVID-19 response actions and investment analysis. • Develop action plans for post-COVID-19 response. • Advocate for municipal support in a post-COVID-19 environment. • Identify and address evolving priorities as a result of COVID-19.
Governmental institutions that provide technical assistance and extension services do not have the resources to continue offering support	• Promote technologies the reduce the cost to deliver services. • Use co-investment models where technical assistance is a win-win for all actors involved. • Promote fee-for-service models by private service providers.
Changes in government authorities	• Communicate project activities and achievements to incoming authorities. • Include a process to communicate advances in community development projects in the transition agenda. • Empower community leaders with advocacy skills to influence new authorities.

7. Progress to date

CLD has made important advances implementing the strategies described above that propel sustainability. These are described below for each of the key outcomes to be sustained.

A. Community-based resource mobilization

To date, in 203 communities CLD has trained 1,553 COCODE leaders in inclusive, participatory community development planning while supporting their development of CDPs. The full process to conduct diagnostic assessments, analyze data, and prepare CDPs based on prioritized community needs involved 27,652 community members (38% women). Part of the training included the development of tools and guides in community development planning and presenting proposals to the municipality as stipulated by law. CLD has also supported the development of advocacy plans in 50 communities that set a route for how communities can mobilize resources to implement prioritized projects as defined in their CDPs. CLD has supported the implementation of 558 community development projects; 48 of which the communities were able to identify funding sources using the CDPs and advocacy plans as tools. The cumulative value of total community leverage contributions as of the third quarter of FY22 is $3,204,577 USD and municipal leverage for projects is $9,708,535 USD. This demonstrates community initiative and capacity to obtain resources for community development projects using the knowledge and skills learned without direct CLD intervention.

CLD has also achieved that SEGEPLAN and ANAM receive and adapt the methodology and tools related to the CDP, having jointly defined a process and working on the institutionalization of the community planning methodology and tools in their current development planning processes. To date, CLD has registered the implementation of a total of 13 projects in 10 communities, with government funds through the management of SNIP codes with an amount of $ 1,351,338.

B. Water service delivery and household assets

CLD has made several advances to support sustained water service delivery and household assets for participating communities. Advances in water service delivery include the following.

- Capacity strengthening of 34 community water commissions and COCODEs in the operation, administration, and maintenance of water systems; 10 of these communities have completed the training process and received the full Azure training curriculum (including training on the financial, accounting, administrative, and legal aspects of Azure).
- Feasibility studies with full technical designs have been completed in 24 communities, for the rehabilitation of their water systems, 4 pending reporting in the last quarter of FY22.
- 12 community water systems rehabilitation projects finalized, in process 2 water systems that will be reported in FY23 (1 system under construction and 1 in tender)
- Established linkages between 8 Municipal Water and Sanitation Offices (OMAS) and the Community Offices for Water and Sanitation (OCAS) in their territories.
- Analysis and preparation for the implementation of the loan component of Azure in process.

Advances in household assets:

- The design of an energy-saving stove adapted to sociocultural and environmental conditions with involvement of the communities in the design.
- During the first phase, 1,004 energy-saving stoves were installed in homes in 27 communities, the second phase was completed, and 1,470 additional families were supported with improved stoves, the third phase is about to be reported in FY22, which will benefit 537 families.
- Signed alliance with Habitat for Humanity Guatemala as the technical implementer of the energy-saving stoves intervention and to provide household improvements (water filters, latrines, flooring, etc.) in the form of leverage contributions.
- The project gained the support of Habitat as a technical implementer to distribute water filters to 1,865 homes.
- A validated design for rainwater harvesting systems developed and in the process of construction of 503 water harvesting systems in 10 communities.

C. Income generation

Advances made toward strategies that propel sustained income generation include the following:

- Technical assistance in production and market linkages to over 1,430 farmers in 72 communities through established agreements between CLD and implementing partners for value chains in potato (FENAPAPA), coffee (Neumann Foundation), macadamia (Alianza, S. A.), honey (Cooperativa

Copichajulense R.L. and Cooperativa Santa María R.L.), and hibiscus (ICTA and the Foundation for Integrated Development of Guatemala—FUNDIT).

- Establishment of a technical coordination table for the potato value chain the departments of Quetzaltenango and San Marcos. With active participation of FENAPAPA, CRS, ICTA, MAGA, Caritas, Agrequima and others, this space serves as a platform to better integrate actions and investments in the potato value chain.
- Close collaboration with municipal MAGA offices and PROSA to link extension agents to rural business enterprises so they can continue to provide technical assistance. In addition, equipping three municipal MAGA extension offices with the provision of office furniture and computer equipment.
- A total of $6,237,558 in cumulative agricultural sales resulting from CLD investments at the community level and in MSMEs.
- Structuring the Isidro fund to support impact investment for MSMEs involved in the CLD Project, which resulted in three MSME receiving a $ 605,407 loan from the fund. Two other MSMEs are currently in process with the Isidro Fund to receive an estimate total of $150,000 by the end of 2023.
- IDB Lab approval of a fund to support agricultural financing for producers interested in adopting climate smart agricultural practices. The project will be implemented by MICOOPE and CRS, using producers' networks from CLD and other projects. The fund offers $4.4 million for agricultural financing and will target 5,000 producers from Huehuetenango, San Marcos y Quetzaltenango. CLD began the process of linking small and medium enterprises and local organizations to this initiative so they can have access to climate smart practices which will allow them to increase their ability to access financing.
- The total of leveraged resources from CLD in terms of credit for investment in agriculture is $5,797,073 USD.
- A total of 21 MSMEs currently being supported by CLD with the provision of 558 BDS in FY22 in different areas such as strategic planning, commercial linkages, organizational strengthening, branding, among others
- Advances in the support for small-scale livestock and vegetable farmers through rural business enterprise: 72 completed, 23 in process in FY22, focusing on market linkages and producer organization, resulting in $561,597 in sales to local markets, schools, bakeries and other regional buyers.

8. Key project activities aligned to this sustainability plan for FY23

During FY23 CLD is undertaking the following activities that are fundamental to the sustainability of the project. More detail is available in the FY23 Annual Work Plan and attachments.

- Develop advocacy plans that offer a route for community leadership to mobilize resources for community development projects.
- Register projects within the SNIP system to be eligible for municipal funding.

- Validate and update the priorities in the CDPs and action plans based on updated community development needs in the current context.
- Follow up the use of the CDPs methodology with SEGEPLAN, and other interested actors.
- Strengthen the OMAS and the health inspectors from the Ministry of Health (ISAS) through training and tools to support their water quality monitoring.
- Development of community water regulations to manage and operate community water services.
- New strategies to link medium-sized businesses using a shared-value business model.
- Establish linkages among the Community Water Commissions, COCODES, OMAS, and the Ministry of Health.
- Establish and equip office spaces for the Community Water Commissions and OCAS, to support water system administration.
- Strengthen the water commissions and COCODES in technical, administrative, financial, and legal aspects of water systems management under Azure.

9. Annexes

Annex I: Cooperative Agreement Guidelines for CLD Sustainability Plan

Sustainability Plan: The Recipient will seek to maximize the sustainability of project results at the community and municipal levels, demonstrating how project inputs and activities will contribute to impacts that will continue beyond the life of USAID funding. The Sustainability Plan will identify barriers to sustainability and how the Recipient will address such obstacles. The Recipient will also include an analysis of the political, economic, and social contexts at the local, municipal, and national levels and any institutional capacity building that will be done to improve systems and processes, organizational attitudes/cultures, incentives, measurement of outcomes and impacts, institutional reforms, and coalition building.

All Annual Work Plans must include Update to the Sustainability Plan that summarizes plans for the year to address barriers and maximize sustainability of project results at the community and municipal levels. The workplan must also include any changes to the long-term sustainability plan, based on lessons learned, identified risks, and the project's adaptive ability. This update can be added as an annex to the original Sustainability Plan each year.

Communities Leading Development

Gender Integration Plan

Cooperative Agreement No. AID-520-A-16-00005

Recipient: Catholic Relief Services (CRS)

Start Date: 21 September 2016

Completion Date: 20 September 2023

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Table of Contents

Table of Contents I

List of Acronyms 2

1. Introduction 4

2. Background – CLD Project 5

3. Results Framework 6

4. Objectives of the Gender Integration Plan 6

   General Objective: 6

   Specific Objectives 6

5. Intervention Strategies 7

   Inclusion of the gender perspective in all activities undertaken by CLD 7

   Advocacy meetings to mainstream gender in institutional agendas 7

   Awareness-raising workshops 7

6. Achievements to Date 9

   Activities Planned for FY23 11

7. Referenced Cited 13

8. Annexes 14

   Annex 1: International and national political and regulatory framework 14

   Annex 2: Key concepts 15

   Annex 3: Training modules 16

List of Acronyms

ADIPO	Association for the Integral Development of the Western Highlands
CDP	Community Development Plan
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CGA	Cross-cutting the Gender Approach
CLD	Communities Leading Development Project
COCODE	Community Development Council
CRS	Catholic Relief Services
DEMI	Indigenous Women's Defense Agency
DMM	Municipal Directorates for Women's Issues
ENCOVI	National Survey on Living Conditions
EOP	Equal Opportunity Plan
ERCA	Experience, Reflection, Content and Application
FNS	Food and Nutrition Security
GAM	*Grupo de Apoyo de Mujeres* (Women's Self-Help Groups)
INE	National Statistics Institute
LGBTI	Lesbian, Gay, Bisexual, Transgender and Intersex
MDO	Millennium Development Objectives
MEAL	Monitoring, Evaluation, Learning and Accountability
NGO	Non-Governmental Organization
OAS	Organization of American States
PNPDIM	Policy of Promoting the Integral Development of Women
PSP	Private Service Provider
SDO	Sustainable Development Objectives

SEGAMIL	Food and Nutritional Security within One Thousand Days Project
SEPREM	Presidential Secretariat for Women
SILC	Savings and Internal Lending Communities
UN	United Nations
WH	Western Highlands
Y1/Y2/Y3/Y4/Y5/Y6	Year One/Two/Three/Four/Five of project implementation

1. Introduction

Gender inequity is a cross-cutting issue affecting Guatemala's development. Barriers to women's participation in decision-making exist in the home, in the community, in local and national politics, and are fundamental aspects of gender inequity, although not the only ones. Other groups in the general population, such as lesbian, gay, bisexual, transgender, and intersex (LGBTI) persons, are also excluded due to prejudices related to gender. CLD, by means of this Gender Integration Plan, works to overcome some of these barriers, focusing on increasing gender equity in the community by promoting greater involvement of excluded populations in the design and implementation of community development projects as prioritized in 203 Community Development Plans (CDPs).

The empowerment strategies embedded in the design of the CLD project aim to mobilize women's networks to become active participants in all project activities, focusing on issues relating to women and their roles within the family, helping to create better conditions that enable them to participate in decision-making that affects their communities, while also fostering the development of women's skills and talents.

Inclusive participation of LGBTI persons in project activities is important for CLD to ensure that all community members have a voice in and benefit from the development of their communities. However, LGBTI persons are highly vulnerable to violence and discrimination throughout Guatemala.[1] In the initial community surveys conducted for CLD, the project did not encounter any openly identifying LGBTI individuals or organizations in the targeted rural communities. While in its selection of project participants and the provision of project services, CRS stands by its core principle of human dignity and does not discriminate based on creed, race, nationality, political affiliation, gender or sexual identity, CRS also applies the principle of *do no harm* to ensure the confidentiality of project participants' personal information including confidentiality of health status and other aspects of their personal life that may expose participants to harm or violence. Thus, given the local rural context in Guatemala, CRS implements the following activities for all community members that would support the inclusion of LGBTI, without asking participants to identify themselves as LGBTI and expose themselves to possible violence and discrimination:

- Build local skills in conflict sensitivity and buy-in for the inclusion of marginalized groups in community-led development activities.
- Competency strengthening activities that build individual competencies such as self-esteem, empowerment and gender equity sensitivity, to enable particularly marginalized groups to fully participate in participatory community planning.
- The *Dignified Families* methodology, that addresses violence, tolerance and joint decision making at the household level between men, women, boys and girls. This methodology is based on building resiliency and creating safe spaces within families and communities by improving communication, cultivating empathy, and identifying barriers to civic participation and social inclusion. When this methodology was implemented during project phase I, CLD developed the relationships at the community level to discuss and address inclusion of LGBTI populations.

This approach is derived from CRS' Global Gender Strategy and is consistent with Guatemala's National Policy for the Promotion and Integral Development of Women.[2] In addition, lessons learned from the USAID-funded

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[1] *Fundación Myrna Mack, et al, Discriminación por orientación sexual e identidad de género y una aproximación a la interseccionalidad con otras formas de discriminación en Guatemala, Nov 4, 2012, pg. 11-12.*

[2] *Please see the current national ten—year strategy at http://extwprlegs1.fao.org/docs/pdf/gua148234.pdf*

Food and Nutritional Security for the First Thousand Days (SEGAMIL) program, which was implemented by CRS in Guatemala, on gender mainstreaming were applied, as well as USAID's Multi-sectoral Gender Analysis for Guatemala. These core concepts are embodied in project activities, results and objectives and contribute to gender equity goals, including the empowerment of women participating in the project and inclusive community development.

Specifically, the CRS Global Gender Strategy calls for gender integration in four core elements of programming: 1) organizational culture and systems; 2) knowledge, skills, and attitudes; 3) M&E and accountability; and 4) a gender learning community. This plan includes actions that correspond to these core elements: 1) encourage project staff to be gender advocates for women's equity and empowerment; 2) build skills of CLD staff at all levels in gender sensitivity; 3) a CLD MEAL system that supports the transformational potential of gender and monitors against harm and risk; and 4) incorporate gender analysis and discussion of gendered implication in the design and rollout of community development projects. The plan aligns with the following key issues addressed in Guatemala's National Policy for the Promotion and Development of Women: economic and productive development of women, eradication of violence against women, racism and discrimination against women, and equality and identity in cultural development. Also, the plan is consistent with the following operational principles in the USAID Policy on Gender Equality and Women's Empowerment: an inclusive approach to foster equality and build partnerships across a wide range of stakeholders.

For its development, the CLD team reviewed the legal framework in Guatemala that protects and supports gender equality. These include international agreements ratified by the government and public policies and laws passed that support these international agreements. CLD has also coordinated with the Presidential Secretariat for Women (SEPREM); the Indigenous Women Defense Agency (DEMI), and the Municipal Women's Offices (DMM).

2. Background – CLD Project

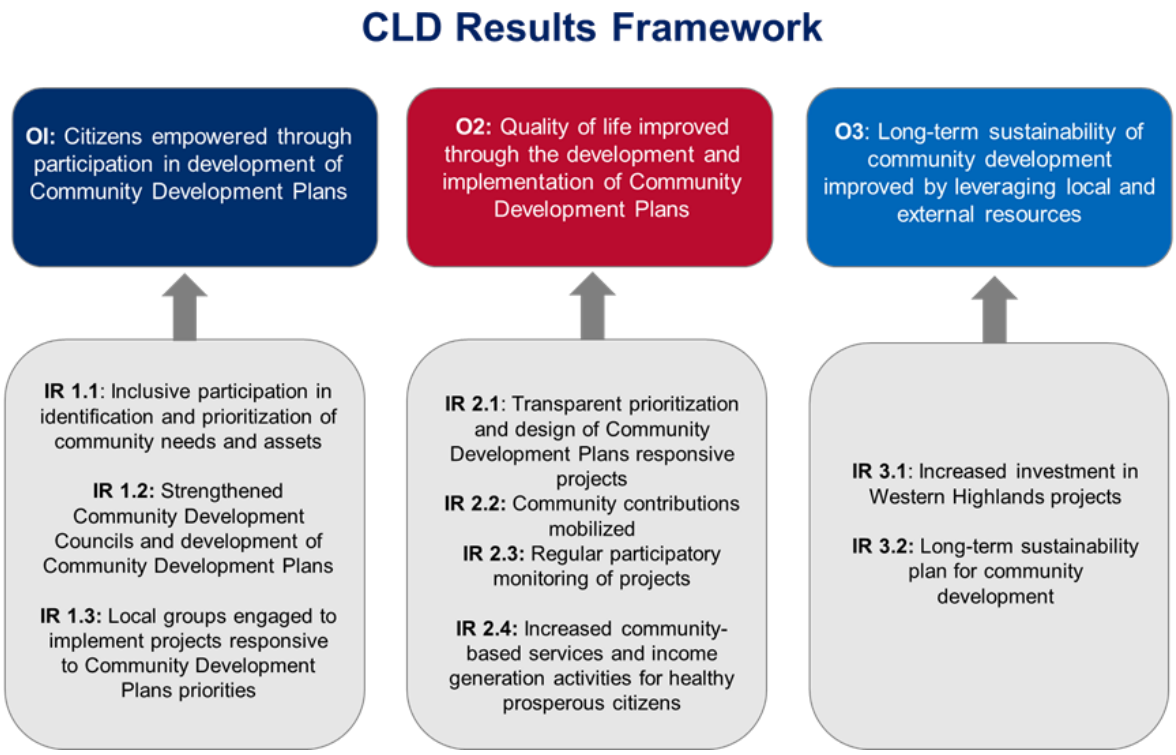
Catholic Relief Services (CRS), in consortium with Caritas San Marcos and Caritas Los Altos and in partnership with a portfolio of technical implementers, carry out the Communities Leading Development (CLD) project covering 30 municipalities of five departments of the Western Highlands (WH) of Guatemala. The project´s strategy is to work with existing community assets, with a special focus on building social capital through a clear and transparent process that involves all stakeholders, including the most vulnerable and marginalized groups: young people, women, indigenous people, and people with disabilities.

Based on a conceptual framework that builds self-confidence, empowerment, and social capital in the communities, CLD aims to improve quality of life in more than 200 communities, in 30 municipalities in the departments of Huehuetenango, El Quiché, Quetzaltenango, San Marcos and Totonicapán. Building social capital refers to the ease with which community members act in a collective and participatory manner and make decisions related to the community´s well-being by means of planning and prioritizing community development efforts. In FY21, the CLD project entered a phase focused on sustainability and the prioritization of high-impact projects and those with most potential for continuation beyond the timeframe of CLD. In FY22, CLD continued this focus and extended these high-impact and sustainable interventions to more areas. For example, the practice of supporting communities to mobilize resources and the household income generation projects will be extended to more communities to increase the impact on quality of life for these families, with specific emphasis on women and girls. For FY23, CLD has designed a sustainability phase focused on sustaining key project results and close-out, guaranteeing the participation of men and women in these events.

Recognizing that gender relations in the WH often displace women from decision-making positions, CLD has prepared this Gender Integration Plan to ensure that project activities contribute to improve gender equity to increase women's political and civic participation at the community level.

3. Results Framework

Gender equity is critical for achieving CLD's three objectives and intermediate results, including empowerment, quality of life and sustainability.



4. Objectives of the Gender Integration Plan

General Objective:

To strengthen gender equity and ensure that women, men and LGBTI populations have equitable opportunities to participate, have access to, and benefit from the outcomes of the project.

Specific Objectives

1. Promote adequate and equitable participation by women, men, and LGBTI persons in every project activity.
2. Ensure that women and LGBTI persons participate in the decision-making process of all project activities.
3. Ensure that communities' prioritized projects take into account the needs of women, men, boys, girls and LGBTI persons.
4. Support the work done by women and LGBTI groups to gain access to funding for their project initiatives.
5. Ensure work agendas of potential CLD partners and allies, including civil society, public and private institutions and sub-contractors consider gender aspects.

6. Carry out ongoing measurement of actions that support gender equity actions and to share the lessons learned from interventions.

5. Intervention Strategies

The development of this Gender Integration Plan has been a collective effort by the members of the CLD consortium, who contributed their knowledge and experience of many years of work in community development. The project analyzes the context to adapt interventions to the situation of the different communities and update the team on gender topics. Based on the premise that the Gender Integration Plan is not to be isolated or separate from the project's work plan, these actions are directly linked to achievement of CLD's objectives and core CLD activities, such as community planning for the design and management of community development projects. In addition, this Plan aligns with the CLD Project Sustainability Plan and the project strategies to identify new alliances for leverage.

The overarching Gender Integration Plan intervention strategies are described below:

1. Capacity building of CLD staff and technical implementors to mainstream a gender lens in the design and implementation of all project activities. As a result, partners and technical implementers review their agendas and institutional plans to address gender issues more effectively.
2. Strengthening individual and collective self-esteem and gender awareness at the community level, while identifying opportunities for female participation and inclusion in community leadership.
3. Promote gender transformation through the design and management of community development projects that increase the participation of women in community leadership and participation in project execution.
4. Measuring efforts to promote gender integration on an ongoing basis to share lessons learned from interventions, create instruments to ensure the participation of women, men and LGBTI populations, to support women- and/or LGBTI-led projects as well as their political participation.

Inclusion of the gender perspective in all activities undertaken by CLD

CLD plans, strategies, manuals, training materials and accompanying activities were reviewed and adapted with support of a Gender Specialist and the Community Empowerment Manager with the aim of ensuring that the criteria for inclusion and equitable participation of men, women and LGBTI persons is considered and reflected in all project documents and implementation activities. CLD no longer hires this position, as gender integration is the responsibility of all CLD staff. However, the project manager in Community-based resource mobilization supports efforts to ensure interventions are contextualized and gender-sensitive.

Advocacy meetings to mainstream gender in institutional agendas

Project management works with CLD consortium staff to develop gender equity strategies internally and with stakeholders. With support from CRS during the first two years of the project, Caritas San Marcos and former consortium partner ADIPO developed and implemented their own Gender Policy and Caritas Los Altos has designed and implemented actions with a gender focus. In addition, CLD supports the micro and small enterprises (MSMEs) that participate in the project to develop and implement gender policies (FY21).

Awareness-raising workshops

The following concepts were addressed in awareness-raising workshops for CLD staff during the first couple years of the project. During consecutive years. CLD promoted these topics in meetings and trainings with partners throughout implementation.

- **Identification of community leaders:** To identify men and women in the communities and beyond, who serve as positive role models for gender equity.
- **Integral Human Development (IHD)**: a concept that visualizes a future in which "all people can have a full and productive life, in which all physical needs are met in a sustainable way. People live with dignity in an environment of peace and social justice. IHD promotes the good in each person and the whole person and requires that we address poverty in the context of human condition as a whole."[3]
- **Cultural relevance and Mayan cosmovision:** Mayan cosmovision interprets gender relations between men and women as a dimension of complementarity—that both men and women's contributions to family and community complement each other and are equally valuable. The CLD approach incorporates this perspective to ensure that community perceptions are factored into its gender efforts. For example, understanding of community perceptions of gendered roles in daily life was used as a starting point to implement the *Dignified Families* modules to analyze gendered roles and responsibilities at the family level, when this methodology was used.
- **Prior knowledge:** Recognizing that all human beings from birth accumulate experiences, knowledge and lessons learned, CLD must take into account this prior knowledge and work to adopt positive practices regarding gender, respecting the perceived situation of gender equity or inequity. This is particularly important when considering the specific perspectives of LGBTI persons and/or Mayan communities.
- **Principle of dialogue:** The workshops are carried out through sessions for dialogue that involve moments of analysis and reflection. These methods were used to raise the awareness of the CLD team and initiate a process of behavioral change around gender roles, breaking stereotypes, and paradigms regarding how gender is lived and practiced by starting with personal experience (e.g., in the family, with friends, at work and with partners). In addition, the principle of dialogue was applied through the Women's Self-Help Groups (GAM) methodology used to increase self-esteem and feeling of self-worth, which motivated women to make decisions to improve their lives and their future.
- **Compassion and love of neighbor:** This is both a principle and an attitude because it is the way to have empathy with others. Along with the peace and solidarity derived from this empathy, this concept also supports gender mainstreaming actions to become a more balancing element among men, women, boys and girls. The project team seeks to promote this institutional value with all stakeholders, including the communities themselves.
- **The learning method used in the workshops is based on adult education concepts:**[4] CLD works with adults with low levels of formal schooling, who speak different languages, and may have a different life vision. For the rural communities that the project targets, it is important to apply adult education techniques, including the Experience, Reflection, Contents and Application (ERCA) methodology, based on the practice and experience of the participants themselves, with a clear vision that their learning process are more profound when they see how the learning serves them in their daily life.[5]
- **Vision of sustainability and gender inclusion in close-out activities with communities and municipalities**: For FY23, CLD will focus efforts on consolidating and sustaining key project elements by phasing over actions to other actors present in the intervention areas, as well as planning close-out events

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[3] *CRS' global gender strategy.*

[4] *The training modules are described in Annex 3 of this document.*

[5] *ERCA, starts with the **Experience** of the participants, calls for **Reflection** on the problems that they experience in their daily life, presents the new learning **Contents** and then seeks a commitment for their **Application** in the community.*

with a focus on participation and inclusion of women and young people who participated in the project to encourage them to continue applying good practices and identify resources that promote a better quality of life.

6. Achievements to Date

A **sample of notable achievements** towards the implementation of the Gender Integration Plan during all project years include the following:

- A Training of Trainers was carried out on the *New Masculinities* methodology with male project staff to allow participants to discuss topics related to masculinity and gender equity and equality, particularly the characteristics and consequences of traditional masculinity. As a result of discussions and analysis carried out in the training, the participants identified the need for change among men as a determining factor in order to achieve greater equality among men and women. CLD seeks to replicate specific aspects of this training among Technical Advisors in the local teams. The participants then offered replication trainings to technical staff for key topics addressed.
- Two CLD project staff members participated in the Training of Trainers for the Women's Self-Help Group methodology (GAM) successfully implemented by CRS/Bolivia with female victims of domestic violence to promote individual healing through collective processes and building problem-solving and resiliency skills. CLD designed a pilot intervention for the GAM methodology in communities with high rates of domestic violence that also identified needing support for domestic violence issues in their CDP. CLD replicated the Training of Trainers with ten CLD staff, 10 change agents, and two representatives from the DMM to offer accompaniment to women's groups in the communities with high rates of violence and CDPs that prioritize a response to domestic violence. The representatives from the DMM helped to facilitate these sessions in their municipalities. In total 127 women participated in seven GAM groups and 17 women were trained as community leaders.
- The DMMs from two CLD municipalities (Cuilco and Concepción Chiquirichapa) signed letters of collaboration committing their support for the implementation of the pilot GAM groups in CLD communities.
- CLD field staff received training on Module 1 and 2 of the gender integration training program (see full description in Annex 3: Training Modules).
- The household surveys conducted in each community to provide information for the community diagnostics revealed important information contextualized to each area about gender roles and functions. This information was used in several ways, for example, as a basis for dialogue about gendered roles and responsibilities within the home when the *Dignified Families* sessions were implemented and through reflection with the local teams and community leaders.
- With each local implementing partner, project staff developed contextualized work strategies at the municipal level in order to identify vulnerable groups and strategies to achieve their participation.
- With each local implementing partner, project staff carried out analysis of participation and democracy in the community (who participates and how, what limitations exist, what are the causes). This activity led to the creation of leadership and power maps that have served for the capacity building of the Technical Advisors tasked with supporting the communities to carry out inclusive participatory planning processes.
- CLD continued to promote youth and women's participation and leadership in COCODEs and community commissions, strengthening their skills in leadership and civic participation. According to participation indicators as of September 2019, 16.4% of COCODE and community commission

members were women and 9.4% of key positions in COCODEs and community commissions were held by women.

- CLD finalized 203 Community Development Plans (CDPs) that contain the perspective of the situation and the condition of women in the community. This was ensured by the robust methodology utilized to organize the process as well as the quantitative and qualitative information used as the basis for its development. These CDPs have been approved in community assemblies with participation of men, women, and youth and include interventions that specifically address the needs of a diverse population. For example, many CDPs include technical training for youth.
- During Y2, CLD successfully launched the *Dignified Families* and Savings and Lending Communities (SILC) methodologies, and through them promoting the participation and inclusion of vulnerable groups and the strengthening of the social fabric at the community level. For many of the women participants, these spaces represent the first time they have been empowered to discuss important topics like communication within the family or building trust among community members, resulting in greater financial inclusion. By the end of Y3, the project attended 39 *Dignified Families* groups and 81 SILC groups within the CLD coverage area, reaching 1,244 people, 70.8% women. Of the total participants, 462 were youth and 76% of these youth were young women.
- CLD contracted a qualitative learning study which allowed for the understanding of key concepts such as empowerment, quality of life and sustainability from the perspective of the participating communities. The results of the study allow for in-depth understanding of how men and women understand these concepts differently and how both perspectives are critical. Project staff have taken steps to summarize the key takeaways from this study and socialize them amongst staff at different levels and other key stakeholders.
- CLD integrates gender analysis into intervention strategies and planning discussions with teams. The project relies on the use of a "gender domain matrix" to analyze different domains for gender integration into project programming. One of these domains is "cultural beliefs and knowledge", which is discussed at length in partner meetings in terms of how this affects men's and women's participation. Another method CLD used to integrate a gender analysis is through PHAST-SARAR[6] methodology to reflect on the perspectives, conditions, and needs of men and women in the intervention strategies related to water, sanitation and hygiene.
- During the COVID-19 pandemic, CLD conducted three key actions to further understand the gender dynamics through this time: 1) facilitated an online forum with the participation of several organization about the impact of COVID-19 on women, 2) hosted a webinar about the GAM methodology as a way to respond to the growing rates of violence against women during COVID-19, 3) developed a virtual course for institutions that expressed interest in being trained on the GAM methodology. This included the participation of governmental organizations, municipalities, and civil society organizations.
- Promotional and educational materials developed for the CLD project use inclusive images and language.
- CLD developed the Terms of Reference for a LGBTI study; however, as part of the FY 2020 contingency planning the project decided to rely on the results of an LGBTI study conducted by the *Convivimos* project to discuss implications for project programming.
- 1,742 women have implemented livestock and vegetable production projects for the promotion of rural business enterprise and grain silo projects to support household income.

[6] *Participatory Hygiene and Sanitation Transformation* / Self-esteem, Associative strengths, Resourcefulness, Action-planning and Responsibility

- Eight water system rehabilitation projects that benefitted 2,550 women and their families increased access to safe water in their homes and reduced the time required to carry water into the homes, a task often assigned to women and girls.
- Improved stoves installed in 1,004 homes that improve household health, especially for women who cooked over open-fires or stoves without proper smoke emissions.
- Over the course of the project, CLD has acquired important lessons learned about gender inclusion, which have been shared with other organizations, partners, and CRS projects nationally and internationally.
- Two MSMEs—a coffee cooperative and a macadamia cooperative—that participate in the project developed gender policies with accompanying implementation plans. CLD plans to support five additional MSMEs through this process.
- Two organizations supported by the Business Services Development program led by women—COPESQUI and ADIESTO—strengthened their capacities in organizational and commercial administration.
- 115 young women participated in the *"Learn and Launch"* methodology and received tools to support their small businesses.
- Over 70% of the participants in the project component to support household income are women.
- CLD developed three recipe books to promote the preparation of potato, eggs, and garbanzo in the households with key messages about complementary feeding practices.
- In FY22, of the project, CLD reached more than 784 women with access to economic and productive activities, leading women who promoted the management of community projects, reaching 23 project profiles with co-financing and 42 projects with SNIP codes.
- Of 302 young people trained in entrepreneurship in the year 2022, 201 were young women, of whom 57 out of 83 received seed capital to start their own business.
- Also, during FY22, four water systems were rehabilitated, reaching 245 beneficiaries, of which 1,318 were women who will improve their quality of life by having household water.
- As part of the healthy homes, 1,401 improved stoves and 7 rainwater harvesting projects were built in 7 communities, reaching 284 families.
- As of August 2022, CLD registered that a total of 222 women occupy key leadership positions in their communities.

Activities Planned for FY23

The following chart highlights the activities extracted from the *CLD 3 Implementation Plan* that correspond to the Gender Integration Plan.

Project Component	FY23 Targets	Relation to Gender Integration	Timeline
Training for community organizations on the management of their water systems, including female leaders.	15 coverage communities	• Within the training to the use of the water system, sensitization on the integration of women in decision-making on the use of the water system.	Until March 2023

Water systems	2 rehabilitated water systems.	• Rehabilitate 2 water systems, which will be significant contributions in improving the quality of life of women in the home, since oftentimes women are the ones who invest the most efforts in collecting and using water. • Negotiation meetings, agreements, and accountability. • Reach 1,375 people who have access to water at home.	Until March 2023
Community leaders mobilize resources for projects based on their CDPs.	30 communities mobilize resources with local actors, including municipalities	• Implementation of the Community Advocacy Plans through resource mobilization for 30 project profiles, taking as a high priority those that address the needs of women, children and youth. • Resource mobilization for 13 communities with projects that have SNIP codes • The needs of women are emphasized in the management of the projects.	Until March 2023
Youth entrepreneurship initiatives	25 out of 50 youth enterprises are run by women.	• Training for youth on entrepreneurship, especially the participation of women will be encouraged. • Development of business plans and allocation of seed capital to start their businesses, especially for women entrepreneurs.	Until March 2023
Rural businesses implemented	80% of the 100 rural businesses implemented are for women.	• Organization of families that access greenhouses. • Construction of greenhouses and use. • The selection of women heads of household will be intentionally included to have access to these projects.	Until March 2023
Wood-saving stoves and water purifiers delivered to 4 communities	305 stoves for 305 homes	• Organization of participants • Installation of improved stoves • Delivery of water purifiers • Two key elements to improve life at home, especially for women and children	Until March 2023
Exit actions and community closure	89 community events and 22 municipal events	• Implementation of exit plan • Involvement, participation and inclusion of women leaders, young people and key contacts • The exit and closing activities will include sharing success stories and lessons learned about the involvement of women and the significant changes in their lives.	April and May, 2023

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8. Annexes

Annex 1: International and national political and regulatory framework

The following are references to international instruments that recognize the need for political participation by women.

Convention on the Elimination of All Forms of Discrimination against Women, CEDAW. Adopted in 1979, it came into force in 1981. As an important precedent for the promotion of gender equality, it enshrines the commitment of States in the pursuit of equality between the sexes. CEDAW is relevant because it is the first binding international instrument, aimed at eradicating gender discrimination; it constitutes the background that has been taken up by the Summits that succeeded it. CEDAW encourages countries to generate data and statistics by sex and encourages the development of gender analysis.

Millennium Declaration. 2000. Heads of State meeting at United Nations Headquarters held the Millennium Summit. They recognized that in addition to the responsibility of governments and their respective societies, it is their collective responsibility to respect and uphold the principles of human dignity, equality and equity at the global level. They adopted eight Development Goals (MDGs) that include targets and indicators to achieve development and poverty eradication by 2015. After hard work, UN member states, together with NGOs and citizens around the world, produced the proposal of 17 Sustainable Development Objectives (SDOO) with goals to 2030, where gender equality is the fifth objective. This new development agenda was officially discussed at the Sustainable Development Summit held in September 2015, as a central event of the UN General Assembly in New York, where 193 world leaders committed to meet these 17 goals to achieve extraordinary progress in the next 15 years.

Universal Declaration of Human Rights. UN 1948. Article 2. Everyone has all the rights and freedoms set forth in this Declaration, without distinction as to race, color, sex, language, religion, political or other opinion, national or social origin, birth or other status.

First World Conference on Women "Equality, Development and Peace", Mexico 1975. Participating Governments recognized inequalities between men and women and declared the United Nations Decade for Women. During this period, progress was made on legal, conceptual and methodological issues to address women's rights, as well as to strengthen the premise of gender equality as a prerequisite for development.

Inter-American Convention on the Prevention, Punishment, and Eradication of Violence against Women. June 1994, during the regular session of the General Assembly of the OAS; it condemns all forms of violence against women perpetrated by the State, at home or in the labor market.

Fourth World Conference on Women, "Action for Development, Equality and Peace". Beijing 1995. The declaration and platform of action of participating governments are programmatic frameworks for enhancing the role of women in society and eliminating all obstacles that impede their active participation in all spheres of public and private life through full and equal participation in decision-making in the political, economic, cultural and social areas, for which they have become a benchmark for their development. Gender cross-cutting –GCC - is explicitly adopted as a result of the low impact of policies, programs and actions on the equalization of women in society. In this context, the need to define a strategy that involves all the actors is identified, which crosses all the actions and accelerates structural changes.

Regarding national instruments, the most relevant are the following:

- Constitution of the Republic of Guatemala
- National Policy for the Promotion and Integral Development of Women (PNPDIM)
- Equal Opportunities Plan (EOP). 2008-2023
- Law on Social Development, Decree 42-2001

Annex 2: Key concepts

Gender: "Gender" refers to the forms of behavior that society establishes and considers appropriate for men and women. These different forms of behavior, determined by the sex of the people, are established by society (one way of being for men and another one for women). These behaviors, which are learned socially and culturally are called masculine and feminine genders.

The Mayan culture has no such separation because gender is conceived as man and woman; they are complementary and dual.

Sex: Physical, biological, and natural characteristics that determine whether a person is a man or woman by their genitals.

Equity: It means justice, giving to each one what belongs to him/ her, recognizing the specific conditions or characteristics of each person or group of people. (Sex, gender, class, religion, age, culture, language)

Equality: It is understood as a relation of equivalence in the sense that people have the same value, regardless of their sex, and therefore are equal. It refers to the norms, values, attitudes and perceptions necessary to achieve a status of equality between women and men without neutralizing the differences that exist.

Gender relations: Social and power relations established between women and men. They involve a set of practices, symbols, representations, norms and values that societies construct based on their sexual difference and that determine the relations between men and women.

Roles: A set of functions, tasks, responsibilities and prerogatives that are produced as social and subjective expectations and demands.

Condition: The immediate material circumstances in which men and women live, related to their current workloads and responsibilities. For example, providing clean water or stoves for cooking can improve the condition of women by reducing their workload.

Status: Describes the place of women in society in relation to that of men. Changing the status of women requires addressing their strategic gender interests, including having equal access to decision-making and resources, and eliminating discrimination in employment, land ownership, etc. To change the status of women, we must address how gender determines power, condition and control over resources.

Empowerment: A process of awareness and capacity-building that leads to greater participation and decision-making power. It allows people to take control of their lives, manage their own affairs, build self-confidence, solve problems and develop independence. It implies the ability to make choices as well as to define what options are offered.

Gender violence: Violence directed against a person due to gender or sex, both in public and private life. It includes acts that inflict physical, mental or sexual harm or suffering, threats of such acts, coercion and other deprivation of liberty. Although women and men, boys and girls can be victims of gender violence, women and girls are the main victims.

Gender analysis: It studies the differences in the lives of women and men, including those leading to social and economic inequality for women. It is a tool whose purpose is to gather data systematically, which can be used to study these differences, the different levels of power they possess, their different needs, limitations and opportunities, and the impact of these differences on their lives. This knowledge is then applied to the development of social policies and services in order to address inequalities and power differences between men and women.

Gender approach: This is a strategy to promote and achieve gender equality. It involves making the concerns, needs and experiences of both women and men an integral part of the process of ensuring that gender perspectives and attention to the gender equality objective are paramount in all activities such as policy development, research, promotion, dialogue, legislation, distribution of resources and planning, implementation and monitoring of programs and projects.

Gender mainstreaming: It involves identifying and addressing gender differences and inequalities in the design of every program and project, and in every implementation, monitoring and evaluation effort. Because roles and power relations between men and women affect the way an activity is implemented, it is essential that project and activity planners address these issues throughout the life of a program or project.

Annex 3: Training modules

No.	Modules	Training Topics
1	Conceptual and philosophical gender framework	1. Standardization of gender concepts 2. Philosophical concept of gender in different dimensions (cultural, religious, social, political, economic, etc.) 3. Gender analysis in the Western Highlands (status of men and women and gender and power relations between men and women nation-wide) 4. Background on citizen participation in Guatemala 5. Structure of the State of Guatemala from the gender approach 6. Methodologies for the identification, periodization and evaluation of plans, programs and projects with a gender approach 7. Evolution of the current thought based on the gender approach 8. Development of skills to address gender from different scenarios (participatory methodologies, through processes, etc.)
2	Positive gender equity practices	1. Analysis of the influence of inequitable relations by gender roles in the family and/ or the community in the development of new forms of thought 2. Identification and dissemination of positive gender equity practices at the community and family levels 3. Analysis of quantitative and qualitative gender outcomes to design strategies that allow the sustainable inclusion of gender approaches in the communities 4. Awareness raising and messaging regarding the inclusion of LGBTI persons

The content of these modules is continually evaluated according to assessments and needs analyses that emerge from the community learning processes.

Communities Leading Development

Conflict Sensitivity Strategy

Cooperative Agreement No. AID-520-A-16-00005

Recipient: Catholic Relief Services (CRS)

Start Date: 21 September 2016

Completion Date: 20 September 2023

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Table of Contents

List of Acronyms 2

1. Introduction: Conflict Sensitivity Integration 3

2. Background - Communities Leading Development Project (CLD) 3

3. CLD Results Framework (RF) 3

4. Purpose of the Conflict Sensitivity Strategy 4

5. Conflict Sensitivity Integration Strategies 5

   Institutional mapping 5

   Project communications 6

   Situational and conflict analysis 6

   Redesign and adjustments to project interventions 6

   Building conflict sensitivity competencies 6

   Measures to prevent the transmission of COVID-19 7

6. Risk Analysis 7

7. Achievements to Date 8

   Project Year One (Y1) 8

   Project Year Two (Y2) 9

   Project Year Three (Y3) 9

   Project Year Four (Y4) 10

   Project Year Five (Y5) 10

   Project Year Six (Y6) 11

8. Activities Planned for FY23 11

List of Acronyms

ADIPO	Association for Integral Development of the Western Highlands
CBD	Community Based Development
CBO	Community Based Organization
CDF	Community Development Fund
CDP	Community Development Plan
CLDP	Communities Leading Development Project
COCODE	Community Development Council
CRS	Catholic Relief Services
CSO	Civil Society Organization
GOG	Government of Guatemala
M&E	Monitoring and Evaluation
MEAL	Monitoring, Evaluation, Accountability and Learning
NCBA CLUSA	National Cooperative Business Association, CLUSA International
NGO	Nongovernmental Organization
USAID	United States Agency for International Development
Y1/Y2	Year One/Two… of project implementation

1. Introduction: Conflict Sensitivity Integration

In 1999, the term *conflict sensitivity* was first mentioned in discussions on development strategies and practices in armed conflict areas (Barbolet et al., 2005). The concept's recognition as a central focus for the work of development, humanitarian assistance, and peacebuilding organizations was elevated by the publication of the "Conflict-Sensitive Approaches to Humanitarian Assistance, Development and Peacebuilding Guide" by a consortium of organizations in Africa, Sri Lanka, and the United Kingdom in 2004 (International Alert et al 2004). In this context, the CLD consortium must develop the institutional capacity necessary to instill conflict sensitivity, understood as:

> *The ability of an organization to develop and utilize its full human and organizational capacities to minimize negative impacts and maximize the positive impacts of its work on the dynamics of conflict in the environment where it operates. Human capital includes the skills, knowledge and expertise of its employees and partners. Organizational capital includes the departments, structures, financial resources, organizational culture and learning capacity of the organization.*

As part of the overall strategy of the project, as actions are being developed, the status of conflicts in the area of influence of the project will be analyzed using a conflict sensitivity approach, with the purpose of impacting the people, families and communities included in the project. This process will require planning and evaluation through *do no harm* parameters, which will create strategies that identify in advance how to minimize potential damage, develop behaviors and communication processes that are conflict-sensitive and that take into account the key messages emitted from project implementers.

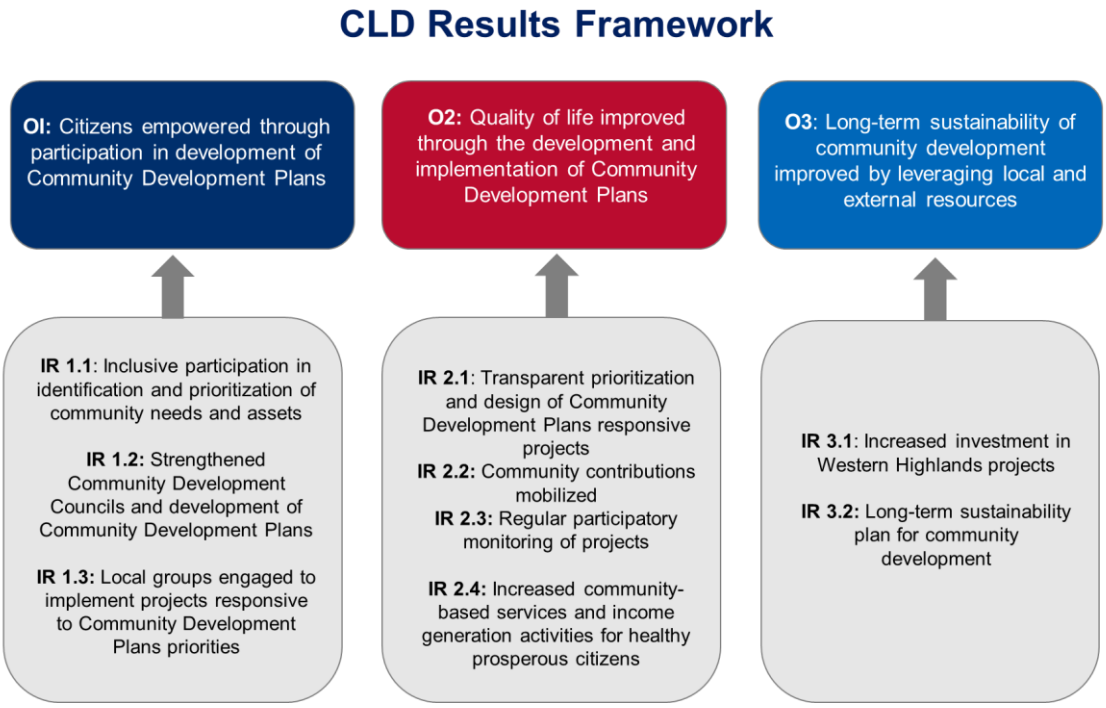
2. Background - Communities Leading Development Project (CLD)

Combining proven community-based development (CBD) methodologies, strong relationships with relevant stakeholders, innovative private sector approaches and a highly experienced and diverse management team, the Communities Leading Development (CLD) Project reaches 200 communities in Totonicapán, San Marcos, Huehuetenango, Quetzaltenango and Quiché departments.

Catholic Relief Services (CRS), in partnership with Caritas Los Altos and Caritas San Marcos, work to improve the quality of life for project participants—including women, indigenous, youth, and people with disabilities—in some of Guatemala's most marginalized communities; and empower them to sustain and build upon these improvements. Recognizing the critical yet often un-tapped resources that the private sector can contribute to community development, CLD leverages contributions from Guatemalan and international public and private sectors, bilateral and multilateral donors and social impact investors for the implementation of community development projects based on needs and priority actions from Community Development Plans (CDPs).

3. CLD Results Framework (RF)

The CLD RF includes a series of three objectives (O1-O3) and corresponding intermediate results (IRs), which are designed to build community assets that lead to economic growth and social opportunity in 200 communities in 30 municipalities in the five target departments (see Figure 1 below).



4. Purpose of the Conflict Sensitivity Strategy

The CLD Conflict Sensitivity Strategy is designed to reduce the likelihood of exacerbating existing conflicts or causing new conflicts while also maximizing positive impacts as a result of the implementation of the project. In this strategy, CLD will promote greater and more equitable participation among community men and women and will invest in 200 rural communities located in 30 municipalities in the Western Highlands Region that have historically been marginalized. As a result, these communities will have the opportunity to shape their own development transformation, moving towards safer and more prosperous communities.

Through an ambitious agenda to improve social capital and build community assets, CLD will implement measures that will reduce perennial mistrust, build alliances, increase citizen participation and produce concrete community improvements. By facilitating action and developing local capacity to manage future development, CLD will forge the path for Guatemalan communities to act collectively in order to invest in future opportunities.

Building social and economic assets, particularly among populations historically deprived of their rights, will not only improve livelihoods, but will also empower people—men and women—to have a greater voice and participation in decision-making within the community. Using a participatory and inclusive approach, CLD will foster greater confidence in government institutions, including municipal governments and Community Development Councils (COCODES)—both of which are key to managing community issues including the provision of basic social services, use of natural resources, conflict mediation and coordination of community development.

This strategy proposes a conflict sensitivity approach to community development, taking into account the culture of the people involved and incorporating their own worldviews, local customs

and traditions. It encourages the community to develop its own approach to resolve conflict, promote gender equity, participate in and hold local government accountable and strengthen its leadership role in conflict management.

Conflict permeates social relations in the Western Highlands at all levels. It is linked to centuries of social and economic marginalization and is particularly acute given the egregious violence of the 36-year civil war that ended in 1996. But conflict dynamics in the Western Highlands are not limited to the historical issues of the civil war. Disputes leading to violence range from issues in both public and private spheres, including domestic abuse. Many of these conflicts directly relate to development challenges, including conflicts revolving around land ownership, mining rights, private and public investment in infrastructure such as hydro-electric power, and fees for electricity and water services.

The very presence of a community intervention like CLD may become a source of conflict or resilience in this context. Therefore, the project has developed this Conflict Sensitivity Strategy to ensure that the projects' activities:

a) factor in the possible impact of existing or potential conflict on staff, implementing partners, beneficiaries, and the activities themselves;
b) develop conflict sensitivity capacities within the team to identify appropriate responses to sources of conflict; and
c) support constructive collaboration between communities and relevant Government of Guatemala (GOG) institutions to address conflict and strengthen sources of resilience and conflict mitigation, when possible.

In this strategy, CLD works first with its own staff to train them, as part of initial entry into communities, with strengthened conflict sensitivity competencies. These competencies support CLD staff in ensuring they a) understand the conflict dynamics in the context in which the project operates, particularly with respect to inter-group relations; b) understand the interaction between interventions and the conflict dynamics in the context; and c) act upon this understanding in order to minimize unintended negative impacts and maximize positive impacts of the interventions on the context of conflict. CLD field staff will coordinate with project management to promote institutional and organizational coordination in order to create synergies in the field, particularly with institutions that promote the peaceful resolution of social conflicts.

5. Conflict Sensitivity Integration Strategies

The following strategies are integrated into project implementation to ensure sensitivity to conflict and appropriate response.

Institutional mapping

The mapping carried out in Y1 allowed a thorough understanding of the relevant stakeholders in the project area, and based on this information, CLD developed and implemented approaches for inter-institutional coordination. The mapping also allowed for the identification of institutions with local capacities that seek to promote actions that enhance peace at the community level. For example, CLD identified the presence of the Community Judicial Facilitators as a peaceful resolution

mechanism at the community level. Additionally, CLD coordinated with the project, *Tejiendo Paz* to support their selection of communities.

Project communications

CLD has factored in conflict sensitivity in the development of the project's communication strategy for social and behavior change. Key messages have been developed to incentivize social cohesion and community trust. To ensure close communication during lockdowns as a result of COVID-19, in FY20 CLD implemented a community monitoring system that relied on phone communication to regularly gather vital information about communities' needs and status regarding COVID-19 and used this communication channel to also relay important information about project implementation and planning. At the end of FY20 and the beginning of FY21, field visits began under a field security protocol for COVID-19 which continues to be actively implemented.

Situational and conflict analysis

CLD included information about situational and conflict analysis in the initial community diagnostic studies which served as a basis to evaluate activities currently being implemented and planned for implementation. One such example is the high rates of violence against women reported, whereby CLD responded by implementing the Women's Self-Help Group (GAM) methodology. Conflict situations that escalate to more acute levels are referred to the corresponding government institutions. Continuous conflict analysis is important to facilitate a process to communicate interests, motivate community participation and consider contingency measures as necessary ensuring the protection of CLD staff.

Redesign and adjustments to project interventions

CLD adjusts intervention strategies based on conflict analysis and reflections on how it can strengthen social cohesion at the community level. CLD has made adjustments in geographic coverage in some municipalities, due to the existence of communities that were not interested in participating in CLD processes or that were used to working with assistance projects that, for example, have provided food rations and other physical inputs. Other reasons that some communities chose not to participate in CLD had to do with conflict situations within the communities that may have put the local technical teams at personal risk. As CLD transitioned from phase I to phase II and III programming, CLD has been and will continue to be sensitive to any potential conflict by managing expectations and clearly communicating program adjustments and the reasons for them.

Building conflict sensitivity competencies

Considering that the project's coverage area has experienced high levels of social conflict resulting in violence in communities, as part of this strategy, technical team staff have been trained to ensure familiarity with the social, cultural and historical context of the Western Highlands Region. CLD has included conflict sensitivity guidance and topics in training for the consortium technical team. Training included the following topics: common trends in negotiation, multiparty dialog and consensus, principles, and strategies to integrate conflict sensitivity. This was especially the case

during the electoral season and transition to a new governmental administration and through program adjustments between project phases.

Measures to prevent the transmission of COVID-19

From FY20 to date, CLD has taken careful measures to prevent COVID-19 transmission by adhering to all institutional policies established by CRS and national-level stipulations to safeguard staff and project participants. This includes the use of masks, antiseptic gel, physical distancing, quarantine, and no/less travel when considered high-risk. COVID-19 institutional protocols will remain in place for the foreseeable future and are applicable to FY23 as well.

6. Risk Analysis

The following offers a summary of a risk analysis conducted to predict potential risks and propose mitigation measures to address these risks per project objective.

Table 1: Analysis of the risk for conflict in the project

Objective	Identified Risks	Preventive and/or Corrective Measures
1: Citizens empowered through their participation in development of Community Development Plans	• Limited willingness of some leaders to participate in the implementation of the project • Risks to participants if the community prioritization creates or increases local conflicts • No space in the community to allow consensus for prioritizing their needs • Community leaders not involved in COCODE coordinating commissions	• Create appropriate and contextualized spaces for presenting the project to the community that include the development of *do no harm* strategies related to community prioritization. In some communities that initially opposed participation in CLD, this measure effectively catalyzed a positive decision to participate. • Establish a clear role for community leaders to facilitate these discussions so that they are incentivized to participate. • Reach minimum agreements to achieve representative community legitimacy for all stakeholders and sectors of society.
2: Quality of life improved through the development and implementation of Community Development Plans.	• Lack of support from state and private organizations and institutions to mobilize resources for community development. • Extended time in implementing water systems rehabilitation may cause frustration in community leaders and members	• Lobby appropriate state and private community development institutions and organizations for support. The leverage and private sector alliances strategies will serve as guidance for this measure. • Strong communication process with community leaders to coordinate for the implementation period and manage expectations.

3: Long-term sustainability of community development improved by leveraging local and external resources	• Lack of community acceptance of strategic allies interested in making leverage contributions. • Communities lack the capacity to manage leverage mechanisms and the complexities of power dynamics, varied interests, and different values that may arise during negotiations with strategic allies.	• Implement the institutional strengthening training program, with new emphasis on resource mobilization, project design, establishing alliances and capturing leverage. • Support COCODEs to seek support for community development through advocacy to potential alliances and incorporate a resource mobilization plan • Provide technical assistance to communities for the implementation of their resource mobilization plan. • Develop and implement a Sustainability Plan, which includes an emphasis on the self-determination of each community to achieve its shared vision of community development and a community-driven approach to alliances, ensuring solid bridging between the communities and external actors.

7. Achievements to Date

Since the mere presence of a community development intervention with external resources may become a source of conflict in communities that have a history of social conflict, the project has continued to define the Conflict Sensitivity Strategy. CLD has invested in capacity strengthening of its technical team to be able to gauge conflicts, work effectively with a diverse range of community members (including women, indigenous persons, youth, LGBTI persons, persons with disabilities, and others), identify potential conflicts effectively and build community bonds. The project will continue to work directly with stakeholders in local communities to channel issues to relevant GOG institutions with conflict intervention mandates.

Project Year One (Y1)

During Y1, the Conflict Sensitivity Specialist led a surveying process to identify key actors related to conflict in the project's coverage area. Field teams conducted surveys with 36 institutions and organizations that have mandates to address conflict, including state agencies (16), municipal offices (7), non-governmental organizations (6), ancestral authorities (4) and Church-affiliated groups and organizations. Most entities surveyed do not act regularly at the community level unless conflicts become acute. The surveys identified trends in the region related most notably to agrarian disputes, conflicts related to mines and hydroelectric facilities and those related to the illicit economy.

Project Year Two (Y2)

During Y1 and Y2 of CLD implementation, trainings of local teams were carried out to strengthen local capacities. For this purpose, workshops on *Assertive Communication*, *Conflict Analysis* and *Negotiation as a Tool for Conflict Resolution* were conducted, to equip the local teams with the skills to be effective advisors and be attuned to emerging conflict situations within the implementation area.

Additionally, in Y2, situational analysis sessions were held at the community level to promote peaceful mechanisms to manage conflict situations that had presented themselves between community leaders. This activity was carried out in numerous communities in which such disagreement also involved whether or not the community would accept participating in the project. In almost all cases, this intervention led to the community accepting to participate.

Another important activity carried out in Y2 was the Security Plan update, given the dynamic nature of the conflict and security situation in the territory, and the layers of complexity added with the general elections in 2019. Contingency planning is designed to allow project staff the clarity to raise the alert when situations could affect the development of project activities. During Y2, the Conflict Sensitivity Strategy was also presented during the *Sensitivity to Conflict for Decision Makers* workshop organized by CRS in San Salvador.

Project Year Three (Y3)

During Y3, CLD took the following actions to further roll out the Conflict Sensitivity Strategy:

Security: CLD established security focal points among local teams and further clarified roles and responsibilities for improved security of CLD staff. CLD also adopted an application to connect all team members, ensure quick communication for security updates and issues and access geographic tracking during security incidents.

Training: CLD continued to offer regular trainings on security. This included a training for the field technical team on assertive communication and conflict resolution tools. After this training, participants had increased knowledge and capacity for conflict sensitivity in the field. In other community-level training sessions, CLD trained community leaders from Santa Lucia La Reforma in Momostenango and Onlaj in Concepción Huista in Huehuetenango on conflict resolution tools, and the participants expressed the usefulness of the tools in their communities.

Technical assistance to consortium partners: During Y3, several communities expressed disinterest or dissatisfaction with their participation in the project due to frustration with the pace of the implementation of specific community development projects or other sources of community conflict. The Conflict Sensitivity Specialist offered technical assistance to local field teams to communicate with community leaders and motivate their continued participation. In some cases, the communities decided to continue, and, in a few cases, the communities withdrew from the project.

Legal Assistance: When requested by two communities in Chiantla, Huehuetenango, CLD offered information on the legal procedure to apply for a legal status as a larger community (from *cantón* to

aldea and *aldea* to municipality). CLD shared the municipal code with community leaders and indicated that additional legal assistance for this procedure was beyond the scope of the project.

Strategic Alliances: CLD has established a good relationship with the *Tejiendo Paz* Project, sharing the results of the conflict analysis conducted, the criteria used to select project communities and the list of project communities. *Tejiendo Paz* used these resources to select their project communities, of which 15 are shared with CLD.

Project Year Four (Y4)

CLD used consistent communications, monitoring, and conflict sensitivity strategies to anticipate potential conflict and use the project to minimize negative impacts and maximize positive impact in these dynamics. An example of this included a community with two competing COCODEs where the project recognized and respected the leadership in both COCODEs. In another example, when budget cuts led to tensions among community leaders, CLD provided alternative solutions such as water filters rather than rainwater catchment projects in Huehuetenango and carefully communicated the budget restraints. As a last example, when a border conflict between two communities of Tajumulco grew tense, the CLD conflict sensitivity specialist offered a space for dialogue between community leaders to address the issue and miscommunications that had taken place.

With the handful of communities that decided they no longer wanted to participate in the project, CLD staff developed and followed an established exit process with the community that included one-on-one meetings and open communication about the progress of community projects, which either helped communities to re-commit their interest in participation or leave the project on good terms.

When levels of distrust by some communities about anyone entering the community due to fear of COVID-19 escalated, CLD used clear communication to community leaders about the importance of applying safety and hygiene protocols mixed with messages to reduce stigma and discrimination of people outside the community or with symptoms of COVID-19. After restrictions were placed on mobility to prevent COVID-19 transmission, CLD developed a community monitoring system to collect information on the effect of COVID-19 on their health and wellbeing. This data is used for project planning and prioritization and helps CLD to be aware of community dynamics, context and needs that could potentially lead to conflict. CLD ensured the participation of men and women to offer information and relied on developed relationships of trust to collect information.

Project Year Five (Y5)

During FY2021, the project continued to coordinate and communicate with community leaders. In the case that communities expressed frustration or difficulties, CLD openly discussed with leaders their concerns. In some cases, communities recommitted their participation and others decided to opt out of the project. CLD continued to apply a conflict sensitivity lens during the design of all interventions and during the regular evaluation of field implementation.

CLD continued to focus on the careful application of COVID-19 mitigation and prevention protocols. CRS adjusts these protocols per the local COVID-19 context and with evolving official

information about the virus. While compliance with COVID-19 mitigation measures in rural communities tends to be lax, CLD continues to encourage such compliance, share official information, and refer communities when appropriate. Strict protocol compliance among all participants is a condition for carrying out in-person activities, regardless of the venue.

During FY21, CLD experienced relatively very few conflict situations with communities. Given that the project is now well into Phase III programming, communities are generally happy with the progress of implementation, and this is reflected in CLD's relationships with communities.

Project Year Six (Y6)

During FY22, CLD began planning the exit of the project and the closure of activities during FY23. This included the preparation of a security plan due to mitigate risks due to conflicts derived from the exit. CLD maintains a good relationship with 98% of the communities, so there is little risk to staff during this final phase. Information from the Feedback and Response Mechanism implemented in FY2, which receives feedback from a toll-free line and comments from participants during field visits indicate that people are satisfied with the project: 63% of the comments received are gratitude, 17% are requests for information, 11% are requests for projects, 8% expressed dissatisfaction or a complaint, and 1% offer general suggestions regarding the implementation of projects.

Since 2020, in the restart of continuous field activities, CLD continues to apply mitigation and prevention measures for COVID-19. The established protocols were adapted with the evolution of the pandemic in Guatemala and adjusted according to the provisions of the central government. Strict compliance with the protocol among all participants is a condition for carrying out face-to-face activities, regardless of the location.

8. Activities Planned for FY23

The following activities related to conflict sensitivity are proposed for FY23.

No.	Activity	Sub-activities	Person Responsible
1	Continue to be conflict sensitive in the rollout of community development projects	Regularly report and discuss potential conflicts with the CLD team to inform ongoing decision-making	Partner project coordinators
		Provide technical assistance for conflict situations identified according to the exit plan in FY23	Partner project coordinators
		Monitor the status of communities in terms of participation and project needs using an online dashboard fed by information collected monthly	Partner project coordinators, CLD MEAL team

2	Implement adjustments to project interventions as COVID-19 measures continually change	Support community members to be in compliance with security protocols in all project activities. Provide information to participants through project activities, related to COVID-19 measures.	Senior management team Partner project coordinators
3	Monitoring of the security plan in the field during the closing activities scheduled in FY23	Provide information on the current situation and level of relationship with the communities and that can be used in decision-making during the exit of the communities in FY23	Technical coordinators and staff in general

Communities Leading Development

Strategic Communication Plan

21 September 2016 – 20 September 2023
Cooperative Agreement No. AID-520-A-16-00005
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TABLE OF CONTENTS

Table of Contents 2
List of Acronyms 3
List of Tables and Figures 4
1. Background 5
2. Problem Statement/ Desired Change 5
3. Purpose & Objectives of the CLD Communication Plan 6
A. Goals and Objectives 7
B. Context 7
4. Communication Messages and Target Audiences 9
A. Main Message 9
B. Target Audiences 9
C. Audiences Map 10
D. Tone 10
5. Strategic Components 11
E. Institutional Communications 16
F. Communication for Development 19
1. Information, Education and Communication (IEC) 19
2. Social and Behavior Change Communication (SBCC) 21
6. Monitoring and Evaluation of Communication Plan 26
7. Communications component for each audience 26
8. FY22 Achievements 27
I. Communication Plan Matrix for FY23 30
II. Resources and Supporting Information 36

List of Acronyms

CBD	Community-based development
CDP	Community Development Plan
CLD	Communities Leading Development Project
COCODES	Community Development Councils
COMUDES	Municipal Development Councils
COP/DCOP	Chief of Party / Deputy Chief of Party
COPRESAM	Presidential Commission for Municipal Affairs
CRS	Catholic Relief Services
FY	Fiscal year
SILC	Savings and Internal Lending Community
IEC	Information, Education and Communication
NGO	Non-governmental organization
PQ	Program Quality
SEGEPLAN	Secretariat for Planning and Programming of the Presidency
SBCC	Social and Behavior Change Communication
USAID	United States Agency for International Development
Q1, Q2, Q3	Quarter 1, Quarter 2, Quarter 3

LIST OF TABLES AND FIGURES

Table 1. Communication obstacles and opportunities 8
Table 2. Key messages for project participants 11
Table 3. Key messages for Indigenous peoples 12
Table 4. Key messages for the private sector 13
Table 5. Key messages for the Central Government of Guatemala (presidency, SEGEPLAN and ministries) 14
Table 6. Key messages for municipal authorities 14
Table 7. Key messages for international institutions 15
Table 8. Communication channels and media to be used in public relations 17
Table 9. Communication channels and media to be used in Branding Strategy and Marking Plan 18
Table 10. Communication channels and media to be used in collateral materials 18
Table 11. Communication channels and media to be used in internal communications 19
Table 12. Desired change, barriers, and communication objectives for segmented audiences 22
Table 13. Channels / media and activities for Directly Influenced Audience 24
Table 14. Channels / media and activities for Direct Influence Audience 24
Table 15. Channels / media and activities for Indirect Influence Audience 25
Table 16. Institutional communications and communication for development for each type of audience 26
Table 17. Actions to implement, follow up, and measure the communications strategy during the project 30

Figure 1. Two components of the CLD Project Strategic Communication Plan 7
Figure 2. Audiences Map 10
Figure 3. Socio-Ecological Model for behavior change 21
Figure 4. Three Key Strategies of Social and Behavior Change Communication 23

1. Background

Combining proven community-based development (CBD) methodologies, strong relationships with relevant stakeholders, innovative private sector approaches, and a highly experienced and diverse management team, the Communities Leading Development (CLD) Project reaches over 200 communities in Totonicapán, San Marcos, Huehuetenango, Quetzaltenango and Quiché departments.

The United States Agency for International Development (USAID) and Catholic Relief Services (CRS), in partnership with Caritas Los Altos and Caritas San Marcos, work to improve the quality of life for project participants—including women, indigenous people, youth, and people with disabilities—in some of Guatemala's most marginalized communities and empowers them to sustain and build upon these improvements.

The CLD Project's objectives are the following:

- **Objective 1:** Citizens empowered through participation in the development of Community Development Plans.
- **Objective 2:** Quality of life improved through the development and implementation of Community Development Plans.
- **Objective 3:** Long term sustainability of community development improved by leveraging local and external resources.

2. Problem Statement/ Desired Change

Key audiences identified by the project, including over 200 participating communities, the public and private sectors, and the donor community, have not worked together effectively to achieve community development, due in large part to historical polarization of development priorities and lack of clear, constructive communication. The lack of trust and shared information among communities and with external stakeholders has prevented the potential of each to define and achieve common development objectives.

Community development efforts aimed at addressing the needs of a given population have often been led by external actors who develop communications strategies to publicize these opportunities and justify their methods to local 'beneficiaries'. The CLD Project utilizes a different approach, empowering communities as leaders of their own inclusive development agendas. The project thus requires a communication strategy that varies from the traditional model.

This communication strategy counters perceptions common among key stakeholders working in the Western Highlands; most notably, that communities are passive recipients of donor-defined resources and that the private sector defines investment plans without consulting local communities. As such, it offers an historic opportunity to demonstrate that diverse actors, including donors, government agencies, and the private sector, can collaborate positively with local communities to define their own development priorities and demonstrate their capacity to achieve development goals. It also offers the opportunity to institutionalize such collaboration for sustained impact well beyond the life of the CLD Project.

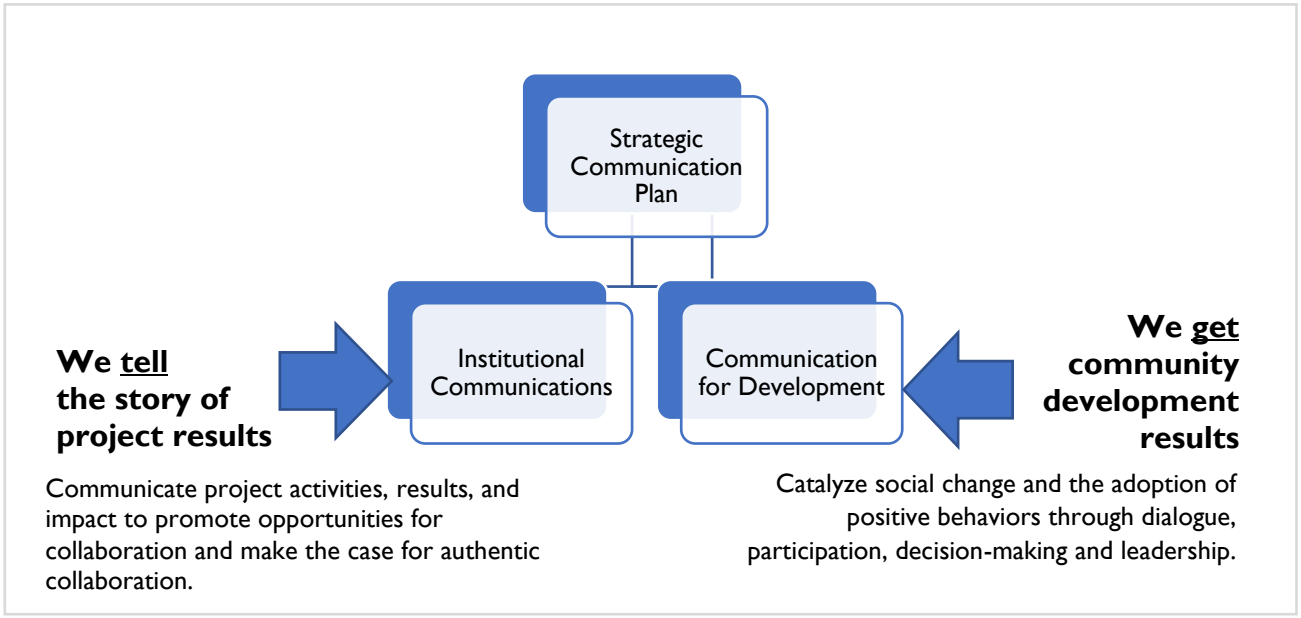
This strategy is a collaborative effort that incorporates inputs from a variety of stakeholders (i.e., partners, project participants, community leaders) who participated in reflection and validation sessions to develop the key project messages and the actions to communicate these messages. In the same way, the activities conducted, and materials used in the communications strategy are validated and evaluated by representatives of the communities, and the CLD Project field team throughout its implementation and with private sector stakeholders. The strategy has been updated yearly and this is the updated version, based on new trends and project needs.

3. Purpose & Objectives of the CLD Communication Plan

The Strategic Communication Plan proposes strategies to convey project objectives through defined communications tactics and channels, activities, and materials to reach key audiences relevant to the project. Thus, the plan delineates how the project will communicate with participants and relevant stakeholders ranging from community-level actors to institutions, the private sector, and donor agencies through innovative, inclusive, and gender-sensitive methods. It further identifies goals for social behavior change and how the CLD Project will achieve these goals. The plan is linked closely to key USAID strategies in Guatemala, including the Country Development Cooperation Strategy 2020-2025, the Policy on Promoting the Rights of Indigenous Peoples, the U.S Strategy for Addressing the Root Causes of Migration, and the USAID/Guatemala communications strategy and results framework, including its primary objective: Greater social and behavior change among Guatemalan target audiences and enhanced awareness and understanding among target audiences of the USAID development partnership with Guatemala.

As such, the Strategic Communication Plan combines institutional communications and communication for development, specifically Social and Behavior Change Communication (SBCC) strategies, to complement and support the CLD Project's overall strategy and activities. Both types of communication are interlinked and complementary.

Figure 1. Two components of the CLD Project Strategic Communication Plan



A. Goals and Objectives

The goal of the Strategic Communication Plan is to increase communities' empowerment and leadership to lead development projects that improve quality of life and to raise awareness of how the involvement of the private and public sector can make these projects more sustainable and replicable.

The objectives of the Strategic Communication Plan are the following:

1. Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development.
2. Motivate communities to maintain a vision of development as a result of empowerment and increased participation in decision-making spaces.
3. Motivate communities to continue participating in community development planning as well as project implementation of projects and periodically update their CDPs to attract further investment.
4. Promote the links established between communities and the public and private sectors at all levels; and
5. Generate spaces for accountability on results and thank all parties involved for their contributions.

B. Context

The Strategic Communication Plan design considers the obstacles that the project can face to achieve the communication goals, as well as the opportunities to overcome those obstacles during implementation.

Table 1. Communication obstacles and opportunities

Communication Obstacles	Communication Opportunities
The political and economic context could make the project´s messages and activities of low priority for key audiences such as the central government, local private sector, and municipalities.	Framing and communicating the project's key messages in a way that allow for connection with key audiences' needs and priorities, promoting a shared value approach, and highlighting how the project contributes to resolving complex economic and social issues.
Diverse audiences with multilingual and multicultural contexts are an obstacle if material and channels are not adapted to publicize the project's results and impacts.	The production and implementation of diverse material, including audio messages, visual and written material. Optimizing the use of virtual channels with audiences with access to internet connection; as well as the use of radio channels and phone communication. The project will also strengthen the communication with community leaders to ensure appropriate message transmission to communities.
Participants with diverse communication needs to learn concepts and processes that allow them to participate in the implementation of community projects.	Consortium partners, project staff and technical implementers with increased capacity to develop specific communication plans and messages that will consider the specific communication needs of the different participant segments, including indigenous groups, women, youth, community leaders, men, entrepreneurs, and agriculture producers.
Remoteness of communities, lack of internet and weak internet connectivity are obstacles to reach the project participants.	Use of pre-recorded testimonies, videos, audios, and animation to share the communities' project ideas, needs and interests. The use of calls and, when possible, smart phones to obtain live audios. When feasible, using technical implementers, partners, or CRS offices to conduct meetings that require access to internet. Promote the use of traditional media as well, such as local and national radio stations and television.
As the COVID-19 restrictions to prevent the spread of the virus continue, these restrictions impact the Institutional Communication and Communication for Development components.	Diversification of the CLD Project platform incorporating the use of new digital technologies, electronic channels, virtual trainings, small groups gatherings and activities to reach key audiences.

4. Communication Messages and Target Audiences

A. Main Message

The main communication message is, "With USAID's support, communities in Guatemala's Western Highlands have improved their quality of life by inclusively addressing local priorities, developing alliances and mobilizing resources from the public and private sectors to implement Community Development Plans," which aligns with the communication objective described above.

This main message sets the stage for the five key messages of the project, based on key messages defined in the Branding Strategy and Marking Plan:

- Participation in the development and implementation of Community Development Plans empowers communities.
- Inclusive participation is necessary to identify and prioritize the needs and assets of the community.
- Community resilience is achieved through the strengthening of social cohesion of the community.
- Community development is possible through partnerships with the public and private sectors.
- Locally-owned community development creates the conditions for communities to solve their own problems rather than migrating in search of opportunities elsewhere.

B. Target Audiences

Five principal audiences were identified as targets for these key messages.

1. **Project participants:** The communication strategy focuses interventions on indigenous people, women and youth; these groups are typically marginalized from decision-making and leadership opportunities. The focus on these three groups allows for greater participation and empowerment in all communities and represents an opportunity for greater impact.

   The strategy also considers CRS' policy of *do no harm*, which implies taking extreme caution with the public identification of groups such as LGBTI and returned migrants, given the negative consequences that could result from this identification. The project also works with an inclusive approach working with others that are excluded from decision making, such as people with disabilities.

2. **Private sector:** Businesses operating at the municipal or regional level (Western Highlands), businesses and corporate foundations operating at the national level, businesses operating at the international level, financial institutions, Guatemalan and international investors.
3. **Government of Guatemala**: Community and Municipal Development Councils (COCODES and COMUDES), municipalities, Central Government including SEGEPLAN (Guatemalan Secretariat for Planning and Programming of the Presidency), national-level authorities related to the objectives of the project.
4. **International institutions**: CRS global shared value partners, donors, private sector foundations, USAID-funded projects, international universities, and embassies.

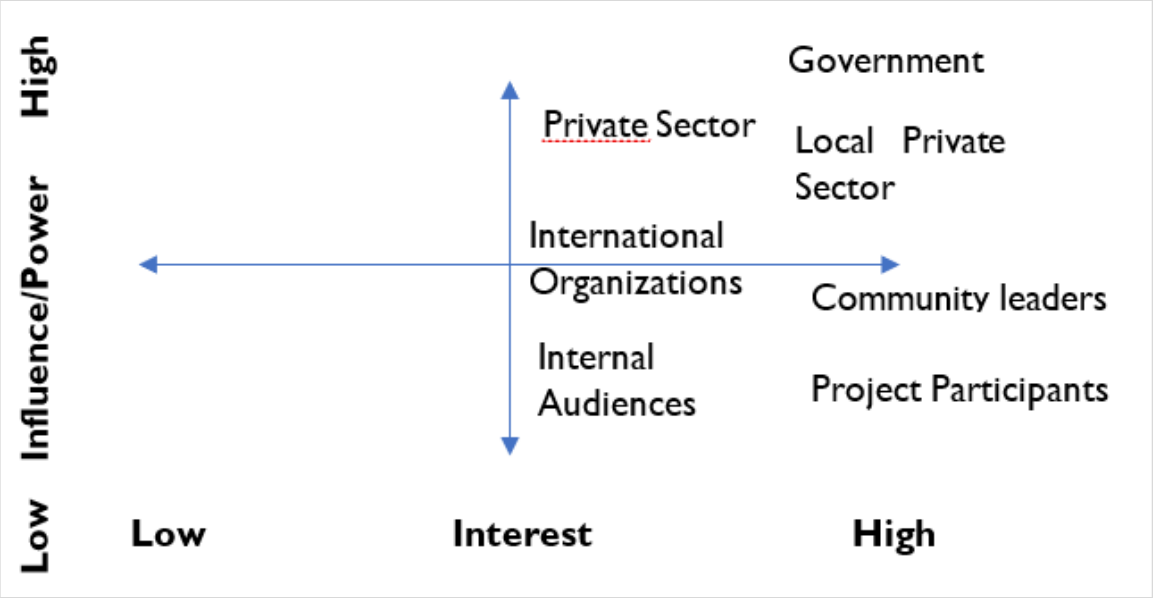
5. **Internal audiences**: USAID Guatemala, CLD consortium partners and project staff, CLD technical implementers.

C. Audiences Map

Key audiences have been mapped considering their level of influence and power to generate alliances and interest in the CLD Project. This power/interest mapping exercise is regularly updated during the implementation of the strategy to reflect updates in their positions.

According to the mapping, the strategy aims to increase influence and interest of the project participants. In addition, it builds interest of the private sector and government and increases interest of international organizations.

Figure 2. Audiences Map



The most pressing needs are related to government competencies, as they are the ones who must cover basic needs. The CLD project is a catalyst for community needs; for FY23, the focus will be to strengthen those relationships and influence public investment in these communities. The second audience is the private sector given that they will maintain a commercial and market relationship. A third audience, community leaders, will continue to foster community empowerment and participation in community development planning, while also benefitting from development projects. As part of the accountability to communities, CLD will thank all parties for their participation and commitment throughout the entire project.

D. Tone

The tone of the CLD communication approach is characterized as follows:

- Engaging: inspiring messages that lead to action
- Inclusive: makes all audiences feel like part of the project

- Gender-sensitive: uses inclusive, welcoming and gender-neutral language, messages, and methodologies
- Transparent: project open and accountable for its actions
- Connected: brings together audiences for dialogue

5. Strategic Components

As described previously, this Strategic Communication Plan has two components:

- **Institutional Communications**: Communicate project activities, results, and impact to promote opportunities for collaboration and make the case for authentic collaboration.
- **Communication for Development:** Catalyze social change and the adoption of positive behaviors through dialogue, participation, decision-making and leadership.

For both components the following messages will be integrally applied per segment.

Table 2. Key messages for project participants

	Young Women (ages 14-29)	Young Men (ages 14-29)	Women (ages 30-50)
Contents	Empowerment, inclusion, and community participation	Empowerment, inclusion, and community participation	Empowerment, inclusion, and community participation
Key messages	When you are involved in community development, you decide what is best for young people. If you participate in community development as a young person, you will learn to be community leaders.	Participating in community development will provide opportunities for an improved quality of life. When you participate in community development, you can decide what is best for young people.	By participating in community development, you can decide what is best for you, your family, and other women in your community. The participation of women in community development allows for decision-making to improve the quality of life of you and your family.

	Men (ages 30-60)	Community Leaders
Content	Quality of life, sustainability, inclusion, and participation	Quality of life, sustainability, inclusion, and participation
Key messages	• If your partner and children participate with you in community development, together you will contribute to a better quality of life for your family. • By joining efforts, we will achieve better results in the management of community development projects.	• Active citizen participation that includes young people, women, and men will result in sustainable project management for a more prosperous community. • Maintaining current community alliances and supporting new ones that bring co-investment will support sustainable community development. By investing together in the development of your community, the whole country prospers. • As a community leader invested in your community's development, you can further develop skills that allow you to identify resources. Your CDP is a key tool to collaborate with your municipalities and key stakeholders in the region.

Table 3. Key messages for indigenous peoples

	Indigenous Peoples
Content	Inclusion, influence in project design and priorities and accountability
Key messages	• Your voice has shaped the project priorities through the Community Development Plans and will continue influencing the investment decision-making of local and national authorities and other actors. • Your participation in open dialogue and the accountability system promoted by CLD allowed the project to improve its interventions and join communities' efforts to face the most critical challenges in the Western Highlands. • You can continue to use these skills and leadership to further capacity building, connections with public and private sector actors, and technical assistance to achieve common goals for sustainable development.

In addition, the following messages on project close-out and sustainability for all project participants:

- CLD has been working in 5 departments and 30 municipalities since 2016 to strengthen community empowerment and inclusive planning. The planning included working in this municipality until [date]. The CLD project has now reached the end of its work cycle and implementation will end in all the communities, municipalities, and departments where we work.
- We want to highlight that this end date corresponds only to the interventions of the CLD project implemented through our partners, our teams of consultants, and technical implementing partners.
- The CLD project ends, but the partner organizations and other alliances remain in place in the area through other projects and their own initiative to support community development.
- We appreciate the opportunity to work with the communities, for their openness, time, and commitment. We are encouraged to see communities using tools like their CDPs, collaborating with other organizations, and including women and young people in the process.
- We recognize the community's commitment and willingness to work together, which will be the basis for continuing to support community development efforts. We hope that in the future, given the opportunity, that we can count on your support, opening the doors to continue working together.
- Women and youth are fundamental pillars in community development; therefore, they must continue to participate in decision-making spaces and in leadership roles to ensure that their needs are also addressed.

Table 4. Key messages for the private sector

	Private Sector
Content	Co-investment, investment, platform connections
Key messages	• USAID/CRS appreciates the trust to strengthen ties with communities and areas where they did not previously exist. • Maintaining these commercial relationships, technical and financial support processes for the improvement of products can continue to be integrated into your supply chain and create new business opportunities. • You are invited to continue promoting new models of income generation that are sustainable and inclusive, allowing small producers and businesses/ventures to participate. • We encourage you to maintain your commitment to make greater investment in areas of the Western Highlands, creating opportunities for vulnerable populations that facilitate rootedness.

Table 5. Key messages for the Central Government of Guatemala (presidency, SEGEPLAN and ministries)

Central Government of Guatemala	
Content	Investment, capitalization, agility, response to community needs and cooperation round table
Key messages	• It is important to respond to community needs in a timely manner; the CDP facilitates the decision-making process. • It is important to maintain spaces for coordination with community authorities as they are catalysts for the change communities need to prosper. • More than 1,300 leaders from 200 communities were trained by USAID/CRS and are ready to support community leadership and development planning. • The content of the CDPs serve as a tool for decision-making about project prioritization for community development. • USAID/CRS has contributed significantly to improving the living conditions of more than 200 communities. This result has been possible thanks to the commitment of government entities in the allocation of technical and financial resources. • We invite you to use the Community Development Plans (CDPs) as a tool for local and national authorities that clearly reflects the community vision of the future that communities seek. This methodology can be adopted and implemented in other communities. • Long-term changes are produced by working together with communities, listening to the voices of community leaders and community members, and facilitating social cohesion.

Table 6. Key messages for municipal authorities

Municipal Leaders and Municipal Offices	
Content	Investment, capitalization, agility, and response to community needs
Key messages	• We encourage you to continue creating favorable conditions to attract investment to the Western Highlands. • The communities have defined water, income generation and education as key priorities. • CDPs are tools to facilitate planning and use of resources. • CDPs represent the voice of the communities.

	• CLD has contributed significantly to improving the living conditions of more than 200 communities. This result has been possible thanks to the commitment of government entities in the allocation of technical and financial resources. • CLD has worked in 5 departments and 30 municipalities since 2016 in community empowerment and inclusive planning. The project comes to an end in September 2023. • Now that CLD has reached the end of the project cycles, it will close in the municipalities and departments where we work. • We expect that the work done will facilitate your work as authorities (local or national). We encourage you to use of the Community Development Plans (CDPs) as a tool to reflect the shared vision of what you want for your communities. In addition, this methodology can be adopted and implemented in other communities. • We appreciate the opportunity to work in this municipality, for your openness and time. We are encouraged that communities will remain empowered with basic tools such as their CDPs and continue to collaborate with other entities to promote their development. • We recognize the commitment and willingness, which will be the basis for continuing to support community development efforts. We hope that, given the opportunity, we can count on your support, opening the doors to continue working together. • There is much evidence of how long-term changes are produced by working together with communities with strong social cohesion. We encourage you to continue to work with community authorities so that their voices continue to be heard.

Table 7. Key messages for international institutions

International Institutions and NGOs	
Content	Sustainability and alliances
Key messages	• Our and your contributions together will address community priorities and we will obtain better results together. • Alliances allow for the achievement of medium and long-term goals with sustainable projects that benefit the communities. • USAID/CLD implemented CLD in 5 departments and 30 municipalities since 2016 to strengthen community empowerment and inclusive planning. We planned to work with these communities until September 2023. • We appreciate your joining this effort to improve the living conditions of these communities and encourage you to continue with that commitment.

	• The CDPs are a tool that can guide development work with communities. • We encourage you to work with community leaders and apply the tools and skills that have been developed to continue supporting these communities.

E. Institutional Communications

The institutional communications component responds to the following communication objectives:

- Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development.
- Develop and communicate the project identity to strengthen its presence among project participants.

The audiences for this component are the following: private sector, international institutions, Guatemalan government, internal audiences, the CLD Project participants and the public in general.

The principal tactics to be used for the institutional communications component are the following:

- **Public Relations:** Activities designed to have direct contact with the main audiences. These activities include public events to present project results, success stories, community project launch events and presentations of CDPs. These activities may be carried out in person or virtually. Touch points also include the project's website and social media channels, which will communicate project results and provide opportunities for interaction with key audiences. Also, there will be community closing events (95), municipal events (22), and a national closing event for accountability, achievement celebrations, thanking participants and allies.
- **Branding and Marking:** Implementation of the CLD Project's Branding Strategy and Marking Plan approved by USAID.
- **Collateral Materials:** From videos and animated GIFs to printed materials and the systematization of learning, the CLD team will develop materials to reflect the project narrative and core messaging, enabling staff, partners, project participants and others to be informed about the CLD Project. They will be shared through digital media, email, public events, meetings, and workshops and will include results, success stories, and call-to-action messages. This material will also be used as part of the Communication for Development and SBCC component, with translations into the principal languages spoken in the CLD geographic area. Printed and digital material will be applied based on the audience's needs.
- **Internal Communications:** The internal communications plan will inform the audiences and garner their support for project implementation. Actions in the communication plan are implemented on a weekly, monthly, and quarterly basis promoting multilateral communication, assuring that the information on project progress is shared from bottom to top and vice versa, so that partners, staff, and project leaders join in decision making and adaptive management.

The following tables outline the channels or media to be used and activities to be implemented.

Table 8. Communication channels and media to be used in public relations

Channels / media	Activities / Materials / Content
Public events in digital or face-to-face formats. To present results to our audiences and to promote interest in supporting the project. These events will also raise awareness of the impact that the project has generated in the communities, and how this impact can be used by other key stakeholders to invest in community projects. These events will seek to attract leverage from public and private funds. Public events will also promote networking among CLD key audiences to increase leverage opportunities.	Public presentations such as: • Community project launch events • Online forum on success stories about the involvement of local authorities in community development • Project closing events at the community, municipal and national levels.
Project website. To reach a wider audience through a digital channel. It includes all the sections specified in the cooperative agreement.	Regular updates to the website with: • News/events • Project information • Reports and studies • Results • Multimedia material
Social media. Use of the social media channels of USAID Guatemala and *CRSEspañol*, CRS, CLD technical implementers and others to take advantage of the reach of these channels and achieve greater dissemination of the content.	Monthly production of content: • Infographics with project results • Animations with the project's key messages • Testimonial videos of participants and videos of community development efforts • Success stories • Public campaigns to raise awareness of the importance of investing in community development. • Weekly production of highlights showing project news and progresses
Media relations. To maximize the project's information opportunities and to build a positive image.	Strategic actions with media will include: • Press releases • Media kits • Field trips • Interviews
Interpersonal communication. Face-to-face and virtual communication with our audiences to present the project and its	• Informational meetings with key audiences (public and private sector, international organizations) to present information about the

results and to reach agreements to support the project.	project, its results, and opportunities for alliances. • Webinars on success stories related to value chains, collaboration with the private sector, economic empowerment of women and youth, project management and sustainability programs for local authorities • Channels to conduct these meetings can be held face-to-face or over the phone or through applications such as Zoom, Teams or other platforms.

Table 9. Communication channels and media to be used in Branding Strategy and Marking Plan

Channels / media	Activities / Materials / Content
Implementation of the project's Branding Strategy and Marking Plan approved by USAID.	• Administrative documents • Project communications • Institutional communications materials

Table 10. Communication channels and media to be used in collateral materials

Channels / media	Activities / Materials / Content
Print/digital materials. Supporting materials to interact with audiences in both communication components and present results and information about the project.	• Factsheets with results of the project, such as infographics, data, etc. • Digital briefs • Project and participant success stories • Weekly highlights • Digital posters or flyers
Audiovisual materials. Support materials to interact with audiences and present results and information about the project.	• Infographics • Spark photo Stories • Testimonial videos • Documental • Audio and video messages • Phone calls/text messages • Presentations or factsheets

Table 11. Communication channels and media to be used in internal communications

Channels / media	Activities / Materials / Content
The internal communication plan includes mechanisms to inform and communicate with partners and project staff. Develop activities and materials so every person involved in the project has the information they need to perform their work and to appropriately interact with the participants and other key audiences of the project. The objectives of this plan are: • Inform and communicate with internal audiences • Build a sense of belonging to the project • Create ties between the staff	• Quarterly group meetings with partners (digital format possible) • Monthly group meetings (digital) • WhatsApp groups • Integration activities for employees (to be carried out in-person or virtually, depending upon the COVID-19 context and mitigation measures)

F. Communication for Development

This component responds to the following communication objectives:

1. Motivate communities to maintain a vision of development as a result of empowerment and increased participation in decision-making spaces.
2. Motivate communities to continue participating in community development planning as well as project implementation of projects and periodically update their CDPs to attract further investment.
3. Promote the links established between communities and the public and private sectors at all levels.
4. Generate spaces for accountability on results and thank communities for their involvement of all parties involved.

The audiences for this component are the following: project participants, private sector, international institutions, Guatemalan government, and internal audiences.

The principal tactics used include:

- Information, Education and Communication (IEC)
- Social and Behavior Change Communication (SBCC)

1. Information, Education and Communication (IEC)

IEC are planned interventions that combine informational, educational, and motivational processes. IEC aims to reinforce knowledge within specific audiences.

With IEC materials, the CLD Project will facilitate access to information and knowledge. Local languages and cultural relevance are an important part of this component. Many of the audio

materials and activities will be developed and carried out in Mam, K'iche', and Ixil[1]. The use of visual content is maximized, considering that many participants have low literacy levels. IEC materials are developed for an educational campaign on key concepts and for all priority sectors of the CLD Project.

If during the implementation of this plan, face-to face activities are not feasible, radio, TV, digital and electronic channels will be used as well as audiovisual and graphic content.

Three channels are proposed to communicate emergency information, recommendations, alerts, and key messages to encourage community participation, among other messages. These channels will be used to send information to the 200 project communities. These actions will be coordinated with local partners and allied organizations.

1. Text messages. This channel can reach people who do not have an internet signal, so it has a greater reach. WhatsApp will be also used when feasible.
2. Loudspeakers. The COCODES in nearly all communities have loudspeakers and can use this channel to deliver messages in local languages.
3. Community radio: This channel allows CLD to reach most of the 200 communities and beyond, leveraging local relations and supporting community radio with content to be aired to their audiences.

a. Educational Campaign on Key Concepts

Using IEC materials, the project facilitates access to knowledge about key concepts of the project to complement the efforts for more participatory community development. This initiative is derived from the results obtained from USAID Guatemala's Audience Research for Development Communication Study and the CLD Project's Qualitative Learning Study on Leadership and Empowerment (CLD, 2018). In August 2020, the project implemented an educational campaign for leaders and project participants to understand the meaning of the key concepts in their local languages, via group trainings and group sessions. Incorporating concepts and keywords associated with the objectives of the project created empathy and clear understanding among the participants about the importance of community empowerment. The three key concepts are empowerment, quality of life, and sustainability.

b. IEC in Priority Projects

The training activities and workshops are focused on the execution of projects. These projects are designed for improved water, sanitation and infrastructure, economic development, access to financial services and projects of shared value with private sector, among others.

These trainings require the support of communication materials, such as posters, brochures, PowerPoint presentations, among others. Due to COVID-19, training can be carried out via webinars or videos.

[1] *According to project information, 51.1% of the communities speak Mam; 28.9% speak K'iche' and 13.3% speak Ixil.*

In addition to these activities, there is an identification and training of spokespersons, to position community leaders in their communities.

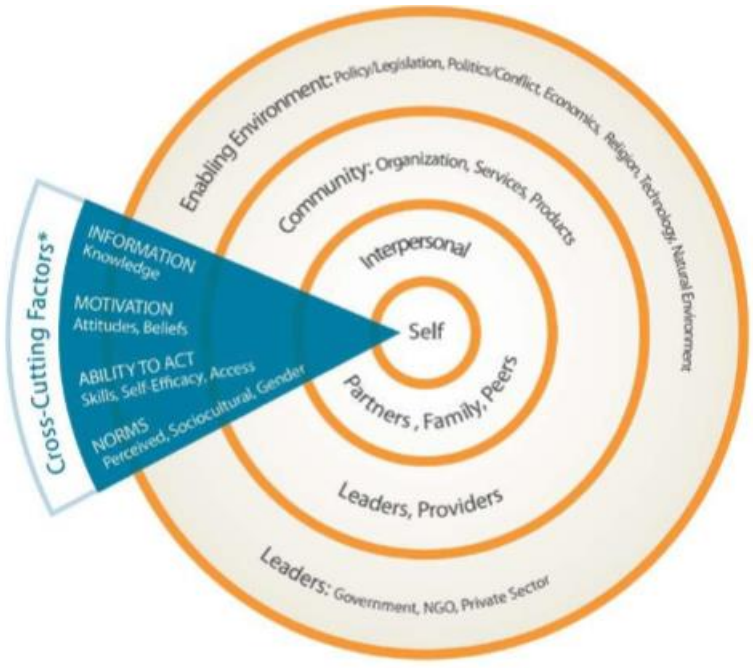
2. Social and Behavior Change Communication (SBCC)

SBCC is the systematic application of interactive, theory-based, and research-driven communication processes and strategies to address tipping points for change at the individual, community, and social levels. A tipping point refers to the dynamics of social change, where trends rapidly evolve into permanent changes (C-Change, 2012).

As indicated previously, the CLD Project combines proven community-based development (CBD) methodologies and strong relationships with relevant stakeholders, incorporating their inputs to develop the key project messages and the actions to communicate these messages.

The SBCC approach promotes and creates an enabling environment for wider participation, coalition building, local community ownership, and community mobilization using a local-level tactical approach. CLD's SBCC strategy is based on the Socio-Ecological Model for behavior change. This model facilitates understanding of the factors affecting behavior while providing guidance for developing successful communication strategies in different social environments. This model emphasizes multiple levels of influence (i.e., individual, interpersonal, organizational, community, and public policy), based on the idea that behaviors are influenced by the social environment.

Figure 3. Socio-Ecological Model for behavior change[2]



Self: Who is directly affected or influenced

Local Community, Services, Products & Leaders and Providers: Who or what is directly influencing "self" at the local level

National Enabling Environment & Leaders: Who or what is indirectly affecting "self" at the national level

[2] *Source: Adapted from McKee, Manocourt and Carnegie (2000)*

c. The Problem

The SBCC strategy addresses structural problems having to do with inequality and exclusion, gender relations and roles, deep-seated assumptions regarding community participation, and decision making. These problems limit the active participation of project participants, especially those in marginalized and vulnerable groups, in the development and implementation of CDPs.

d. Audience Segmentation

Segment 1: Directly influenced audience: Female and male youth between the ages of 14 and 29[3] and women between the ages of 30 and 50.

Segment 2: Audiences that have direct influence over segment 1: Men between ages of 30 and 60 and community leaders, such as COCODES and other committee leaders.

Segment 3: Audiences that have indirect influence over segment 1: Municipal leaders and staff from governmental municipal offices, private sector, international organizations, and non-governmental organizations (NGOs).

The following table defines the desired change, potential barriers to achieve the desired change and the communication objectives for each of the audience segments.

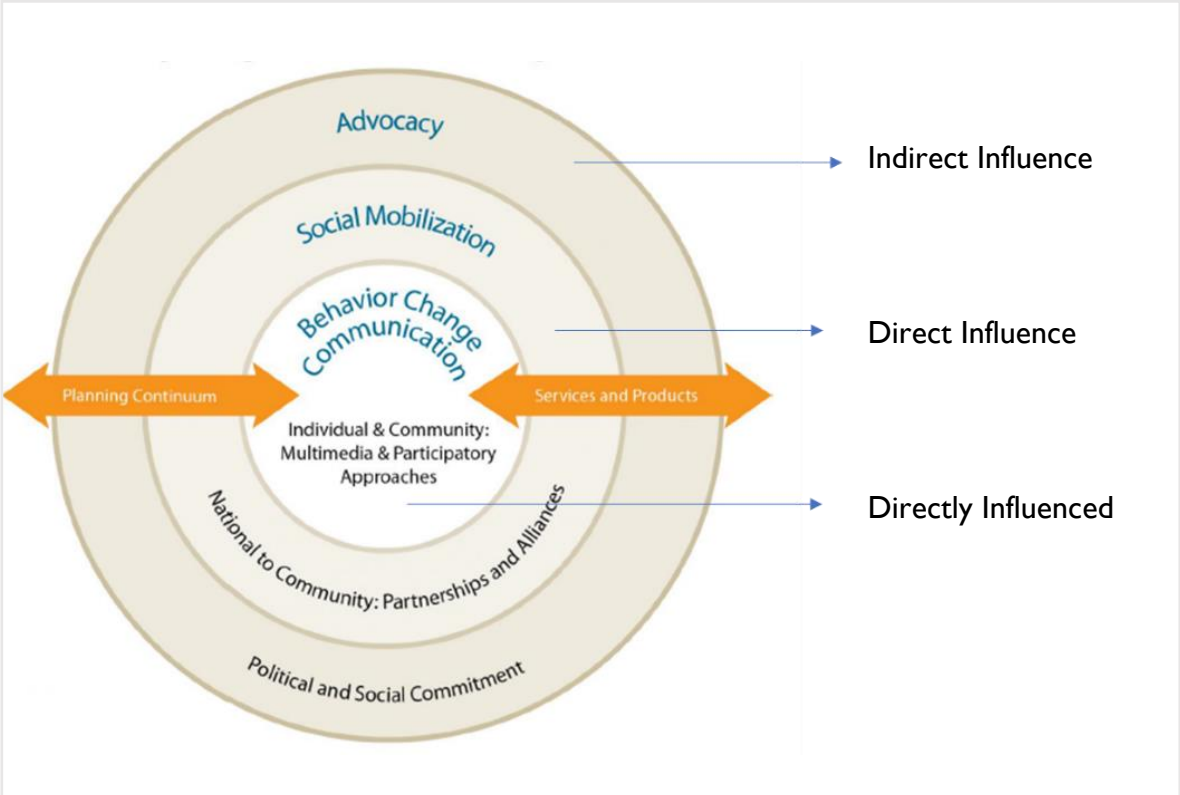
Table 12. Desired change, barriers, and communication objectives for segmented audiences

	Directly Influenced	Direct Influence	Indirect Influence
Desired change	Increased participation in community development with an active presence in the development and implementation of the CDPs	Communities maintain the motivation and mobilization that allows active participation of all groups in community development	Continued awareness of the importance of community development and influence to gain support and financial contributions for the project
Barriers	• Lack of self-confidence, fear, discriminatory social and cultural norms • Lack of tools to search for resources to implement CDPs	Fear of losing power, social and cultural norms	Lack of knowledge about the project, different interests, limited coverage and/or outreach in the Western Highlands

[3] *According to the USAID Youth Policy (2012), USAID programs target individuals aged 10–29 as a broader youth cohort. The CLD Project targets youth aged 14 to 29 according to the Performance Indicator Reference Sheets approved by USAD.*

The CLD Project will then apply communication objectives, based on the desired changes and barriers by audience, in key strategies for SBCC, as shown in the figure below.

Figure 4. Three Key Strategies of Social and Behavior Change Communication[4]



SBCC Strategic Approach

The following tables include content, key messages, channels, and activities for each audience segment. These messages were developed during workshops with the field team and partner organizations. The validation of the messages and channels is done together with project participants. Interpersonal communication activities will be implemented as appropriate following local restrictions in the COVID-19 context, when in-person activities are not feasible, digital, and electronic channels and activities will be used.

[4] *Source: Adapted from McKee, N. Social Mobilization and Social Marketing in Developing Communities (1992)*

Table 13. Channels / media and activities for Directly Influenced Audience

	Young Women (ages 14-29)	Young Men (ages 14-29)	Women (ages 30-50)
Channels and activities	• **Interpersonal communication**: talks, workshops, training activities and webinars. These spaces will include a component to present audiovisual aids with key messages. • **Digital media:** website and social media to include animations, quotes with photos, and videos with testimonies of young people from the communities talking about the importance of being part of community development. • **WhatsApp messages**: to share information, stories, videos and photos. • **Collateral materials:** with digital images (digital flyers or banners) of youth from the communities talking to their peers sent via WhatsApp.		• **Interpersonal communication:** talks, workshops, training activities and webinars and community meetings and groups.[5] These spaces include a component to present audiovisual aids with key messages. • **Digital media**: website and WhatsApp messages to share information, stories, videos and photos. • **Audio spots:** to broadcast in radio stations and loudspeakers provided by COCODES. • **Digital Posters** with images of women from the communities talking to their peers sent via WhatsApp.

Table 14. Channels / media and activities for Direct Influence Audience

	Men (ages 30-60)	Community Leaders
Channels and activities	• **Collateral materials:** Audio messages to disseminate through radio or loudspeakers provided by COCODES. • **Digital media**: Website and WhatsApp messages to share information, stories, videos and photos.	• **Interpersonal communication:** Training (webinars) for COCODEs and other community leaders will include a component to present audiovisual aids with key messages. • **Digital media**: Website and WhatsApp messages to share information, stories, videos, and photos.

		• **Collateral materials:** Visual factsheet with information and results of the project (digital) sent from WhatsApp or email.

Table 15. Channels / media and activities for Indirect Influence Audience

	Municipal Leaders and Offices	International Institutions and NGOs	Private Sector
Channels/ activities	**Interpersonal communication:** Meetings with municipal leaders and delivery of print/digital information with visually compelling data and success stories. **Collateral materials** Digital posters or flyers about the projects sent by WhatsApp.	**Interpersonal communication:** Meetings with donors and NGO staff to present the project, its results and how they can collaborate with it. During the pandemic, virtual meetings or presentations can be held instead of face-to-face meetings. **Institutional communication** to inform about the project and its results: public relations, website, social media, direct engagement.	**Interpersonal communication:** Meetings with key decision-makers to present project results and how they can collaborate. During the pandemic, virtual meetings or presentations can be held instead of face-to-face meetings. Social media campaigns to generate awareness and engage audiences. Media relations, interviews, press kits, and press releases to publicly show project results and stories. **Institutional communication** to inform about the CLD Project and its results: public relations, website, social media, direct engagement.

6. MONITORING AND EVALUATION OF COMMUNICATION PLAN

Monitoring and evaluation of the plan will be conducted using the following:

- Reports of staff in charge of implementing the activities.
- Media monitoring.
- Focus groups to validate the effectiveness of messaging and impact.
- Web and social media analytics to measure reach and interaction.
- Analysis of evaluation of the communication efforts designed and implemented, reach of awareness campaigns, surveys on public events and training activities.
- For SBCC, the evaluation will be done with surveys and interviews with participants, observation, and focus groups.

7. COMMUNICATIONS COMPONENT FOR EACH AUDIENCE

In section III, the two main components of the Strategic Communication Plan were presented. The following table shows how the project audiences are addressed by the two components of Institutional Communications and Communication for Development.

Table 16. Institutional communications and communications for development for each type of audience

Audience	Institutional Communications	Communication for Development
Project participants		
• Marginalized groups (including indigenous peoples, youth and women) • Men • Community leaders	Collateral materials branding and marking public relations	IEC, SBCC, social mobilization and advocacy
Private sector		
• Businesses operating at the municipal or regional level (Western Highlands) • Businesses and corporate foundations operating at the national level • Businesses operating at the international level • Financial institutions • Guatemalan or international investors	Collateral materials branding and marking public relations	SBCC, advocacy
Government of Guatemala		
• COCODES and COMUDES • Authorities of municipalities covered by the project • National level authorities	Collateral materials branding and marking public relations	SBCC, advocacy

International institutions		
• Established CRS global shared value partners • Private sector foundations • International universities • Embassies	Collateral materials branding and marking public relations	SBCC, advocacy
Internal audiences		
• CLD consortium partners and project staff • USAID	Internal communication	

8. FY22 ACHIEVEMENTS

The CLD Project has progressed significantly with regards to communications objectives. The following list shows a compilation of implemented activities and accomplished goals as of June 30, 2022.

Public events (virtual/ in-person/ hybrid)

1. **October 2021**: Signing of the alliance with SEGEPLAN and MICOOPE/Heifer.
   - 25 participants from SEGEPLAN and MICOOPE/Heifer and media coverage by *Nuestro Diario*, *Diario de Centro América*, TN 23, TV Azteca, and government media.
2. **November 2021**: Online event, "Presentation of results and accountability of the Safe Return to School Project"
   - This live event through Teams had 31 key participants including directors of the Education Departments (DIDEDUC) from Quetzaltenango, Quiché, and Huehuetenango and technical area coordinators from the Ministry of Education.
3. **November 24, 2021**: Podcast for the program *Agua en Acción*: episode 1 "Tools for the sustainability of the water system" and episode 2 "Jobs and entrepreneurship in the water sector."
   - CRS and BID Lab radio show with a wide audience on Spotify, IHeartRadio, Google Podcasts, Speaker Podcast Player, and Deezer.
4. **February 07, 2022**: Guatemalan Government scholarship/employment fair
   - Participation of youth from the Western Highlands in an event of the Ministry of Economy in Quetzaltenango.
5. **March 22, 2022**: World Water Day event "Water, Life and Development"
   - 50 participants in a live event with a reach of 1,100 people in live broadcast through Facebook with the Guatemalan Chamber of Construction.
6. **May 18 to 20, 2022:** Coffee Trade Fair
   - Participation of 6 MSMEs in an event with national and international buyers and sellers.
7. **May 12, 2022: CRS virtual event "Migration in the Americas: Promoting Rootedness"**
   - Virtual event with 175 guests including CRS team, Univision reporter, staff from the Inter-American Dialogue, donors and influencers.

8. **June 10, 2022**: "40 business plan" Awards for young people from the Western Highlands.
    - 50 live participants and coverage from western and national regional media: *Nuestro Diario, Diario de Centro America*, TV Azteca, *Guatevisión*, Region +, *La Voz de Xela*, TVQ: TV, Stereo 100 among others.
9. **June 10, 2022:** Univisión Reports "Migration: a success story in Guatemala"
    - Wide audience through podcast on Spotify.

Media appearances

- 1 appearance in *Pais* Music Radio (by CLD WASH Manager, Adan Pocasangre).
- 1 appearance in *Agua en Acción* (Tools for the sustainability of water systems).
- 3 appearances in *Nuestro Diario*
- 3 appearances in SEGEPLAN Facebook
- 3 appearances in SEGPLAN Twitter
- 1 appearance in *Azteca Noticias* Twitter
- 2 appearances in *Diario de Centro América*
- 1 appearance with Presidential Commission for Municipal Affairs (COPRESAM)
- 3 appearances in *La Voz de Xela*
- 3 appearances in Stereo 100
- 1 appearance in *Guatevisión*
- 1 appearance in *Univisión Reporta*

Website

- In February 2021, the project uploaded the 203 Community Development Plans to the website, and since then all community planning documentation is available to public.
- The website was launched in FY21, and as of July 13, 2022, the website had 3,700 users who downloaded information or provided their contact information
- As of July 13, 2022, the website has had 5,100 visits where CLD is sharing news, documents and opportunities for contracting needs.

Social Media

- USAID Guatemala: #SociosEnDesarrollo campaign from June 12 to July 24, 2022 highlighting USAID's community-based development method through CLD on Facebook and Instagram with a reach of 1,073,594 views (Facebook 972,000, Instagram 101,594).
- ADESJU: "Learn and Launch" campaign from June 1 to July 4, 2002 with 16 publications through ADS strategies on Facebook and Instagram to highlight the work and impact that the Youth Entrepreneurship Boosting program has had under the "Learn and Launch" campaign. Reach on Facebook: 84,119 users and 20,328 interactions. Reach on Instagram: 389 users and 77 interactions.

Materials printed and documents marked and branded as institutional, IEC, and SBCC collateral material

- 18 Posters and brochures on good agricultural and environment practices, WASH initiatives and workplace safety.
- 1 Macadamia production handbook
- 8 Banners
- 30 Municipal Factsheets
- 2 Project Factsheets
- 9 Success stories
- 33 Weekly Highlights
- 4 Digital poster/flyer
- 15 Infographics
- 1 Institutional video
- 7 Short project videos
- 1 vest design
- 5 Diploma designs
- 5 Community development planning manuals and guides
- 5 Youth formation handbooks under the "Learn and Launch" methodology
- 1 Booklet for farmer trainings
- 4 Egg production guides
- 2 Youth entrepreneurship factsheets
- 1 MSME factsheet
- 1 Community Development Planning Factsheet
- Numerous PPT presentations

I. COMMUNICATION PLAN MATRIX FOR FY23

Table 17. Actions to implement, follow up, and measure the communications strategy during the project

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
Public Relations						
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development	Private Sector, International Institutions, Government of Guatemala entities at the national and municipal levels Internal Audiences and Project Participants	Public events	3 Project Progress Presentations per components for key audiences	# of attendees	FY23	10 attendees per event
			22 Group project closing events	# of attendees	FY23	10 attendees per event
			73 Community project closing events.	# of attendees	FY23	25 attendees per event
			5 Region/territory closing events	# of attendees	FY23	50 attendees per event
			17 Municipal closing events	# of attendees	FY23	25 attendees per event
			1 MSME program closing event	# of attendees # of media appearances	FY23	75 attendees 3 media appearances
			1 National TV presentation/and digital or social media broadcast to share results on: Water, Economic Development, Alliances and Resource Mobilization, Alliances with Private Sector, and other main project achievements	TV reach, digital and/or social media reach	FY23	National reach

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development	Private Sector, International Institutions, Guatemalan Government and Internal Audiences Project Participants	Project Website	Content updated weekly with news and events Results Reports Multimedia content	#of visits # of users	FY23	50 visits per month 5 unique users per month
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development	Private Sector, International Institutions, Guatemalan Government and Internal Audiences Project Participants	Social media Twitter, Facebook, Instagram CRS Español CRS CRS Expertise USAID/ Guatemala	Infographics, Spark, social graphics, testimonial videos, success stories, public campaigns	# of publications # of reach # comments # likes	Monthly FY23	10 publications 40-1000 users reached per publication 12 comments per publication 30 likes from USAID users
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development Develop and communicate the	Private Sector, International Institutions, Guatemalan Government and Internal Audiences Project Participants	Media relations	Press releases Media kits Field trips Interviews	# of media appearances	FY23	5 appearances per year

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
project identity to foster positive public opinion						
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development	Private Sector, International Institutions, Guatemalan Government and Internal Audiences Project Participants	Interpersonal communication	Informative meetings: via Teams, Zoom, or other platforms. At least one monthly meeting per component	# of meetings	FY23	12 meetings
Branding and Marketing						
Develop and communicate the project identity to strengthen its presence among the participants of the project.	Private Sector, International Institutions, Guatemalan Government, and Internal Audiences Project Participants	Branding Strategy and marking Plan of the project	Implementation of the branding strategy and marking plan	# Materials and documents marked and branded	FY23	20 Materials and documents marked and branded or as needed/requested by project components
Collateral materials						
Share information to publicize results and impact, as well as opportunities for collaborative support for	Private Sector, International Institutions, Guatemalan Government, and Internal Audiences	Print/digital materials	Fact sheets, briefs Success stories Highlights, digital posters, or flyers,	# Factsheets # Success stories # Weekly highlights #Digital posters or flyers	FY23	2 Factsheets per year 8 Success stories per year 1 Weekly highlight per week 2 Digital posters or flyers per

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
community-led development	Project Participants					month/or as needed requested by project components
		Audiovisual materials	Infographics, spark animated graphics testimonial videos, audio and video messages, phone calls/text message, presentations, or factsheets	# Infographics # Animations # Testimonial videos #Audio and video messages # calls/text message, #Spark presentations or factsheets	FY23	4 audiovisual materials per quarter
Internal communication						
Share information to publicize results and impact, as well as opportunities for collaborative support for community-led development Develop and communicate the project identity to foster positive public opinion	CLD staff and consortium and technical implementers USAID	Internal communication plan	Quarterly group meetings with CLD consortium Monthly group meetings WhatsApp groups Integration activities for employees (to be carried out virtually until physical distancing measures are eased) Monthly virtual meetings with AOR and other key USAID staff	Internal communication plan implemented	FY23	Partners and project staff informed; communication channel implemented. USAID informed on project progress, events and opportunities to connect with other USAID projects and the private sector.

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
IEC						
Strengthen knowledge of concepts and processes that allows citizens to participate in community development planning and the implementation of community projects	Project Participants	Education campaign on key concepts	Video animations to explain concepts Infographics Digital posters	Closing - sustainability plan implemented	FY23	Closing – sustainability plan implemented
			Training / education with applied mitigation measures due to COVID-19	Closing – sustainability plan implemented	FY23	Closing – sustainability plan implemented
Strengthen knowledge of concepts and processes that allows citizens to participate in community development planning and the implementation of community projects	Project Participants	IEC in priority projects	Training for community leaders and municipalities as part of the Community-led Alliances and Resource Mobilization component	Closing – sustainability plan implemented	FY23	Closing – sustainability plan implemented
SBCC						
Promote implementation of improved practices in the implementation of	Project Participants	Virtual and Interpersonal communication	Talks, workshops, in-person and online training activities with visual aids, webinars, as described in the FY23	# of trained project participants	FY23	1,011 Trained project participants

Communication Objectives	Main audiences	Tactic	Activities/materials	Indicators	Timeline	Expected results
CDPs in the components of Azure, economic development, alliance and resource mobilization and shared value initiatives			Closing- sustainability plan and FY23 Training Plan			
Build awareness and support for the project at the local, national, and international level	Men 30-60	Collateral material	Audio spots or messages to disseminate through radio or loudspeakers	# audio messages	FY23	68 communities with projects in progress.
	Community Leaders	Digital media	WhatsApp and radio	# reach and interaction	FY23	150 Municipal leaders and office staff supporting the project activities 22 updated digital municipal briefs
		Interpersonal communication	Training (webinars) for COCODEs	# of participants	FY23	
		Digital media	WhatsApp and radio	# reach and interaction	FY23	
	Municipal leaders, office staff	Interpersonal communication	Meetings and Virtual Meetings	#of municipal leaders supporting project activities	FY23	
		Collateral material	Digital Municipal Briefs	# of Digital Municipal Briefs	FY23	
	International institutions and NGOs Private Sector	Interpersonal communication Social Media Media Relations	Meetings and Virtual Meetings Social Media Media Relations	# of agreements	FY23	11 ongoing agreements to collaborate with the project

II. RESOURCES AND SUPPORTING INFORMATION

The CLD Project's resources to carry out this Strategic Communication Plan include the following.

1. Deputy Chief of Party for Alliances and Leverage
2. Alliances and Private Sector Engagement Manager
3. Communication Coordinator
4. Strategic communications consultant
5. Support of CRS' regional communication team
6. Support of CLD's Leadership Team (COP, DCOP PQ)
7. Support of the management team and the technical field team that will implement communication activities as part of their regular project activities
8. Consultants: website developers, radio spot producers, graphic designers, videographers, printers, etc.

The supporting information for this plan includes the following.

1. Cooperative Agreement No. AID-520-A-16-00005
2. USAID Communication Strategy
3. Country Development Cooperation Strategy 2020-2025
4. Audience Research for Development Communication Study (USAID, 2016)
5. CLD Branding Strategy and Marking Plan
6. CLD Leverage and Private Sector Alliances Strategy
7. CLD Qualitative Learning Study on Leadership and Empowerment (CLD, 2018)
8. Implementation Guide for the Global Communication Strategy for Social and Behavior Change Communication in the Highlands of Guatemala. C-Change Project.
9. C-Modules: A Learning Package for Social and Behavior Change Communication (SBCC). C-Change Project. (2012)
10. Interviews with project staff, implementing partners, field visits and workshops for participatory construction of messages and validate activities.

PHOTO BY LUIS COCÓN/ EDUVILIA AGUILAR, COMMUNITY MEMBER, EL NARANJO, SAN RAFAEL PIE DE LA CUESTA, SAN MARCOS.

COMMUNITIES LEADING DEVELOPMENT PROJECT

GUATEMALA

Historically, indigenous Mayan communities, who are a majority in the Western Highlands of Guatemala, have been excluded from participating in the decision-making systems that shape their lives. Their voices have not been heard and their needs remain unmet.

USAID and CRS, through the Communities Leading Development (CLD) Project, contribute to reversing this trend by empowering communities to identify and address their most pressing development needs, in a joint effort with 11 partners from the public and private sectors. With a Community-Based Development (CBD) approach, indigenous peoples, women, and youth participants in the project lead efforts to achieve their vision of well-being.

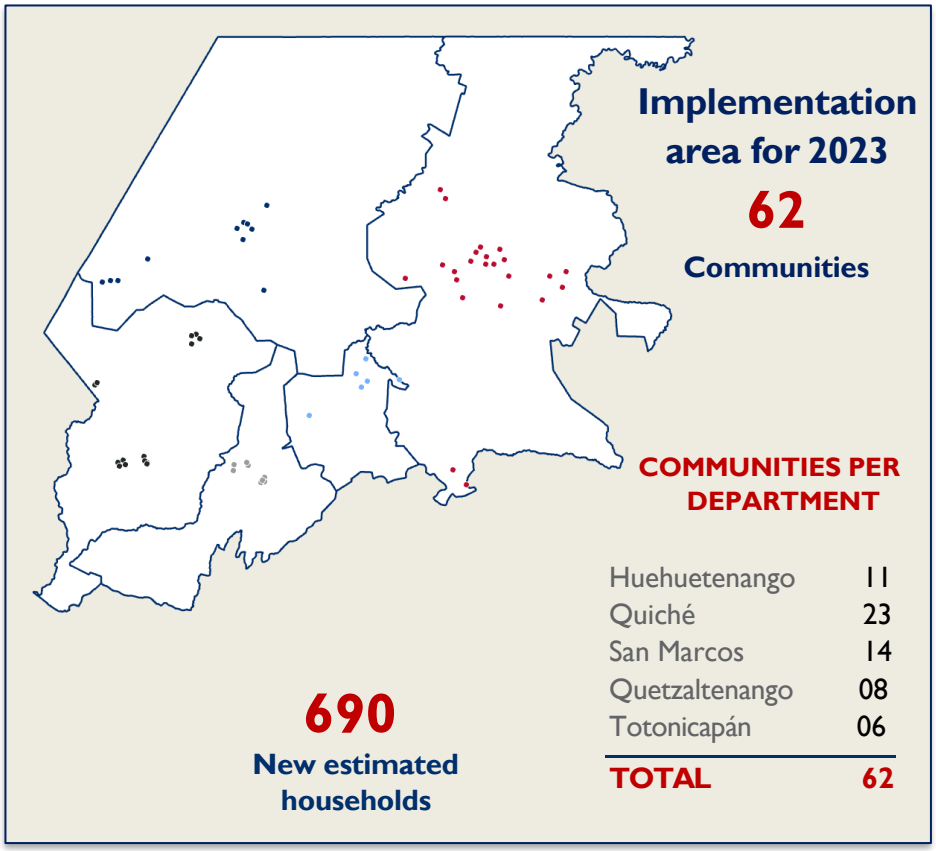
Local governments and strategic allies are working together with CLD and contributing to meet the challenges borne by communities, manifested as development needs, by empowering community leadership, actively searching for markets and establishing alliances for resource mobilization to communities and municipalities.

The CLD project is a catalyst to leverage investments and strengthen the partnership of local and external stakeholders with innovative, sustainable, and scalable development projects that are driven by the community and for the community's benefit.

"I used to haul water on my back in huge jugs that weighed about 80 pounds when I was only 10. I had to help my mother with this type of work like many other children. I could not go to school because I had to work; I only finished first grade. But now, my children have the opportunity to turn on a faucet at home and have clean water. -Community Member, water project participant, Los Trigales, Cunén, Quiché

GEOGRAPHIC FOCUS

The CLD Project reaches 203 communities in the departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán.



Results through August 2022

203
Community Development Plans (CDP's) completed

19,944
Households reached

21,919
People with access to clean water

1,030
People who received cash transfers to reduce the impact of COVID-19

926
Families received assistance in response to the ETA and IOTA storms

175
MSMEs and productive groups implementing best practices

USD$35 million
Investment mobilized from the public and private sectors

PROJECT INTERVENTIONS PRIORITIZED IN CDPs FOR 2023

MARKET – DRIVEN STRATEGIES

35 Projects

Include technical assistance and equipment for water service providers, water systems rehabilitation and rural businesses enterprises

ALLIANCES AND RESOURCE MOBILIZATION

23 Projects

Include community services financed with public resources, fuel-efficient stoves and water filters

EXPECTED RESULTS

300 Youth trained
50 Entrepreneurships strengthened
20 MSMEs have received business development services
2,570 People with access to water

For more information:
Visit our web page
Proyectocld.org

Contact information:
Office of Democracy and Governance
USAID Guatemala
Km. 6.5 Final Boulevard Los Próceres
Santa Catarina Pinula, Guatemala
Tel: (502) 2422-4000

Catholic Relief Services
Diagonal 6 11-97, zona 10,
Edificio Centro InterNaciones Of. 201
Ciudad de Guatemala, Guatemala
Tel: (502) 2362-2173

Communities Leading Development
Attachment G - FY23 Training Plan

Development Objective	Greater security and justice for citizens
FY Covered	October 1, 2022 to September 20, 2023

General Objective	Strengthen the capacities of the CLD team, communities and other local groups
Instrument Number	1

Exchange rate 7.5

No.	Course Name/General Content/Description	Training Objective	Beneficiaries Municipalities/ Department	Target Group	No. of expected participants	Duration (No. of days or hours)	Type of Event	Estimated Cost			Timeline			
								Instruction	Travel	Participants	Q1	Q2	Q3	Q4
1	Administration, operation and maintenance of provision of drinking water services.	Provision of water services	Caritas San Marcos, Caritas Los Altos	WASH+I - Technical Team	5	1.5 days	in-person		$ 270.00					
2	Socialization of learning outcomes - 3 events	Disseminate lessons learned and good practices in the implementation of CLD to different audiences.	CRS Proyects, Caritas San Marcos, Caritas Los Altos, Cáritas Quiche.	CRS Proyects, CLD technical teams and local partners	75	2 hours per event	virtual		$ 500.00					
3	MEAL CLD anual workshop	Reinforce technical skills in MEAL personnel.	MEAL teams from Cáritas Los Altos, Cáritas San Marcos, Cáritas Quiché	MEAL teams from Cáritas Los Altos, Cáritas San Marcos, Cáritas Quiché	9	2 days	virtual	$ 500.00						
4	Training MEAL DPRO	Strengthen competencies on the agency's platform in MEAL topics.	CRS MEAL Team	CRS MEAL Team	2	8 weeks	virtual	$ 800.00						
							Total	**$ 1,300.00**	**$ 770.00**					

FOTO POR LUIS COCÓN/ EDUVILIA AGUILAR, COMUNITARIA/ COMUNIDAD EL NARANJO, SAN RAFAEL PIE DE LA CUESTA, SAN MARCOS.

PROYECTO COMUNIDADES LIDERANDO SU DESARROLLO

GUATEMALA

Históricamente, las comunidades mayoritariamente indígenas Mayas del Altiplano Occidental de Guatemala han sido excluidas de participar en los sistemas de decisión que dan forma a sus vidas. Sus voces no han sido escuchadas y sus necesidades permanecen insatisfechas.

USAID y CRS a través del Proyecto Comunidades Liderando su Desarrollo (CLD) contribuyen a revertir esa tendencia al empoderar a las comunidades para identificar y abordar sus necesidades de desarrollo más apremiantes, en un esfuerzo conjunto con 11 aliados de los sectores público y privado. Con un enfoque de Desarrollo Basado en la Comunidad (CBD), los pueblos indígenas, mujeres, y jóvenes participantes en el proyecto lideran esfuerzos para alcanzar su visión de bienestar.

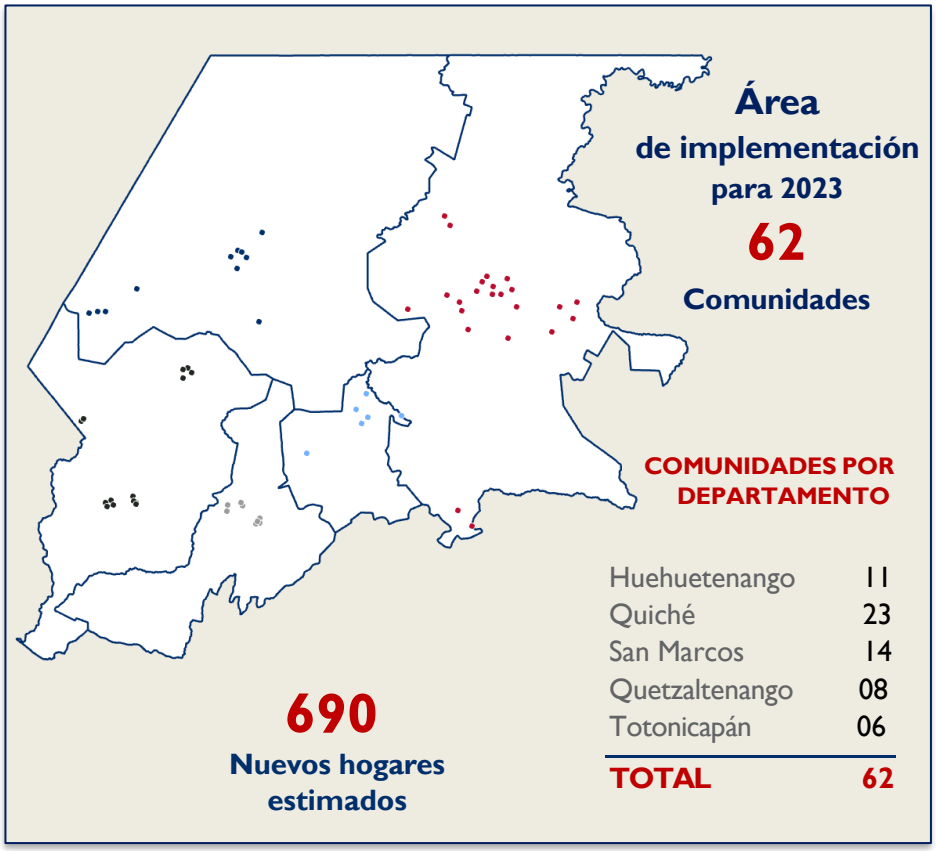
Los gobiernos locales y los aliados están trabajando juntos con CLD y contribuyen a enfrentar los desafíos que sufren las comunidades, traducidos en necesidades de desarrollo, a través del empoderamiento del liderazgo comunitario, de la búsqueda activa de mercados y del establecimiento de las alianzas para la movilización de recursos a las comunidades y municipios.

El proyecto CLD es un catalizador para apalancar inversiones y fortalecer el asocio de los actores locales y externos con proyectos de desarrollo innovadores, sostenibles y escalables, impulsados por la comunidad y para la comunidad.

"Yo acarreaba agua en botes, que pesaban unas 80 libras sobre mi espalda, cuando tenía 10 años. Tenía que ayudar a mi madre con este tipo de trabajo como muchos otros niños. No podía ir a la escuela porque tenía que trabajar; solo terminé el primer grado. Ahora, mis hijos tienen la oportunidad de abrir un chorro en casa y tener agua limpia." – miembro de la comunidad, participante en proyecto de agua, Los Trigales, Cunen, Quiché.

ENFOQUE GEOGRÁFICO

El Proyecto CLD llega a 203 comunidades en los departamentos de Huehuetenango, Quetzaltenango, Quiché, San Marcos y Totonicapán.



Resultados
A agosto 2022

203
Planes de Desarrollo Comunitario completados

19,944
Hogares alcanzados

21,919
Personas con acceso a agua potable

1,030
Personas que recibieron efectivo para enfrentar el impacto del COVID-19

926
Familias recibieron asistencia ante las tormentas ETA e IOTA

175
MIPYMEs y grupos productivos implementando mejores prácticas

USD$35 millones
Inversión movilizada del sector público y privado

INTERVENCIONES DEL PROYECTO PRIORIZADAS EN LOS PDCs PARA 2023

ESTRATEGIAS IMPULSADAS POR EL MERCADO

35 Proyectos

Incluyen asistencia técnica y equipamiento para proveedores de servicios de agua, rehabilitación de sistemas de agua y negocios rurales

ALIANZAS Y MOVILIZACIÓN DE RECURSOS

23 Proyectos

Incluyen servicios comunitarios financiados con recursos públicos, estufas y filtros de agua

RESULTADOS ESPERADOS

300 Jóvenes capacitados
50 Emprendimientos fortalecidos
20 MIPYMES con servicios de desarrollo empresarial
2,570 Personas con acceso a agua

Para más información:
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Proyectocld.org

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COMMUNITIES LEADING DEVELOPMENT

Close Out Plan

Fiscal Year 2023

1 October 2022 – 20 September 2023
Cooperative Agreement No. AID-520-A-16-00005
Recipient: Catholic Relief Services (CRS)
Start Date: 21 September 2016
Completion Date: 20 September 2023
Total Estimated Amount: $50,000,000
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Contents

1. List of Acronyms 3
2. Executive Summary 4
3. Program Overview 4
4. Program Activities Close out 5

Sustainability Plan 5

Documentation of Learning and Results 6

List of Reports Submitted 7

5. Administrative Close Out 7

Management and Staffing 7

Subawards and Subcontracts Close Out 7

Pipeline Analysis 7

6. Property Disposition Plan 8

Disposition Plan 8

7. Financial Close out 9

Outstanding Claims, Financial Obligations, and Invoices 9

8. Annexes 9

Annex A: Disposition Plan 9

Annex B: Exit Plan 9

Annex C: Documentation of Learning and Results 9

Annex D: Subaward and Subcontract Close Out Plan 9

1. List of Acronyms

ACMI	*Asociació́n de Caficultores Miguelenses*
ADESJU	Association for the Sustainable Development of Youth
ADIESTO	*Asociación de Desarrollo Integral La Esperanza Toneca*
ADIM	*El Huerto Alimentación ADIM*
ALIANZA	*Importadora y Exportadora Agrícola e Industrial Alianza SA*
ASDEFLOR	*Asociación Integral de Pequeños Caficultores Flor Del Café De Chanjón*
CDP	Community Development Plan
CLD	Communities Leading Development Project
Copichajulense	*Cooperativa Integral De Producción Apicultores Chajulense*
CRS	Catholic Relief Services
D/COP	Deputy/ Chief of Party
EMMP	Environmental Mitigation and Monitoring Plans
FY23	Fiscal Year 2023
GAM	Women's Support Group
HABITAT	*Fundación Habitat Para La Humanidad Guatemala*
MEAL	Monitoring, Evaluation, Accountability, and Learning
MSME	Micro, Small, and Medium Enterprises
NICRA	Negotiated Indirect Cost Rate Agreement
OCAS	Community Water and Sanitation Offices
PICRES	Rapid and Effective Community Investment Projects
PROCAFE	*Comercializadora con Amor de Café*
RBE	Rural Business Enterprises
Santa Maria	*Cooperativa Agrícola Integral Santa María Responsabilidad Limitada*
SCALL	Rainwater harvesting system
SEGEPLAN	Presidential Secretariat of Planning and Programming
SILC	Savings and Internal Lending Communities
SNIP	National System for Public Investment
UPC	*Asociación Unión De Pequeños Caficultores UPC*
USAID	US Agency for International Development
USG	United States Government
VC	Value Chain
WASH	Water, Sanitation, and Hygiene
WH	Weekly Highlight

2. EXECUTIVE SUMMARY

CRS was awarded Cooperative Agreement AID-520-A-16-00005 for the Communities Leading Development (CLD) project, with an effective starting date of September 16, 2016, and ending date of September 20, 2023, whose objective is to build community assets that lead to economic growth and social opportunity in more than 200 communities in 30 municipalities in Guatemala's Western Highlands.

This document serves as the close out plan for the CLD project. The CLD team established a Sustainability Plan in 2016 that proposes phase down actions to ensure a smooth transition to project close out and to transfer key project results to local actors. The CLD team has put great effort into planning and implementing strategies for the sustainability of the project's key results while gradually reducing project activities. The Sustainability Plan contains a detailed description of project activities for each of the results.

The close out plan entails the closure process, including administrative closure from the point of view of management and staffing, a proposal for the disposal of vehicles, and financial closure. Detailed actions for each of the core components and sub-components are described in the FY23 Work Plan.

The processes of phasing down at the community, municipal and national levels will emphasize local stakeholders' leadership and ownership to carry on key activities based on lessons learned during the life of the project.

In Quarter 1, CRS management and the Operations team will be reduced to manage the smaller project portfolio. The first group of CRS' specialists and coordinators will finalize their field work and submit their final report being released. The phase down of the CLD project begins at the community and municipal levels in Quarter 2. Habitat's subaward with CRS will conclude after the completion of improved household assets activities.

In Quarter 3, all field level activities will be completed along with close out events at the national level. The subawards with the other five partners will conclude and CRS' second group of specialists, coordinators, and field staff will finalize their work and compilations for the final reports.

In Quarter 4, CRS' management and a third group of coordinators will finalize their deliverables of documenting all project experiences and lessons learned for the program. The Operations team will conclude administrative tasks and execute the Disposition Plan detailed in Annex A.

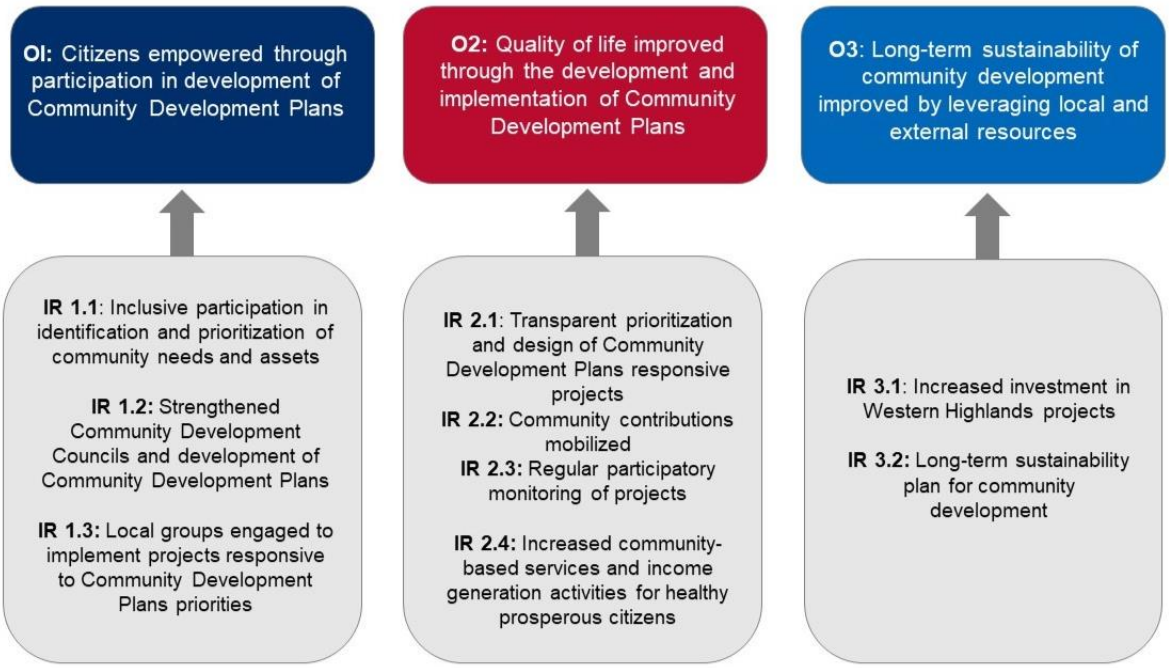
3. PROGRAM OVERVIEW

CRS in consortium with Caritas San Marcos, Caritas Los Altos, and other local partners implements the CLD project in more than 200 communities in 30 municipalities of the Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán departments. CLD combines proven community-based development methodologies, strong relationships with relevant stakeholders, innovative alliance and leverage approaches, and a highly experienced

and diverse management team to promote inclusive, responsive, and sustainable community led development that improves the quality of life for individuals and communities. The project's community empowerment approach seeks to support the self-determination of each community to achieve its shared vision of community development and takes a community-driven approach to alliances and leverage. CLD is a platform functioning to catalyze investment in the Western Highlands in line with the collectively identified needs and priorities of the most marginalized communities.

The CLD results framework is structured around three objectives and corresponding intermediate results that are designed to build community assets that lead to economic growth and social opportunity. Figure 1 summarizes this results framework.

Figure 1: Results Framework for CLD project



The FY23 priorities include a) consolidation of the Long-term Sustainability Plan with the on-going key CLD actions in the field and b) implementation of cooperative agreement-stipulated and CRS-required close out processes.

4. PROGRAM ACTIVITIES CLOSE OUT

Sustainability Plan

The CLD Sustainability Plan presents a conceptual model and plan to sustain three key outcomes of the project: 1) community-based resource mobilization, 2) water service delivery and household assets, and 3) income generation through actions that generate sustained capacities, motivations, resources, and linkages. For each key outcome to be sustainable, the plan describes the strategies to catalyze resiliency and define milestones

toward that sustainability. The work conducted during FY23 is focused on implementing the key strategies as outlined in the Sustainability Plan with the following milestones:

Milestone 1: Register 13 communities that implement projects with municipal resources within the framework of SNIP.

Milestone 2: 34 OCAS with technical capacity strengthened because of the assistance they received from municipal water and health offices.

Millstone 3: Leverage $2,036,500 USD generate by MSMEs and farmers as new income or investments as a result of business development services provided by the CLD project.

Close Out Activities

In Quarter 1, CLD will host two learning events to identify and document key lessons and best practices for future funding opportunities. The first event is for youth-led initiatives that reduce violence and conflict and promote social development. The second event is for MSMEs and farmers who received business development services using USG assisted resources.

In Quarters 2 and 3, CLD will prepare for close out events at the community, municipal, and national levels. The primary purpose of these events is to strengthen the public-private partnerships formed because of USG assistance and to provide accountability to project stakeholders. The CLD team will begin with community level close out events for community leaders, project participants, partner institutions, and other relevant stakeholders. Events with municipal authorities will conclude in February 2022. These events will showcase results and share detailed technical reports with relevant stakeholders at the territorial and municipal levels. Communities will have the opportunity to share feedback about participating in the project. For the national level event, the CLD team will invite higher level ministry officials, representatives from other projects, inter/national non-governmental organizations, and personnel from the USAID mission.

At all events, the CLD team will place special emphasis on the role different actors will play to sustain the most important program strategies and ensure sustainability of the results the project has generated. A detailed table of the activities involved to plan and prepare for these close out events is included in Annex B: Exit Plan.

Documentation of Learning and Results

In Quarter 1, CLD will utilize a detailed plan to document the most relevant learning and achievements that occurred over the life of the project. The primary purpose for each communication material – digitalization, manual and/or audio visual - will showcase results that catalyzed improvements to the lives of families with active Community Development Plans. The communication materials, detailed in Annex C: Documentation of Learning and Results, will be shared with external stakeholders at the close out events and future networking opportunities.

List of Reports Submitted

All required reports up to FY23 Quarter 1 have been submitted in accordance with the terms and conditions of the Cooperative Agreement to the Agreement Officer's Representative.

5. ADMINISTRATIVE CLOSE OUT

Management and Staffing

In Quarter 1, staffing will be reduced by 25 percent. Three manager-level positions of the original five positions will be phased out because of reduced oversight needs. The Operations team will also be reduced corresponding to a smaller portfolio of subawards and subcontracts. The first group of CRS' specialists and coordinators within Value Chain and WASH teams identified to leave will finalize field work and provide final reports.

In Quarter 2, CLD will be implementing project activities and close out events. The CLD Program and MEAL teams will focus on program data compilation and data quality review collection. MEAL will also be responsible for supporting the final evaluation team to gather information.

In Quarter 3, staffing will be further reduced to 57 percent of the original team. The second group of CRS' specialists and coordinators within WASH, Youth, MIPYMES and Rural Business teams will finalize field work and provide final reports.

In Quarter 4, the CRS Operations team will finalize their work with inventories, disposal plan, subawards, and subcontracts. The third group of CRS' management and coordinators within Environmental Compliance, MEAL, Communications, and the Operations team will be responsible for ensuring that all deliverables have been submitted, including documenting all experiences and lessons learned from the program.

Subawards and Subcontracts Close Out

The Annex D: Subaward and Subcontract Close Out Plan includes a list of actions required for close out activities with partners who have subawards with CRS. The conclusion of program activities with the partners will take place at least one month in advance of the closing date. Annex D also includes a timeline of closing dates for subcontracts related to the implementation of community development plans. The close out process for subcontracts takes six weeks to complete before settlement payments.

Pipeline Analysis

As of the expenses reported in the FY22 Quarter 4 SF425, 92 percent of the total budget spending has occurred. CRS requires $3,084,663.98 USD to implement CLD and CDP activities as well as CDP construction in FY23. With an opening balance of $1,384,663.98 USD, CRS anticipates an additional obligation in the amount of $1,700,000.00 USD for the remaining FY23 expenses and project close out costs.

CRS has subawards with six partners and subcontracts with over 20 consultants and vendors who are responsible for supporting project activities, providing goods and rendering services in FY23. Within the FY23 budget of $3,084,663.98 USD, these commitments and staff contracts are valued at $2,463,353.39 USD. Staff are responsible for coordinating, advising, and overseeing program quality as well as ensuring operational excellence. The remaining balance of $621,310.59 USD will be used for travel, other direct expenses and indirect costs. Table A provides an overview of FY23 Budget requirements to implement the program.

Table A: Overview of FY23 Budget

Cost Line Item	FY23 Budget	FY23Q1	FY23Q2	FY23Q3	FY23Q4
Communities Leading Development	$940,596.00	$262,040.00	$266,162.00	$ 253,616.00	$158,778.00
Procurement	-	-	-	-	-
Sub-grants	-	-	-	-	-
Implementation of CDPs	$1,519,694.98	$620,193.49	$555,987.49	$ 300,779.00	$42,735.00
Implementation of CDPs-Construction	$150,000.00	$90,000.00	$60,000.00		
Indirect Costs	$474,373.00	$163,126.00	$157,912.00	$104,123.00	$49,212.00
Total	**$3,084,663.98**	**$1,135,359.49**	**$1,040,061.49**	**$658,518.00**	**$250,725.00**

CRS is applying the current balance to pay for operating costs, employee salaries and benefits, issuing partner advances, and settling invoices from consultants and vendors until the final obligation is issued in November 2022. The final obligation is especially needed to plan, prepare, and implement close out activities mentioned throughout this document in addition to fulfilling financial obligations and supporting operational costs.

To ensure an orderly and comprehensive close out for the program, a finance team has been designated to ensure (i) the liquidation of all advances, (ii) assist management, and (iii) perform financial monitoring so that all expenses will be liquidated and supported in time.

6. PROPERTY DISPOSITION PLAN

Disposition Plan

Vehicles of the project were acquired between 2017 and 2019 and have had heavy field use. CRS requests that USAID authorize that each partner keep the vehicle it has been using for the last several years so that they can provide ongoing support to communities. CRS requests that other equipment purchased also be donated to the respective partners for continued use in other programming. CRS includes a donation list for vehicles in Annex A.

A submission of all electronic copies of reports, documents, studies, photographs, video, and all other published and non-published intellectual property will take place at the end of the project.

7. FINANCIAL CLOSE OUT

Outstanding Claims, Financial Obligations, and Invoices

CRS and relevant partners will ensure accordance with the terms and conditions set forth in 2 CFR 200 and 700.

Close Out Budget and Budget Narrative

Within the FY23 budget of $3,084,663.98 USD, the CLD team has allocated $94,000.00 USD to the CDP close out events, including $24,000.00 USD, MEAL Learning events for $20,000.00 USD, and Final Evaluation for $50,000.00 USD.

8. ANNEXES

Annex A: Disposition Plan

Annex B: Exit Plan

Annex C: Documentation of Learning and Results

Annex D: Subaward and Subcontract Close Out Plan

LIST OF TARGETED COMMUNITIES IN FY23

Communities Leading Development Project CLD

DEPARTMENT	MUNICIPALITY	COMMUNITY	COMMUNITY ID
TOTONICAPAN	MOMOSTENANGO	CHINIMABE	805019
TOTONICAPAN	MOMOSTENANGO	JUTACAJ	805090
TOTONICAPAN	MOMOSTENANGO	PANCA	805325
TOTONICAPAN	MOMOSTENANGO	RACANA	805179
TOTONICAPAN	SANTA LUCIA LA REFORMA	GUALTUX	807016
TOTONICAPAN	SANTA LUCIA LA REFORMA	SAN LUIS SIBILA	807065
SAN MARCOS	EL RODEO	CERRO REDONDO	1214005
SAN MARCOS	EL RODEO	LA UNION	1214070
SAN MARCOS	EL RODEO	SANTA ANA	1214037
SAN MARCOS	EL RODEO	SANTA RITA RUIZ	1214044
SAN MARCOS	SAN MIGUEL IXTAHUACAN	LAS ESCOBAS	1205038
SAN MARCOS	SAN MIGUEL IXTAHUACAN	MULEBAC	1205052
SAN MARCOS	SAN MIGUEL IXTAHUACAN	SICABE BELLA VISTA	1205063
SAN MARCOS	SAN MIGUEL IXTAHUACAN	SUBCHAL	1205062
SAN MARCOS	SAN RAFAEL PIE DE LA CUESTA	EL NARANJO	1211010
SAN MARCOS	SAN RAFAEL PIE DE LA CUESTA	NUEVA LIBERTAD	1211057
SAN MARCOS	SAN RAFAEL PIE DE LA CUESTA	NUEVA REFORMA	1211035
SAN MARCOS	SAN RAFAEL PIE DE LA CUESTA	SONORA	1211030
SAN MARCOS	SIBINAL	CHOCABJ	1208007
SAN MARCOS	SIBINAL	TIBANCUCHE	1208029
QUICHE	CHAJUL	BATZUL	1405006
QUICHE	CHAJUL	CHEMAL	1405017
QUICHE	CHAJUL	ILOM	1405022
QUICHE	CHAJUL	IXLA	1405065
QUICHE	CHAJUL	SOTZIL	1405602
QUICHE	CHAJUL	XETZE	1405055
QUICHE	CHICHICASTENANGO	CHUGUEXA III	1406604
QUICHE	CHICHICASTENANGO	LACAMA II	1406032
QUICHE	CUNEN	OJO DE AGUA CUNEN	1410002
QUICHE	CUNEN	TZANSIGUAN	1410076
QUICHE	NEBAJ	PEXLA GRANDE	1413162
QUICHE	NEBAJ	PULAY	1413062
QUICHE	NEBAJ	XEXUXCAB	1413088
QUICHE	NEBAJ	XONCA	1413089
QUICHE	SAN JUAN COTZAL	BICHIBALA	1411025
QUICHE	SAN JUAN COTZAL	CHICHEL	1411019
QUICHE	SAN JUAN COTZAL	SAJUVAL	1411011
QUICHE	SAN JUAN COTZAL	SAN FELIPE CHENLA	1411028
QUICHE	SAN JUAN COTZAL	VILLA HORTENCIA I	1411015
QUICHE	USPANTAN	CARACOL	1415009
QUICHE	USPANTAN	CHIPAJ	1415025
QUICHE	USPANTAN	EL CHAJ	1415603
QUICHE	USPANTAN	LAS PACAYAS	1415070

QUETZALTENANGO	CONCEPCION CHIQUIRICHAPA	LOS DURAZNALES	911004
QUETZALTENANGO	CONCEPCION CHIQUIRICHAPA	TALMAX	911017
QUETZALTENANGO	CONCEPCION CHIQUIRICHAPA	TELENA	911005
QUETZALTENANGO	CONCEPCION CHIQUIRICHAPA	TUIPOX	911008
QUETZALTENANGO	SAN JUAN OSTUNCALCO	EL TIZATE	909035
QUETZALTENANGO	SAN JUAN OSTUNCALCO	ESPUMPUJA	909107
QUETZALTENANGO	SAN JUAN OSTUNCALCO	LA VICTORIA	909017
QUETZALTENANGO	SAN JUAN OSTUNCALCO	NUEVA CONCEPCION	909024
HUEHUETENANGO	CONCEPCION HUISTA	YULHUITZ	1322026
HUEHUETENANGO	CUILCO	CANIBAL	1304010
HUEHUETENANGO	CUILCO	GUACHIPILIN	1304048
HUEHUETENANGO	CUILCO	HORNO DE CAL	1304049
HUEHUETENANGO	CUILCO	SAN FRANCISCO EL RETIRO	1304042
HUEHUETENANGO	SAN SEBASTIAN HUEHUETENANGO	PUENTE AGUILAR	1320020
HUEHUETENANGO	TODOS SANTOS	CHANCHIMIL	1315012
HUEHUETENANGO	TODOS SANTOS	CHENIHUITZ	1315011
HUEHUETENANGO	TODOS SANTOS	CHICOY	1315007
HUEHUETENANGO	TODOS SANTOS	TUIPAT	1315053
HUEHUETENANGO	TODOS SANTOS	VILLA ALICIA	1315067