

**NOTE TO THE MEMBERS OF THE DEVELOPMENT COOPERATION
INSTRUMENT COMMITTEE**

**Annual action programme 2019 - part II - in favour of Guatemala
to be financed from the general budget of the Union**

1. Identification

Budget heading	21 02 01
Total cost	Total estimated cost: EUR 31 500 000 Total amount of EU budget contribution EUR 30 000 000. This action programme is co-financed in joint co-financing by: - United Nations Children's Fund (UNICEF) for an amount of EUR 1 500 000
Basic act	Guatemala's National Multiannual Indicative Programme (MIP) for the period 2014-2020 and the Development Cooperation Instrument

2. Country background

Guatemala is a multi-ethnic, multicultural and multilingual country with a significant economic potential. Even though its economy has been growing in a steady but moderate manner, Guatemala has one of the highest inequality rates in Latin America along with some of the worst poverty, maternal and child mortality rates in the region and one of the highest child stunting rates in the world, notably in its rural and indigenous areas.

The country ranks 127 out of 189 countries in the Human Development Report of 2018, with poverty affecting 59.3% of the total population and 79% of the indigenous population. Guatemala is one of the most vulnerable countries to natural disasters and to climate change in the world. The country has very low levels of fiscal revenue and structural institutional weaknesses which hamper the implementation of state policies needed to create an equitable and inclusive society that guarantees the provision and protection of basic human rights, such as survival and development. Gender inequality ranked 113th of 159 countries on the 2016 Gender Inequality Index. In rural areas, 59% of indigenous women have no source of income and they only cultivate 15% of the land – usually smaller plots of lower-quality land, which they rent. They usually assume the responsibility of child care although they have limited access to basic services and to information on child care and feeding practices.

Successive food security programmes have been implemented to tackle the child malnutrition crisis. Progress has been slow, owing to insufficient financial allocations, poor sector coordination, and low participation of communities in local

governance, and limited capacities of local institutions. Moreover, social protection programs are fragmented and poorly coordinated.

Stunting prevalence has been reduced in recent years (the prevalence in 1987 was 62.2%), but the pace of change remains unacceptably slow, especially for a country ranked as middle income. It is estimated that 3 million people are currently in situations of food insecurity, meaning that they are applying negative coping strategies, such as food rationing or selling productive assets, to cover their basic food needs.¹ Guatemala has the fourth highest stunting rates in the world (46.5%), revealing the deep structural inequalities.

In March 2019, 1.6 million people in the Central American Dry Corridor were classified in Crisis or worse (IPC Phase 3 or above). Half of them (0.8 million) were in Guatemala. The resilience of smallholders was eroded by the cumulative impact of two consecutive reduced harvests in 2014 and 2015, following drought conditions associated with the El Niño phenomenon. Consequently, the crop losses in 2018 had a severe impact on their livelihoods.

3. Summary of the action programme

Two actions are presented in this action programme: the action “Comprehensive strategy to fight chronic malnutrition” and the action “Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)”. Both actions fall under focal sector 1 “food and nutritional security” of the Multiannual Indicative Programme (MIP).

1) Background:

The action programme aims to tackle the problem of food insecurity and malnutrition in Guatemala. It focuses in six departments of the country with high levels of stunting, acute malnutrition and poverty, namely Huehuetenango, Quiché, Altaverapaz Chiquimula, El Progreso and Zacapa. The targeted area is mainly inhabited by indigenous peoples. In all, around one million people, in particular children, adolescents and women will be targeted by the two actions included in this action programme.

The poor nutrition situation in Guatemala can be explained by a combination of factors which have to do with food security and quality of food intake, household wealth (in turn related to ethnicity), and access to both services and opportunities for living conditions, and limited education. The two Actions included in this action programme will tackle those various causes.

a) The action “Comprehensive strategy to fight chronic malnutrition” will specifically tackle poor child care practices (including poor breastfeeding and complementary feeding), lack of early child stimulation services needed for the adequate development of children, as well as poor water, sanitation and hygiene conditions which are an important cause of disease of children, decreasing their capacity to absorb the nutrients. The action will also address factors contributing to poor investment in nutrition sensitive interventions and services: institutional

¹ WFP, Emergency Food Security Assessment, 2018

deficiencies in local planning and poor community participation in the existing multi-stakeholder governance structures at local level.

b) The action "Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)" will address structural and shock-provoked food insecurity and malnutrition in a context of increased effects of climate change. The principal barriers to food security and nutrition in the targeted departments in the Dry Corridor are a combination of interdependent environment, economic and social factors, which hinder the capacity of the target population to withstand, adapt to and quickly recover from stresses and shocks.

2) Cooperation/Neighbourhood related policy of beneficiary country:

The action programme will contribute to the main instrument of the national development policy of Guatemala, namely the "Katun Plan: Our Guatemala 2032" which encompasses all national development priorities, with emphasis on food security and nutrition, climate change and agriculture, and is in line with the current Food Security and Nutrition Strategic Plan (2016–2020) and the National Strategy for the Prevention of Chronic Malnutrition (2016–2020).

Moreover, the action programme is a direct contribution to the implementation of several sector/multi sector policies and plans:

- The Family Agriculture Programme to Strengthen the Rural Economy (2016-2020) of the Ministry of Agriculture;
- The National Policy of Integral Rural Development (2009);
- The Urban and Rural Development Councils Law;
- The National Policy for Disaster Risk Reduction (2011);
- The National Policy for Comprehensive Early Childhood Development (2010-2020).

3) Coherence with the programming documents:

The two actions included in this annual action programme have been designed in the framework of the EU MIP 2014-2020 and will implement Specific Objectives 1 and 2 of sector 1 of concentration: Food and nutrition security.

Specific objective 1: Improve the nutritional status of women and children under five by providing support for health interventions and food and nutrition education, in particular.

Specific objective 2: Sustainably improve rural families' capabilities by strengthening the national system of food security and nutrition.

It will in particular contribute to following priorities of the MIP 2014-2020:

- Reducing food insecurity, with an emphasis on tackling chronic malnutrition and promoting integrated rural development;

- Improving access to high quality social services for all, with an emphasis on health and education;
- Ensuring that the natural environment is protected and that a sustainable, fair policy on using natural resources and adapting to climate change is enforced;
- Strengthening the state's central and local institutional capacities to make and implement policy relevant policies and raise revenue;
- Promoting gender equality, women's participation and reducing gender-based violence.

4) Identified actions:

a) The action "Comprehensive strategy to fight chronic malnutrition"

The overall objective is to improve the nutrition conditions in children, women in reproductive age and adolescents in the departments of Huehuetenango, Quiché, Chiquimula and Alta Verapaz in Guatemala. The specific objectives are: (1) Improved gender responsive and cultural appropriate child development and child nutrition practices in 22 municipalities of the geographical area intervention; and (2) Improved local governance for food and nutrition security in 22 municipalities of the geographical area intervention.

The action will target 267,000 children under the age of five, 402,000 adolescents and 328,665 women in reproductive age. The geographical coverage is 22 high-burden municipalities in the departments of Alta Verapaz, Chiquimula, Huehuetenango and Quiché. The main stakeholders targeted by this Action are the Ministry of Health, the Ministry of Education and the local authorities of selected municipalities. Indirect management with the United Nations Children's Fund (UNICEF) has been proposed as the implementation modality given their experience of work in Guatemala since 1949 in technical support to central government agencies and ministries as well as because of its work at local and community level work.

b) The action "Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)"

The overall objective is to improve the food security and nutritional condition in the north-eastern' Dry Corridor in Guatemala. This will be achieved through two outcomes: (1) Higher family incomes and the adoption of environmentally sustainable and climate resilient method for access to food, of the most vulnerable families of the El Progreso, Zacapa and Chiquimula; and (2) Improve the nutritional status of women and children under five years of the most vulnerable families of 4 municipalities of the El Progreso and Zacapa.

The number of beneficiaries of the project will be 30,000 persons, with special focus to women, children, families who struggle with a member with a disability and/or elderly persons whose situations are more critical due to the absence of social protection services. It is estimated that a great number of the direct beneficiaries will be indigenous populations. The target group recurrently suffers from hunger or falls into a situation of seasonal or prolonged hunger due to the fragility of their livelihoods to the effects of events or phenomena that have occurred as a

consequence of climate change and environmental deterioration. The beneficiaries of the PRO RESILIENCE are segmented in 3 groups: Landless farmers, (infra)-subsistence farmers, and small-scale surplus farmers.

5) Expected results:

Regarding the action "Comprehensive strategy to fight chronic malnutrition", the expected results are (R1) Improved food intake quality and care knowledge for good nutrition; (R2) Improved capacities of families and communities on water, sanitation and hygiene (WASH); (R3) Strengthened capacities and tools for local government officials and community leaders in Food and Nutrition Security project planning and implementation; and (R4) Pilot projects to enhance local mobilisation and institutional commitment and investment in public nutrition sensitivity interventions.

The action's results respond to the Sustainable Development Goals Agenda 2030: SDG 2.2-end all forms of malnutrition; SDG 3.2 and 3.7- reduce neonatal and child mortality and increase access to sexual and reproductive health; SDG 4.2- access to quality early childhood development care and pre-primary education; and SDG 6.1- access to safe and affordable drinking water for all, 6.2-access to sanitation and hygiene; 6b-participation of local communities in WASH management; 16.2- end violence against children and 17.9- capacity building to implement national plans, while also contributing to SDG 1.4-access to basic services; and SDG 5- achieve gender equality and empower all women and girls.

The results are expected to contribute to poverty reduction since the action will impact outcomes in the context of potential physical growth and development retardation owing to poverty and social disadvantage affecting children in the area of intervention, as well as in terms of better community participation in local development governance mechanisms. The proposed intervention is specifically oriented towards increasing women's access to basic services with special emphasis on indigenous girls, and women in rural areas who primarily suffer from exclusion. It will foster the empowerment of women through improved knowledge and education for better child care and child feeding practices. The integration of all these issues in the Action directly contributes towards objectives 10, 11, and 12 of the EU's Gender Action Plan 2016-2020. In line with the rights-based approach methodology, the Action will maximise impact such as strengthening capacity of the Ministries of health and education as well as of the local authorities as "duty bearers", educating "right holders" on right to health and to food and fostering participation of communities in decisions that can affect their well-being. Also, the Action is anticipated to contribute to addressing gender-biased social norms that discriminate against women, and will address needs of indigenous people that live in very isolated areas, with limited presence of the State.

Regarding the action "Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)" the expected results are: O1: Increased household income thanks to the adoption of environmentally sustainable and climate-resilient methods for producing food (farm level); O2: The effects of soil, forest and water degradation caused by climate change are successfully mitigated by the authorities (at community, municipal and national level); O3: Improved and more inclusive community planning and budgeting by community organizations and institutions with regards adaptation to climate change and mitigation of impact; O4: Promote

knowledge dissemination and behaviour change towards increased dietary quality and diversity.

The intervention is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of: (SDG) 2 (Zero Hunger), specifically, it will contribute to SDG 2.3, and SDG 2.4; and SDG 13 (Climate Action). Furthermore, the action will directly contribute to SDG 17 “Partnerships for the Goals”, SDG15 (Life on Land), particularly SDG 15.1 and 15.3; 5 (Gender Equality and Women’s Empowerment) and 3 (Health and well-being), and SDG 16 (Governance) will be strengthened.

To ensure that this initiative responds to the EU's objectives to promote the elimination of all types of inequality, adapting the intervention to the different needs and taking into account the capacities of the population and non-discrimination principals, each result contains one gender-specific activity and all other activities are gender-sensitive. Principles of Human Rights, Indigenous Rights and protection will be respected during the actions.

6) Past EU assistance and lessons learnt.

This action programme is presented in continuity of the annual action programme 2019 part 1 which included the actions “Programme to support decent employment in Guatemala” and "Programme to support the primary health care system to reduce chronic malnutrition in Guatemala". Both actions are still in the contracting phase.

The two actions foreseen in this action programme will complement the primary health care programme, and will give an impulse in the deployment of a coherent strategy for food and nutrition security under sector 1 of the MIP. The two proposed actions build upon previous EU funded actions in food and nutrition security (budget support programme to the national policy on food security and nutrition, PRO ACT I, ECHO past interventions) as well as lessons learnt from other donor programmes and national programmes. Overall lessons learnt are:

- The need to address all causes of malnutrition through a mix of interventions, nutrition-specific and nutrition-sensitive;
- The importance to adopt a bottom-up structured and community-based approach to have an impact in modifying parental practices related to nutrition. Behaviour change communication is required to influence household purchasing patterns and choices;
- To move away from providing food assistance to respond to shocks, but instead empower beneficiaries to make investments in their own resilient income-generating opportunities;
- Improving the capacity of individuals and institutions to collaborate effectively, at national and sub-national levels, is critical for nutrition impact;
- Allocation of financial resources to gender equality promote activities that favour compliance with strategies that improve opportunities to thrive.

7) Complementary actions/donor coordination.

The two actions included in this annual action programme are predominantly complementary to the programme to "support the primary health care system to reduce chronic malnutrition in Guatemala" (AAP 2019 part 1) which will be implemented by the Pan American Health Organisation in the same four departments (Huehuetenango, Alta Verapaz, Quiché and Chiquimula). They complement also the EU budget support programme to the ministry of agriculture for the implementation of the national family agriculture programme; as well as the project on national information platforms on nutrition, and the EU-FAO FIRST initiative which aims to make agriculture interventions more nutrition-sensitive.

Regards to other donors, coordination is already being ensured through the health and food security donor groups (the EU Delegation is co-leader in both groups), in particular with the Spanish Agency for Development and International Cooperation who carries out a specific program for reducing the chronic child malnutrition (CCM) since 2013, as well as with loan operations in the health sector from World Bank and the Inter-American Development Bank, still in the pipeline. Coordination is also ensured with the programme for climate change adaptation in the Dry Corridor funded by Germany.

Finally, coordination and synergies will be ensured with NGO's projects, in particular with the consortium of NGOs implementing ECHO-funded projects in the Dry Corridor. The implementing partners of ECHO have already been consulted during the identification phase.

Cooperation with other EU-funded programmes: the Euroclima+, especially regarding Resilient Food Production in Chiquimula, resilience-building project in Central America to help leverage regional know-how and experience, benefiting Guatemala.

4. Communication and visibility

The actions included in the present action programme will contain communication and visibility activities which shall be based on specific Communication and Visibility Plans of the Actions, to be prepared with the implementing partners and relevant line ministries. They will have to be approved by the Delegation at the start of implementation. Moreover, communication and visibility measures will be in line with the Delegation's Communication and Visibility Strategy.

5. Cost and financing

Comprehensive strategy to fight chronic malnutrition	EUR 15 000 000
Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)	EUR 15 000 000
Total EU contribution to the measure	EUR 30 000 000

The committee is invited to give its opinion on the attached annual action programme 2019 - part II - in favour of Guatemala.



EN

ANNEX 1

of the Commission Implementing Decision of the annual action programme 2019 – part II -
in favour of Guatemala to be financed from the general budget of the Union

Action Document for a comprehensive strategy to fight malnutrition

ANNUAL PROGRAMME

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation and action programme/measure in the sense of Articles 2 and 3 of Regulation N° 236/2014.

1. Title/basic act/ CRIS number	Comprehensive strategy to fight chronic malnutrition, CRIS number: 2019/ 041-909. Financed under the Development Cooperation Instrument	
2. Zone benefiting from the action/location	Guatemala The action shall be carried out in 22 selected municipalities of four Departments: Alta Verapaz, Chiquimula, Huehuetenango and Quiché.	
3. Programming document	Multiannual Indicative Programme for Guatemala 2014-2020	
4. Sustainable Development Goals (SDGs)	Main SDGs: SDG 2: Zero Hunger SDG 3: Good health and well-being SDG 4: Quality education SDG5: Gender equality SDG 6: Clean Water and Sanitation Other significant SDGs: SDG 1: No poverty SDG 10: Reduced Inequalities SDG 17: Partnerships for the goals	
5. Sector of intervention/ thematic area	Sector 1: Food and Nutrition Security	DEV. Assistance: YES

6. Amounts concerned	Total estimated cost: EUR 16.5 million Total amount of EU budget contribution EUR 15 million This action is co-financed in joint co-financing by: - UNICEF for an amount of EUR 1.5 million			
7. Aid modality(ies) and implementation modality(ies)	Project Modality Indirect management with the United Nations Children’s Fund (UNICEF)			
8 a) DAC code(s)	12240 - Basic nutrition (50%) 11240 - Early childhood education (25%) 14030 - Basic drinking water supply and basic sanitation (25%)			
b) Main Delivery Channel	41122 - UNICEF - United Nations Children's Fund			
9. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	X	<input type="checkbox"/>
	Aid to environment	X	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality and Women’s and Girl’s Empowerment	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input type="checkbox"/>	<input type="checkbox"/>	X
	Disaster Risk Reduction	X	<input type="checkbox"/>	<input type="checkbox"/>
	Inclusion of persons with disabilities	<input type="checkbox"/>	X	<input type="checkbox"/>
	Nutrition			X
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	X	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	X	<input type="checkbox"/>	<input type="checkbox"/>
10. Global Public Goods and Challenges (GPGC) thematic flagships	NA			

SUMMARY

The burden of child malnutrition in Guatemala threatens the survival, development and future earning potential of half of the country's population under the age of five. According to surveys, stunting affects 46.5% of children under the age of five and has a higher prevalence in rural areas (53.0%) and within indigenous (61.2%) populations. The poor nutrition situation in Guatemala can be explained by a combination of factors which have to do with food security and quality of food intake, household wealth (in turn related to ethnicity), and access to both services and opportunities for living conditions, and limited education. Among those factors, the proposed Action will specifically tackle poor child care practices (including poor breastfeeding and complementary feeding), lack of early child stimulation services needed for the correct development of children, as well as poor water-sanitation and hygiene conditions which are an important cause of disease of children, decreasing their capacity to absorb the nutrients. The Action will also address factors contributing to very low levels of investment in nutrition-sensitive interventions and services: institutional deficiencies in local planning and poor community participation in the existing multi-stakeholder governance structures at local level.

This action seeks to reduce Guatemala's child malnutrition burden through an integrated package of early childhood survival and development interventions. Components include:

- Interventions to strengthen individual, household and community knowledge in order to improve feeding practices and early stimulation of their children under five as well as to better monitor and claim quality services from official providers,
- technical assistance to official providers to design, budget and deliver quality early childhood services,
- interventions to expand quality WASH coverage in communities,
- capacity building to enhance local governance for food and nutrition security,
- a call for proposal for grants to stimulate nutrition sensitive municipal projects.

Beneficiaries include children under five as well as pregnant and lactating women of any age. The Action will target 267,000 children under the age of five, 402,000 adolescents and 328,665 women in reproductive age. The geographical coverage is 22 high-burden municipalities in the departments of Alta Verapaz, Chiquimula, Huehuetenango and Quiche, currently home to 40% of stunted children in the country. The selected municipalities in the four departments are mainly rural, with high levels of poverty and indigenous population.

The action is part of a broader strategy based on complementary and simultaneous interventions funded under the first sector of concentration of the 2014-2020 MIP "reduction of chronic malnutrition and food and nutritional insecurity". The Action will complement the programme on Support to the Health Sector (implemented by the Pan American Health Organisation (PAHO)) in the same four departments; and the programme to reinforce the resilience (implemented by the World Food Programme (WFP)) in one of the four departments.

1 CONTEXT ANALYSIS

1.1 Context Description

Guatemala is a multi-ethnic, multicultural and multilingual country with a significant economic potential. Even though its economy has been growing in a steady but moderate manner, Guatemala has one of the highest inequality rates in Latin America along with some of the worst poverty, maternal and child mortality rates in the region and one of the highest child stunting rates in the world, notably in its rural and indigenous areas.

The country ranks 127 out of 189 countries in the Human Development Report of 2018, with poverty affecting 59.3% of the total population and 79% of the indigenous population¹. Guatemala is one of the most vulnerable countries to natural disasters and to climate change in the world². The country has very low levels of fiscal revenue³ and structural institutional weaknesses which hamper the implementation of state policies needed to create an equitable and inclusive society that guarantees the provision and protection of basic human rights, such as survival and development.

Successive food security programmes have been implemented to tackle the child malnutrition crisis. Progress has been slow, owing to insufficient financial allocations, poor sector coordination, low participation of communities in local governance and limited capacities of local institutions.

The index for municipal public services for 2016⁴ shows that the performance of 76% of the municipalities (223 of the 340), was either medium-low or low in terms of public service provision. Social protection programs are fragmented and poorly coordinated.

Stunting prevalence has been reduced in recent years (the prevalence in 1987 was 62.2%), but the pace of change remains unacceptably slow, especially for a country ranked as middle income.

1.2 Policy Framework (Global, EU)

The action will contribute to the MIP's specific objective "Improve the nutritional status of women and children under five by supporting health interventions and food and nutrition education". It addresses several issues and sectors contributing to a more inclusive development in line with the EU Agenda for Change priority "Inclusive and sustainable growth for human development". The action will also contribute to the priorities of the New European Consensus on Development stated in section 3.1 "People, Human development and Dignity" (Paragraphs: 24; 25; 26; and 29) through interventions tackling cross-sectoral efforts to reduce undernutrition and to ensure the early development of children, access to safe drinking water, sanitation and hygiene. Furthermore, this Action is in line with a number of EU policies: European Commission communication on Enhancing Maternal and Child Nutrition in External Assistance (2013), its subsequent Action Plan on Nutrition (2014) and the EU policy framework on food security (2010). The Action is aligned with the EU Action Plan on Human Rights and Democracy (2015) and responds to the Human Rights

¹ National Survey of Living Conditions (ENCOVI 2014).

² 14th position in the Global Climate Risk Index 2019

³ In 2016, Guatemala's tax burden was 10.4 % of its GDP, one of the lowest levels in the world (World Bank)

⁴ Ranking de la gestión municipal 2016, SEGEPLAN. <http://ide.segeplan.gob.gt/sinittablero/>

and Democracy Strategy for Guatemala (2016), in the promotion of economic, social and cultural rights, including the development and equality of indigenous peoples, women, children and youth, as well as in supporting health interventions and food and nutrition education. Finally, the action will directly contribute to meet objectives 10, 11 and 12 of the EU Gender Action Plan 2016- 2020 as further developed in section 3.3.

Regarding the global policy framework, the proposed action is in line with several goals and targets of the SDG Agenda 2030 given its multi-sector approach: SDG 1.4-access to basic services; SDG 2.2-end all forms of malnutrition; SDG 3.2 and 3.7- reduce neonatal and child mortality and increase access to sexual and reproductive health; SDG 4.2- access to quality early childhood development care and pre-primary education; SDG 5- achieve gender equality and empower all women and girls; SDG 6.1- access to safe and affordable drinking water for all, 6.2-access to sanitation and hygiene; 6b-participation of local communities in WASH management; and SDG 17.9- capacity building to implement national plans. Moreover, the Action also considers the recommendations related to children rights and the reduction of inequalities stated in the Universal Periodic Review on Human Rights for Guatemala (2018).

1.3 Public Policy Analysis of the partner country

There are significant gaps in socio-economic policy-making and implementation in Guatemala. Budget allocations for the social sectors lag neighbouring countries and governance arrangements or designation of governing entities for particular areas such as early childhood development, people with disability, provision and quality assurance of water and sanitation services are insufficiently worked out.

The Programme will contribute to the main instrument of the national development policy of Guatemala, namely the “Katun Plan: Our Guatemala 2032” and is in line with the current Food Security and Nutrition Strategic Plan (2016–2020) and the National Strategy for the Prevention of Chronic Malnutrition (2016–2020), ENPDC by its Spanish acronym. The proposed Action will primarily focus on supporting the implementation of the components of ENPDC related to behaviour change and education, water and sanitation as well as the inter-institutional coordination and the reinforcement of local governance for FNS.

Furthermore, this Action will support the Ministry of Education and Ministry of Health efforts in implementing the National Policy for Comprehensive Early Childhood Development (2010-2020) as well as coordination with other government institutions.

Also, the Action will be in line with chronic malnutrition prevention programme of the Municipal Development Institute (INFOM), in particular regarding their support to the municipalities in providing water and sanitation.

1.4 Stakeholder analysis

Target group:

The target groups of the action are 267,000 children (boys and girls) under 5 years, 328,665 women in reproductive age and 402,000 adolescent girls of 22 municipalities from the departments of Huehuetenango, Quiché, Alta Verapaz and Chiquimula of Guatemala.

More than 60% of the target groups are indigenous people and at least 70% will be girls and woman (all ages). The target group are members of families highly vulnerability due living in rural and remote areas, exclude systematically form the public basis services (local or central services).

Due to the weakness of the public information system, there are no statistics available or accurate qualitative and quantitative information on the number and situation of these peoples. In the first semester of the implementation, the project will produce baseline data in order to determine the number and condition of the target group.

Institutional actors:

The Action will work with a wide range of institutional stakeholders who oversee planning, implementing and coordinating nutrition specific and nutrition sensitive actions for the population of the targeted departments. The proposal will support the capacities of the ministry of health, education and social development at the local level to boost nutrition-oriented interventions in local planning.

Ministry of Health and Social Assistance: it has a legal responsibility to provide access to health services at the local level and contribute to the reduction of the chronic malnutrition focused in primary health system. It has the responsibility of supplying primary health services covering the 1000 days' interventions and it also provides early childcare and nutrition counselling. It has a legal responsibility to regulate water provision services and to control water quality. Also it participates at various levels of the food security governance. This work will be in coordination with the other EU intervention implemented by WHO/PAHO and WFP.

Ministry of Education: it has a legal responsibility to provide access to formal education services at the local level and contribute to the reduction of the chronic malnutrition focused in primary schools. The Ministry of Education leads the provision of early child learning services.

Ministry of Social Development is the responsible for public policy regarding the improvement of the welfare of the population living in poverty and extreme poverty. It offers conditional cash transfers to prevent chronic malnutrition. This work will be in coordination with the other EU intervention implemented by WHO/PAHO and WFP.

Local authorities: The project will be support 22 local authorities involved in the project geographic zone. The Municipal child protection offices promote the articulation and the coordination of public, private and local actors that guarantee protection and safeguarding of the rights of children and adolescents in the municipality. Women's municipal offices are responsible for promoting women's participation and development plans to respond to women's demands at the municipal level.

Other institutional key actors:

The Institute of Municipal Promotion (INFOM): it has the responsibility to promote the development of municipalities, through technical, administrative and financial assistance to local governments. The proposal aims to improve the municipal investment according the international and national standards of quality concerned to water and sanitation.

The Secretariat for Food Security and Nutrition: which leads the national agenda on food security, and nutrition in Guatemala, including the national Strategy to Reduce the Chronic Malnutrition and the Food Security National Plan. The action will coordinate closely with the departmental, municipal and community committees for food security and nutrition. The work with SESAN will closely coordinate with the programme to share and capitalize experience of other EU projects, focusing on NiPN, PROGRESAN and the past BS FNS programme.

The Human Rights Ombudsman Office monitors the respect of Human Rights, such as the right to health and food. This institution oversees public administration in the field of human rights and investigates and reports harmful administrative behaviors.

Community level actors:

Local networks in communities: they are the community leaders and members of community organizational structures, including food security commissions, women's associations, members of community radio, parents' associations and organizations to child care provision and child-rearing practices, are the second target group of the action due the considerable influence on the decision makers and community dynamics to improve the child and maternal care.

Local and International NGOs are potential allies at the local level. They usually have presence and influence in specific households and can support the implementation of actions within their target population.

Other key actors for the proposal are academic and the private sector located in the intervention area. The action will aim to strengthen civil society organizations (CSO) role in food security and nutrition governance capacities.

1.5 Problem analysis/priority areas for support⁵

“The human brain develops faster after conception and through the ages of 2-3 than at any other time in life. ... Young children’s healthy development depends on nurturing care—defined as care which ensures health, nutrition, responsive caregiving, safety and security, and early learning....”⁶

Robust scientific evidence shows that “The first three years are particularly critical, as it is a period of rapid brain development and learning. New evidence about early development, particularly from the neurosciences and epigenetics, highlights how sensitive children are to environmental influences in their first 2-3 years of life. Developing secure attachments with their caregivers helps children develop resilience in the face of adversities. Early childhood development programs and interventions such as breastfeeding, recreation and stimulation, support health and nutrition, protect children against stress, increase learning at home, and lay the foundation for learning in school. Early childhood development interventions yield long-term benefits—boosting workplace productivity and income, and reducing inequities.

⁵ Source of data in this section: National maternal and child health survey (ENSMI), 2014 unless specified differently. http://www.ine.gob.gt/images/2017/encuestas/ensmi2014_2015.pdf

⁶ The Lancet Early Childhood Development Series

Optimized early childhood development has demonstrated the long-term economic effects these interventions have on adult outcomes. Suboptimal development of young children is estimated to lead to the loss of roughly a quarter of average adult earning potential. The damaging effects of early deprivation can extend to adulthood, resulting in long-term brain changes that affect language, cognitive functioning, self-control, and emotional reactivity. “⁷

The extreme child malnutrition situation and poor child development in Guatemala, especially in the four targeted departments, are the result of a combination of immediate, underlying and structural causes.

*The main **immediate causes** of malnutrition and inadequate cognitive, emotional and motor skills development are:*

- **Mother's poor health and nutritional status**, which results in 16% of children being born with very low weight in the invention area, and 30% of children under 6 months are already stunted in Guatemala.
- **Inadequate food consumption**, which is the direct result of *prevailing young infant and child feeding practices*, only 65% of children under six months of age receive exclusive breastfeeding, and only 49.7% of 6-23 months children consume a minimum acceptable diet.
- Exposure to **contaminated water, food and household environment** steeply increases **incidence of disease** and decreases the capacity of the child to absorb the nutrients. In the selected areas only 37% of the population have access to an improved sanitation facilities and around one third of households lack soap and water for handwashing⁸.
- **Lack of adequate intellectual and emotional stimulation and exposure to toxic stress resulting from prevailing early childcare and stimulation practices** in the target areas. For example, the prevailing tradition of completely covering babies in cloth and carrying them on the back avoids engagement with the environment (colours, sounds and people) and limits cognitive and emotional development. In the four targeted departments, between 88% and 95% of the children <7 years old were not registered in any early learning programs.

Thus the main **underlying causes** to these inadequate practices on nutrition, hygiene, childcare and early stimulation for young children are:

- **Lack of appropriate knowledge by parents and lack of a supportive environment in the community**, which further prevents change in established and traditional practices and beliefs. A bottle-neck analysis performed by UNICEF in 2012⁹ found that only 0.1% of the women interviewed had adequate knowledge on breastfeeding and only 26% had adequate knowledge on complementary feeding, in spite of the fact that nine in ten women actually have several antenatal visits. This data confirms that **conventional communication strategies** (counselling in periodical visits, generic messages through media) **have a very limited effect on knowledge and behaviour of parents**, especially in rural in populations with strong

⁷ The Lancet Early Childhood Development Series

⁸ República de Guatemala: Encuesta Nacional de Condiciones de Vida, ENCOVI 2014, INE (2015)

⁹ Cuellos de Botella/Barreras relacionados a la reducción de la Desnutrición Crónica”. Informe final de la Línea de Base realizada en los primeros ocho municipios priorizados por el Plan Hambre Cero. Guatemala, Octubre de 2012.

traditional beliefs and culture, low literacy, speaking local languages and strong community pressure to resist change.

- **Limited provision and access of services**, especially in rural and indigenous populations, which in turn is linked to **insufficient public investment**¹⁰ as well as **weak managerial, technical and coordination capacities of local public institutions**. More specifically, local institutions and public officials show specific weaknesses on:
 - Lack of knowledge on bottom-up effective ***approaches to promote behaviour change*** at community and family level.
 - Lack of clarity on ***mandates and accountabilities*** among line ministries at local levels and between ministries and the municipal government. Another impediment is the absence of ***proper functioning manuals or procedures*** for discussion and decision making in the municipal development councils.
 - Lack of an inter-sectoral ***management information system*** to allow effective coordination and inform decision making.
 - Lack of capacity at the municipal and local level to ***design and manage programmes and projects*** (especially for water and sanitation, a specific accountability of the Municipality). This in turn often results in ***inefficient of available resources*** and missed opportunity to access other potential funding sources from national level.
 - ***Barriers to participation*** in decision-making organs at community and municipal level for community members, especially women and youth.
 - ***Intersectoral coordination*** to effectively address malnutrition is also weak. Members of the Food and Nutritional Security Secretariat (SESAN) at different levels (departmental and municipal commissions – CODESAN and COMUSAN) often lack skills and knowledge to perform inter-sectorial work, provide information to prevent malnutrition, carry out nutrition interventions and support communities. Also, high personnel turnover in the institutions limits the continuity of actions and processes. They also fail to present concrete proposals to decision makers in the development council system of municipalities and departments.

Furthermore, there are ***structural causes*** that explain this context:

- ***Insufficient, inefficient and inequitable allocation of public financial resources***. Several analyses by the IMF, the World Bank and UNICEF reflect that the allocation of resources for key priorities for children are overall insufficient, often oriented towards less effective programmes (inefficient) and prioritising better off populations (inequitable).
- ***Poor clarity of leadership, mandates and national strategies***, especially regarding early childhood development and water & sanitation.

¹⁰ According to estimates from the Central American Institute of Fiscal Studies, in the 2007-2013 period, Guatemala invested an average of 3.4% of the Gross Domestic Product in children and adolescents, the lowest percentage of the countries of the Central American region.

In addition to the challenges in the functioning of the Government described above, **social norms** often negatively affect children and women. Gender roles and negative parenting practices can partly explain the high rates of chronic malnutrition in Guatemala. Women usually have a heavy workload meanwhile the household income and other productive resources are controlled by men. This limits women participation in public spaces and decision-making at all levels, denying them the right to play an active part in transforming their reality.

Priority areas for support

On the basis of well-established scientific evidence and good global and local practices, the main approach of the Action is: ***sustained and sustainable strengthening of capacities key municipal actors → So that they can develop and support community level networks of leaders and facilitators to interact with families → So that families adopt optimal nutrition, hygiene, stimulation and childcare practices → So children can develop to their full potential.***

The Action will address the causes explained above. Some of the immediate causes not directly addressed by this Action - such as insufficient availability of food in households and underlying causes such as the provision of health services will be addressed by complementary programmes in agriculture (Budget Support to the Family Agriculture programme-PAFEC) and resilience (to be implemented by WFP), as well as the programme to support primary health care (to be implemented by PAHO). The Action is therefore part of a comprehensive strategy to efficiently tackle causes of malnutrition in four of the most affected departments of the country.

To ensure sustainability and replicability the action will specifically focus on simultaneously some of the immediate, underlying and structural causes identified, rather than providing services directly to children. More specifically, the Action will:

- Enhance the **enabling environment** for child nutrition, water & sanitation, early childhood development by providing technical advice and advocate to:
 - o Improve the **legal and policy framework** of these sectors and
 - o Improve the amount, efficiency and equity of allocation of **public resources**.
 - o Develop an inter-sectoral management information system to allow effective coordination and inform decision making.
- Strengthening of **capacities of municipal institutions, coordination bodies, public officials and community leaders on:**
 - o Effective approaches to promote behaviour change for nutrition, hygiene, stimulation and childcare at community and family level.
 - o Design and manage programmes and projects (especially for water and sanitation)
 - o Identify and address barriers to participation in decision making organs at community and municipal for community members, especially women and youth.
 - o Establishing proper functioning manuals or procedures for discussion and decision making in the municipal development councils.

- Supporting communities directly by:
 - o Establishing and furnishing integrated early child development centres in every community, as a platform to support children, and enable parents to develop adequate practices for nutrition, stimulation, hygiene, and childcare.
 - o Supporting municipal level members of key ministers and the municipal government (as members of COMUSAN) to interact with communities to provide guidance and support for effective adoption of optimal child nutrition, hygiene and development practices.

The action will also support capacities of local governance mechanisms and participation of communities, as well as proposal writing for tailored and timely nutrition sensitive investments and services. Empowerment of local community networks including women's networks or groups will be supported to help them articulate their needs and demands effectively towards local authorities. The Action will help communities establish and roll out communication for development strategies to solidly anchor positive and gender sensitive child-rearing practices at the household, community and facility levels. To secure pertinence and acceptance, these activities will include interpretation and translation of trainings and materials to reflect indigenous cultural and linguistic realities.

The activities will be coordinated with MoH's teams through municipal commissions on health and FNS. Moreover, coordination with the Programme to support the primary health system implemented by PAHO will be ensured through the establishment of a common M&E system as well as the programme steering committees.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Limited technical and institutional sustainability	H	The project has a strong component in capacity-building for local and institutional actors, and absorption of project personnel into public service positions will be promoted to the greatest extent possible.
Environmental risk and climate change	M	The environmental risk is important in Guatemala. The four targeted departments are part of the so-called "Dry Corridor" a territory particularly prone to drought or extreme precipitation which poses significant risk to crops, food, and water availability. The foreseen activities will help the local authorities and community members understand the threats and develop strategies to minimize their impact, increasing resilience of services and livelihoods. UNICEF is prepared to step up cooperation to assist children and families in need in situation of emergency.
Governance and political instability	M	The mix of civil society and official partners at the local, municipal, departmental and central level should exploit maximum opportunity for continuity, anchorage and appropriation of products and services along the project life span.

Local conflicts	M	Local conflicts may, in some areas, pose a risk to both the speed and effectiveness of implementation, e.g. certain localities in Huehuetenango. Activities promoting community participation in municipal decisions and coordination with local counterparts could help to reduce the risk of security incidents.
Resistance to gender equality perspective	M	The Action will support the strengthening of gender equality mechanisms at the community level and, within local entities, duty bearers and civil society. Gender expertise will be included in the project implementation team.
Project staff turn-over	M	The project will have solid management structures in place to keep the project fully staffed and performing continually, including through staff exchanges to maintain personnel motivated and accountable for project progress.
Poor Quality Implementation could be harmful to children	M	Early childhood development programs should be based on scientific research. However, UNICEF will draw on national and local knowledge on early childhood programs to secure quality and cultural pertinence of interventions.
Assumptions		
<ul style="list-style-type: none"> • Political and social stability in the country after 2019 elections. • New authorities in municipalities and in the government continuing the commitment in reducing chronic malnutrition. • Working continuity of relevant members of technical staff in the national institutions and local authorities concerned. • Favourable climate conditions. 		

3 LESSONS LEARNT AND COMPLEMENTARITY

3.1 Lessons learnt

The Action builds on a growing body of global knowledge and best evidence concerning nutrition and early childhood care and development. The Action draws as well upon by the experience of on-going and previous programmes funded by the EU and other donors on nutrition, including the UN.

1. There is ample neuroscientific demonstrating that the development of the brain in early childhood depends on the **interaction of the health, nutrition, cognitive and emotional stimulation and toxic stress** that the child experiences. Optimal development of the child cannot be achieved by addressing, for example, simply nutrition needs^{11,12,13,14}. This evidence motivates the approach proposed in this document.

¹¹ The Lancet: Advancing Early Childhood Development. From Science to Scale. Lancet, 2016

¹² IDB – The Early Years. Child well-being and the role of Public Policy. IDB, 2015

¹³ Jamaica study

¹⁴ Early Child Development Research and its Impact on Global Policy. Eds. Pia Britto , Patri Engle, Charles Super. Oxford University Press, 2013

2. While access to basic services is an important contributor to improving early childhood nutrition and development, **no tangible results can be achieved without addressing parental practices** on child feeding, stimulation, childcare, and hygiene, given that most of the child live occurs in interaction with its parents or caregivers. For example, a recent evaluation of an experience in 4 municipalities of Guatemala found that appropriate counselling was the single most impactful intervention to reduce stunting within a broader package of health and nutrition interventions¹⁵. Therefore, this proposal focuses on individual, family and community behaviours and practices, to complement other efforts dedicated to improving service delivery.
3. **Changing behaviour of parents can only be achieved through a bottom-up structured and community-based approach**, mere messaging has very limited impact. There is a well-developed theoretical framework that establishes that behaviour change in adults requires of a sequential process starting by visualizing and internalising the problem to identifying and implementation actions to address this problem. A well-established socio-ecological model also establishes that addressing development problems requires combined complementary interventions at individual, family, community and institutional levels. A UNICEF study in Guatemala shows that only 4 in 5 mothers coming out of a traditional health service counselling had no recollection whatsoever of information received¹⁶. The Evaluation of the National Policy in Guatemala also showed very limited impact of simple “messaging” to women¹⁷. On the other hand, there are very tangible experiences in Guatemala and the world that demonstrate this. The Lancet series on ECD explicitly acknowledges UNICEF’s community focused approach¹⁸. The AECID evaluation mentioned above clearly concludes that impact requires a participatory and bottom- up engagement and communication approach¹⁹. On the hand recent UNICEF evaluations and studies of nutrition projects in Totonicapán and San Marcos, community-based sanitation and community-based water management clearly demonstrate the sustained impact of bottom-up community-based approaches in changing individual behaviours and social norms.
4. Well established good practices in the development field determine that in order for an intervention to be sustainable and replicable focus should be put on **developing capacities of national and local individuals and institutions, strengthening coordination** mechanisms among individuals, communities and institutions and establishing a **supportive framework** (laws, policies, information systems, management tools, etc.). Thus, this initiative focuses on: a) strengthening of capacities of local public servants of relevant institutions, community leaders and local civil society organizations; b) strengthening national, municipal and local coordination mechanisms; and c) Developing a supportive environment (advocacy and technical assistance to improve policies and laws, development of management information system)

¹⁵ AECID/ISIS LA DIFERENCIA ESTÁ EN EL CÓMO SE HACE: Análisis de la evolución de la desnutrición crónica en cuatro distritos de salud con implementación del Modelo Incluyente de Salud en los años 2013 a 2017 en Guatemala. Forthcoming 2019

¹⁶ UNICEF Guatemala - C4D Case Study: A Healthy Start in Life – Implementing the C4D Strategy for Food Security and Nutrition, 2019

¹⁷ Evaluación Plan Hambre Cero 2012

¹⁸ Lancet 2016

¹⁹ AECID/ISIS, F2019

3.2 Complementarity, synergy and donor coordination

During identification and formulation phase, very close coordination has been ensured with the two other initiatives to be funded under the FNS sector of concentration of the MIP. The programme to "Support the public primary health care system" (AAP 2019 part 1) will be implemented by PAHO in the same four departments (Huehuetenango, Alta Verapáz, Quiché and Chiquimula) and will primarily focus on immediate causes of chronic child malnutrition (CCM) related to health. The "Resilience" programme to be implemented by WFP (AAP 2019 part 2) will coincide with this Action in the Chiquimula department and will focus on other direct and underlying causes of malnutrition, in particular the access to food and cash transfers. Coordination work so far includes the drafting of a coordination strategy for the implementation phase and discussions on a common monitoring and evaluation system for the three actions. Finally, the access to food is also covered by the family agriculture programme (PAFFEC-supported through Budget Support) at national level. All the actions will also be highly complementary with the project PiNN supporting the national information system on nutrition.

Regarding other donors it is important to mention that the WB has recently approved a loan for USD100 million for combatting malnutrition. The beneficiaries will be children < 2 years, mothers and their communities in the seven departments of the ENPDC (including the four departments targeted in this Action). The planned actions include: improving access to drinking water and sanitation, providing nutrition and health packages to mothers and children, cash transfers, improvements in health centres and promoting behavioural changes. Disbursements will start in the second semester of 2020 at the earliest. Coordination is being ensured with the WB office in Guatemala to avoid duplications and maximise synergies and division of labour.

4 DESCRIPTION OF THE ACTION

4.1 Overall objective, specific objective(s), expected outputs and indicative activities

The action is in line with the overall objective and the specific objective 1 of the Sector 1 of MIP 2014-2020 for Guatemala.

The **overall objective** of the Action is “to improve the nutrition conditions in children, women in reproductive age and adolescents in the departments of Huehuetenango, Quiché, Chiquimula and Alta Verapáz in Guatemala”

Outcomes:

Outcome 1: Improved gender responsive and culture appropriate child development and child nutrition practices in 22 municipalities of the geographical area of intervention.

Outcome 2: Improved local governance for food and nutrition security in 22 municipalities of the geographical area of intervention.

Outputs:

Output 1: Improved food intake quality and care knowledge for good nutrition (household and community levels)

Output 2: Improved capacities of families and communities on water, sanitation and hygiene (WASH) – family and local authority level

Output 3: Strengthened capacities and tools for local government officials and community leaders in Food and Nutrition Security project planning and implementation (multi-level).

Output 4: Pilot projects to enhance local mobilisation and institutional commitment and investment in public nutrition sensitivity interventions.

Outputs descriptions:

The output 1 aims to improve knowledge, attitudes and practices relating to child care within the family and community environment. All members will understand, recognize and apply best practices related to healthcare, food and good nutrition of boys and girls under five years and women in reproductive age. The activities include expanding the coverage of public early childhood centers taking into account the high sensitive periods of brain development²⁰. These centers allow mothers, fathers and caregivers to participate with their sons and daughters to learn how to prevent malnutrition. To improve the design, budgeting and delivery of early childhood services, activities will provide technical support to update the current National Policy for Comprehensive Early Childhood Development (2010-2020). The action will also support "Acompañame Crecer" a nutrition intervention of the Ministry of Education in close coordination with other public institutions such the Ministry of Health and the Ministry of Social Development. Output 1 is in line with the international commitment under Scaling up Nutrition (1000 days' windows). All activities will take into consideration an appropriate cultural approach, gender equality and inclusion of persons with disabilities.

The indicative activities for output 1 are:

- Investment to extend the coverage and/or improve 22 childcare public services (one by municipality) for early child education and development. The investment will cover infrastructure, equipment, renovation (better adaptation²¹), and staff's capacities development.
- Provide support and technical assistance to the relevant public institutions on information system in early child care and services.
- Support to community activities such as "nutrition fairs" will take place at least once a month, where families can learn how to better feed their children to reach an adequate nutritional status.
- Provision of specific nutritional supplies and equipment to identify children in risk of malnutrition e.g. growth monitoring supplies ("community blankets" for community growth monitoring and middle upper arm circumference tapes).
- Mapping, (skills) training at community networks (leaders, parents, caregivers...) to promote the actions to prevent undernutrition. The mapping will take into account ethnic and linguistic criteria to ensure an appropriate implementation of the action.
- Develop community plans, guidelines and tools addressed to families with children with disabilities to identify, refer for therapeutic healthcare, and promote their

²⁰ The first 1,000 days of life - the time spanning roughly between conception and one's second birthday - is a unique period of opportunity when the foundations of optimum health, growth, and neurodevelopment across the lifespan are established

²¹ Safety, innovation, friendly environment, disability persons adaptable....

inclusion in social protection programmes (such as cash transfers provided by the Government or subsidies for therapies or medical supplies) and health service household visits in a timely manner.

- Provide technical assistance to the national early childhood government institutions to support the review and update of the National Early Child Development Policy and safeguarding vertical and horizontal policy coherence.
- Advocacy activities and technical assistance to the Ministry of Education to increase the budget and scale up local centres for early child attention.

The output 2 aims to promote the sanitation and hygiene practices and facilities. The project will apply three strategies: 1) the community defecation free through the “Community Led Total Sanitation” as methodology for mobilising communities to completely eliminate open defecation, using their own initiative to build latrines; 2) development of women's leadership and decision making power in water committees for water quality management (chlorination systems) and 3) WASH strategy as a new communication tool which allows the community to observe, analyse, propose and act to jointly resolve quality water consumption problems. In addition, the three strategies will be complemented by the Sanitation Marketing methodology (Product, Price, Place & Promotion) to increase the use of clean and sanitation products. These methodologies will take into account UE principles about water & soil contamination related to climate change (ex: biodegradation products).

The mains activities of output 2 are:

- Training, exchange practices and workshops about child health, food and nutrition care (family and community levels).
- Improved capacities of families and communities to adopt safe practices and enhance access to water, sanitation and hygiene services (WASH)
- Support women organization groups and improve their knowledge and skills in different areas where they would be able to contribute to improve water quality management to ensure safe drinking water for their communities.
- Provide technical assistance (including on environmental issues) to the municipal level to produce community videos that will help to map and recognize the different actors in the community that may be involved in a WASH problem.
- Trainings, technology and tools to develop the community capacities to reduce environmental risks for children in the household and immediate surroundings (smoke, dirty floors, farm animals, stagnant water, etc.).
- Improve the Management Information System to monitor interventions addressed to child and maternal care (early stimulation, health and nutrition services, access to water and sanitation services); adoption of family and community practices regarding child health, nutrition, stimulation and care and WASH-related hygiene; and the actual nutrition and development status of each child and diarrhoea prevalence.

The output 3 focuses on strengthening good governance in food security and nutrition, in order to ensure more effective and integral local planning. It will also focus on community participation and on improving access to information and empowerment of community members so that they can engage in more transparent and accountable processes. The institutional and human capacities for governance at local level determine the way in which the effectiveness of public policies and strategies is attained, especially in service delivery.

Functioning governance mechanisms facilitate gender equality, women's empowerment and the inclusion of youth and marginalized groups. The incorporation of women into community participation bodies and the local governance bodies of food security and nutrition are essential to achieve a comprehensive approach to public nutrition sensitive interventions.

This output seeks to build institutional capacities to articulate the national, department and local level policy and to ensure coherence between the public policy and the implementation of the local plans, to improve the effectiveness and the quality of the public expenditure of the plans in favor of the nutrition programs. The Institute of Municipal Promotion (INFOM) offices, Ministry of Education, Ministry of Health and Ministry of Social Development delegates will be targeted by this output. The Action will also contribute to the improvement of implementation and management skills of municipal projects, its monitoring and impact evaluation.

The main activities of output 3 are:

- Update municipal development plans and investment plans according to nutrition sensitive approach.
- Execute (finance) municipal detonating projects to promote the link between development and nutrition sensitive approach.
- Technical assistance for the planning and promotion of nutrition sensitive approach addressing to the most vulnerable communities within the framework of the Development Council System.
- Strengthen information systems (early warning, monitoring of malnutrition, spending monitoring)²² in particular on woman and children nutrition conditions.
- Community organization with a comprehensive approach to food security and nutrition sensitive actions.
- Social monitoring of public expenditure in food security and nutrition sensitive actions.
- Promotion of human rights, especially the rights of children, girls and women
- Support and consolidate local networks, to influence the improvement of public policy
- Provide technical assistance to municipal staff to develop the capacities for formulation, implementation and monitoring of nutrition sensitive projects with an emphasis on water and sanitation as well as for the development of municipal plans.
- Provide support to municipalities to elaborate regulation manuals and procedures needed to better organize municipal development councils.

The output 4 will finance pilot projects to enhance local mobilisation and political commitment for nutrition. The type of actions under the call includes: information on nutrition (women in particular); support and protection of the well-being of women and children; support the early child care, support the physical and mental health of women, adolescent girls and children; increase the access to water, sanitation and hygiene (WASH), education programmes to improve food and nutrition security on future parents, improve the access to quality education for adolescent girls, support the inclusion/development of nutrition in the objectives of education policies and in core school curricula (including university level), child feeding, breastfeeding and other equivalent actions. At least the lead applicant or one co applicant will be a local authority (or association of local authorities), and a balance between EU contribution and other funds (public resources will be adding

²² Public programs of health and nutrition actions of the 1,000 days, WASH and early childhood development.

value) will have to be respected. Multi actor alliance (ex: private, production or economic sector alliances) will be seek. The call for proposal will be jointly prepared and managed by EU and UNICEF. A horizontal final evaluation will be considerate in order to assess the target compliance. The EU delegation will be involved in each step of the call, evaluation and adjudication. The EU will have a relevant monitoring role of the pilot's projects including field visits. It is expected that several calls will be gradually launched, taking into consideration the process of strengthening of capacities of local authorities foreseen in output 3. Indicative activities for output 4 are:

- Launching of a call for proposals for local nutrition sensitive projects (identification of objectives, priorities and eligibility criteria's).
- Evaluation and selection of the proposals
- Monitoring of the implementation of the projects
- Horizontal evaluation of the actions

4.2 Intervention Logic

As mentioned in previous sections, Guatemala has, on paper, a solid institutional and legal framework for FNS. However, centrally driven strategies often do not produce the expected outputs at local level and sectors are not coordinated enough to ensure that a good mix of nutrition sensitive and nutrition specific interventions are effectively implemented to influence the reduction of malnutrition.

Based on that, this Action includes several nutrition sensitive interventions that will be coupled with nutrition specific interventions foreseen in the Support to the Primary Health Programme (AAP 2019 part I) and the Budget Support programme on Family Agriculture. This Action is therefore proposed within a larger strategy that focuses in tackling immediate, underlying and structural determinants of malnutrition within a defined territory. This approach, based on scientific evidence provided by the Lancet series, has been determinant in defining FNS policies within the EU and beyond. It is also the conceptual framework under which the national multi-sectorial plans for nutrition have been drafted in Guatemala. At the same time, the approach will be to support local initiatives that ensure policy coherence at local level, addressing various key sectors relevant to nutrition, and embracing a comprehensive lifecycle approach to address nutrition needs at all stages of growth and development.

Based on that, it is expected that improving child care and feeding practices of families, as well as their access to early education services will have a positive impact in the cognitive development of the children as well as their physical growth. Supporting the national ECD programme "Acompañame crecer" will be a strong means to ensure early stimulation as well as adequate feeding, but also an important means of transformation of perceptions, practices and norms affecting the situation of children in the communities as well as gender inequalities and discriminations.

Also, better hygiene at home and access to safe drinking water and sanitation will prevent children from contracting acute diarrheic and respiratory diseases which increase the vulnerability to malnutrition of children. It will not only improve the immediate health, dignity and safety of children and parents, but also provide long-term health and socio-economic benefits.

The possibility for communities to implement their own community monitoring and improving their participation in decision-making in the political, social and household spheres, will reinforce their own understanding of the causes affecting their nutritional status and will facilitate their capacity to propose and request solutions to the local authorities. In this sense the Action will stimulate the demand for services from the communities and, in coordination with the Support to the Primary Health Programme, the project will contribute to an adequate response by service providers in all aspects of health and nutrition care, early stimulation, water and sanitation and hygiene, through public municipal services. Indeed, if local entities (duty bearers) have better knowledge of the problems affecting nutrition in the communities, and their technical skills are strengthened, they will be better prepared to coordinate, propose and implement better and more sustainable solutions.

4.3 Mainstreaming

Human rights: UNICEF has established mechanisms to ensure right-holders dignity, safety and protection in all its programmes, as well as the inclusion of the most vulnerable populations.

Indigenous rights and empowerment: The proposed action will respect, consider and strengthen local norms and values, particularly in the indigenous areas of the project.

Gender-transformative approach: A gender action plan will be developed based on the completion of a thorough gender diagnosis. Women's barriers and gaps will be identified in each of the areas of the project intervention, establishing clear parameters to monitor gender issues throughout the intervention, to produce a progress report that will evaluate the investment made. Throughout this process, gender sensitization activities will be promoted with men, boys and girls, based on the identification of social norms of discrimination.

Nutrition-sensitive programming: Actions to prevent stunting and improve family diets of groups in vulnerable situation will be implemented at all intervention levels. A multisectoral social behavior change communication strategy will be designed and implemented based on existing institutions and platforms. Emergency preparedness and response trainings will include specific health and nutrition elements. In coordination with PAHO/WHO, links to local health services will be established to promote health and nutrition interventions to prevent stunting and improve family diets.

4. 4 Contribution to SDGs

This intervention is relevant for the 2030 Agenda. It contributes primarily to the progressive achievement of SDG 2.2-end all forms of malnutrition; SDG 3.2 and 3.7- reduce neonatal and child mortality and increase access to sexual and reproductive health; SDG 4.2- access to quality early childhood development care and pre-primary education; and SDG 6.1- access to safe and affordable drinking water for all, 6.2-access to Sanitation and hygiene; 6b-participation of local communities in WASH management; 16.2- end violence against children and 17.9- capacity building to implement national plans, while also contributing to SDG 1.4-access to basic services; and SDG 5- achieve gender equality and empower all women and girls.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements implemented, is 60 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Decision and the relevant contracts and agreements.

5.3 Implementation modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures²³.

5.3.1 *Indirect management with an international organisation*

This action may be implemented in indirect management with the United Nations Children's Fund (UNICEF). This implementation entails the management of specific objectives, expected outputs and indicative activities described in section 4 to which this modality will contribute to achieving. UNICEF has been selected according to its extensive experience in technical support to central government agencies and ministries as well as because of its work at local and community level work. UNICEF has experienced innovative approaches in early childhood development, participatory water and sanitation solutions and effective communication for development strategies either in Guatemala or abroad which constitute an important added value to this Action. UNICEF has been selected also for its operational capacity as well as its demonstrated technical backstopping capacity from Headquarters.

For the "Output 4: Pilot projects to enhance local mobilisation and political commitment for public nutrition sensitivity interventions" (call for proposals-5ME), definition of "Guidelines" for the call for proposals, identification of selection criteria, evaluation and selection of proposals will be done in close coordination between UNICEF and the European Union Delegation. Monitoring of funded actions will be also be jointly implemented by UNICEF and the European Union Delegation, including regular joint missions to the field.

If negotiations with the above-mentioned entity fail, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 5.3.2.

²³ www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

5.3.2 Changes from indirect to direct management mode due to exceptional circumstances

Should it not be possible for the organisation to award grants, that part of the action may be implemented in direct management in accordance with the implementation modality identified hereafter:

Grants: (direct management)

The European Union Delegation will prepare, with the Ministry of Health and the Ministry of Education, "Guidelines" for the call for proposals, which will define the eligibility conditions.

(a) Purpose of the grants

The objective of the grant is to enhance local mobilisation and political commitment for nutrition. It will contribute to achieve Output 4: Pilot projects to enhance local mobilisation and institutional commitment and investment in public nutrition sensitivity interventions.

(b) Type of applicants targeted

The European Union Delegation will jointly prepare with UNICEF, the Ministry of Health and the Ministry of Education, "Guidelines" for the call for proposals, which will define the eligibility conditions. Indicatively, these conditions should include: information on nutrition (women in particular); protect and support the well-being of women and children; support early child care, support the physical and mental health of women, adolescent girls and children; increase access to water, sanitation and hygiene (WASH), education programmes to improve food and nutrition security on future parents, improve the access to quality education for adolescent girls, support the inclusion/development of nutrition in the objectives of education policies and in core school curricula (including university level), child feeding, breastfeeding and other equivalent actions. At least the lead applicant or one co-applicant will be a local authority (or an association of local authorities), and activities should foster linkages with the institutional part of the programme (described in point 4.1 of this document).

In the Guidelines, particular attention will be given to organizations led by women, as well as cultural approach and inclusion of persons with disabilities. In addition, the Guidelines would require that proposals include a gender sensitive monitoring and evaluation system. This system would include the establishment of specific indicators to measure the extent to which gender equality objectives are met, taking into account cultural and social issues. Also, it would require ensuring a broader and equal access to information for women. In particular, gender mainstreaming would have to be targeted through specific awareness-raising campaigns, particularly in training and capacity building activities.

The essential selection criteria will be financial and operational capacity of the applicant. At least the lead applicant or one co-applicant will be a local authority (or an association of local authorities), and there will be a balance between EU contribution and other funds (public resources will be an adding value). Multi actor alliance (ex: private, production or economic sector alliances) will be sought. The essential award criteria will be relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

It is foreseen that the call will be gradually launched in several phases, ensuring enough time for the monitoring of projects awarded in the last phase of the call. Gradual implementation of the call will allow local authorities to be better prepared to submit proposals thanks to the building capacity component in output 3. The indicative trimester to launch the first call will be the first quarter of 2021.

5.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply keep the phrase if any cases below are included, subject to the following provisions.

The Commission’s authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.5 Indicative budget

	EU contribution (amount in EUR)	Indicative third-party contribution, in currency identified
Indirect management with UNICEF- cf. section 5.3.1	15 000 000	1 500 000
Evaluation-Audit/ Expenditure verification (cf. section 5.9/5.10)	will be covered by another decision	N.A.
Communication and visibility (cf. section 5.11)	N.A.	N.A.
Contingencies	NA	N.A.
Totals	15 000 000	1 500 000

5.6 Organisational set-up and responsibilities

The action will be implemented by UNICEF; however, country ownership and leadership will be a leading principle underpinning the programme. The action will be embedded in the FNS national policies, and the SESAN, the Ministry of Education, the Ministry of Health and local authorities will be the main counterparts of UNICEF for the implementation of the action and its monitoring. The EU Delegation in Guatemala will closely follow-up the operational and technical implementation and will be in charge of the administrative management of the Delegation Agreement with UNICEF.

The organisational set-up of the action will include: A Steering Committee and a Technical Committee at central level as well as the establishment of project field units.

a- **Steering Committee:** This is the key body within the governance structure, which is responsible for the strategic direction of the programme and the oversight of the processes that are essential to ensuring the delivery of the project outputs and the attainment of the programme outcomes. The Steering Committee will meet twice a year and its functions

include approving annual operational plans and budgets to be submitted to the EU, defining and realizing outcomes, monitoring risks and project performance, proposing corrective actions for deviations from plans, and assessing requests for changes to the scope of the project. The membership of the Steering Committee consists of: 1) a delegate of each line ministry; 2) a delegate of the EU; 3) a delegate of UNICEF; 4) the Secretary of SESAN or delegate; 5) A representative of the civil society; 6) Planning Secretariat (SEGEPLAN) and 7) delegates from the other EU projects in the FSN sector. The programme manager/chief will participate as secretary of the Steering Committee, presenting progress reports and address any questions raised by members. Linkages will be ensured with the national coordination mechanism in FNS, CONASAN, where SESAN, MoH, EU and civil society participate along with the other line ministries.

b- Technical Committee: The technical committee will meet quarterly and will be responsible for the day-to-day oversight of project implementation and for providing technical assistance to the Steering Committee. The composition of the technical committee is: 1) the project manager/chief who will chair the meetings; 2) a delegate of UNICEF; 3) a delegate of the EU; and 4) a delegate of SESAN.

c- Field offices: Each Department will have a field office for field personnel and where meetings and coordination with other Agencies and Institutions will take place. Each Department will have a coordinator who will be the chief of Office. These field offices will probably have also an administrator to support management of interventions in the field.

5.7 Performance and Results monitoring and reporting

To monitor activities, three categories of indicators will be defined: output, outcome and impact. A more detailed list of indicators could be defined in contracting stage, but they should revolve around outputs, outcomes and impact indicated in the indicative logframe matrix in Appendix. The definition, number and frequency of these indicators will be defined with institutional and local key actors. The reason for this collective definition is the appropriation of monitoring and accountability activities by institutional partners and program beneficiaries. A joint monitoring and evaluation system will be designed with the Health Programme (PAHO) and the Resilience Programme (PMA) and project surveys will be coordinated. Absolute number of beneficiaries will be monitored and collected regularly with sex and location disaggregation.

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the Logframe matrix.

The reports shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for

independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.8 Evaluation

Having regard to the importance of the action, a mid-term and final evaluations will be carried out for this action or its components via the implementing partner.

The mid-term evaluation will be carried out for problem solving and learning purposes, in particular with respect to providing recommendations for necessary adjustments to the action and for ensuring the integral approach to combat malnutrition, including complementarity and synergies with the other EU funded projects in the FNS sector.

The final evaluation will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that new programmes in the health and education sector might be identified within the next programming cycle.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.9 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the audit shall be covered by another measure constituting a financing decision.

5.10 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

Annex 1- List of Acronyms

C4D	Communication for Development
CATIE	Solutions for Environment and Development
CBR	Community Rehabilitation Approach
CCM	Chronic Child Malnutrition
CECODIT	Community Center for Early Childhood Development
CEPAL	Economic Commission for Latin America and the Caribbean
CLTS	Community Led Total Sanitation
COCOSAN	Community Committee on Food and Nutrition Security
COCODE	Community Development Council
CODEDE	Departmental Development Council
CODESAN	Departmental Food and Nutrition Commission
CODI	Core Diagnostic Instrument
COMUDE	Municipal Development Council
COMUSAN	Municipal Commission on Food and Nutrition Security
CONASAN	National Commission of Food and Nutritional Security
CRC	Convention of the Rights of the Child
ECD	Early Childhood Development
EDIF	Community Family Spaces for Early Childhood Development
ENCOVI	National Survey of Living Conditions
ENPDC	National Strategy for Chronic Malnutrition Prevention
ENSMI	National Survey of Maternal and Child Health
FNS	Food and Nutrition Security
GDP	Gross Domestic Product
GEDS	Specific Social Development Cabinet
IDB	Inter-American Development Bank
INFOM	Municipal Development Institute
IT	Information Technology
KAP	Knowledge, attitudes and practices
MAGA	Ministry of Agriculture, Livestock and Food
MIDES	Ministry of Social Development
MIS	Management Information System
MoE	Ministry of Education
MoH	Ministry of Health and Social Assistance
MoSD	Ministry of Social Development
NGO	Non-Governmental Organization
OD	Open Defecation
ODF	Open Defecation Free
OMPNA	Municipal Office for the Protection of Children and Adolescents
PAFEC	Programa de Agricultura Familiar
PHC	Primary Health Care
PINN	National Information Platform on Nutrition Project
RENAP	National Register of Persons
SBS	Secretariat of social welfare
SEGEPLAN	Planning Secretariat
SEM	Social Ecological Model
SESAN	Secretariat of Food and Nutrition Security

SISCODE	Urban and Rural Development Council System
SINASAN	National System of Food and Nutrition Security
SOSEP	Secretariat of Social Work of the President's Wife
UN	United Nations
UNICEF	United Nations Children's Fund
WB	World Bank
WASH	Water, Sanitation and Hygiene

APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY)

Level	Results chain	Indicators	Sources and means of verification	Assumptions
Impact	The overall objective of the action is to improve the nutrition conditions in children, women in reproductive age and adolescents in the departments of Huehuetenango, Quiché, Chiquimula and Alta Verapáz in Guatemala.	Prevalence of malnutrition among women of reproductive age and adolescent girls		The reduction of chronic malnutrition remains a national priority.
		Prevalence of stunting among children under 5 years of age by sex. (**EU RF 1.3)	Baseline and end of project survey	
		Prevalence of wasting among children under 5 years of age by sex. (*MIP)	Baseline and end of project survey	
		Percentage low birthweight (<2.5 Kg) live births (** EU RF 1.6.)	Baseline and end of project survey	
		Prevalence of acute diarrheal diseases in children under 5 years of age	Baseline and end of project survey	
		Percentage of children under 5 years of age who are developmentally on track in health, learning and psychosocial well-being by sex	Baseline and end of project survey	
Outcome	SO1. Improved gender responsive and cultural appropriate child development and child nutrition practices in 22 municipalities of the geographical area intervention.			Public resources are increased to municipalities for the reduction of chronic malnutrition.
		Status of the National public policy on Early Childhood Development	TBD	Access to health services is improved and supplies and medicines are available in health centers.
		Percentage of infants under 6 months exclusively fed with breast milk by sex (** EU RF 2.2.) (*MIP)	Baseline and end of project survey	
		Percentage of children 6-23 months who receive a minimum acceptable diet by sex. (** EU RF 2.2.) (*MIP)	Baseline and end of project survey	
		Participation rate in organized learning (one year before the official primary entry age) by sex	Registration System of Ministry of Education	
Percentage of parents and primary caregivers in the target communities who have adequate knowledge and practices in infant and young child feeding and the 1,000 days interventions.	Baseline and end of project survey			

		Percentage and number of children receiving early stimulation and responsive care from their parents or caregivers	Baseline and end of project survey	
		Percentage of children who have access to early childhood education (ECE) learning programs by sex	Baseline and end of project survey and Registration System of Ministry of Education	
		Percentage of children under five who benefit from growth monitoring (** EU RF 2.2.)	SIGSA(Ministry of Health Official Registration System)	
		Percentage of population using safely managed drinking water services by sex (** EU RF 1.9, 2.8)	Baseline and end of project survey	
		Percentage of population using safely managed sanitation services by sex (** EU RF 1.10, 2.8)	Baseline and end of project survey	
		Percentage of population using a hand-washing facility with soap and water by sex (** EU RF 2.8)	Baseline and end of project survey	
		Number of communities declared Open Defecation Free (ODF)	Project M&E system	
	SO2. Improved local governance for food and nutrition security in 22 municipalities of the geographical area intervention.	Number of municipalities with plans and budgets that reflect child nutrition priorities, including priorities of the most vulnerable children	Project M&E system (baseline and endline assessments of budgets and plans)	A national strategy for the prevention and reduction of chronic malnutrition is implemented, which supports inter-institutional coordination at the local level
		Proportion of women in managerial positions in local development and FSN committees (COCOSANES, CODESANES, COMUSANES, CODESANES)	Baseline and endline mappings of committee managers to be conducted by the project	
		Number of COMUSAN that achieve required level of capacity and functionality (according to a “red-yellow-green” scale to be defined by the project and local actors	Project M&E system – assessment reports	
Output	Output 1: Improved food intake quality and care knowledge	Number of mothers and fathers and caregivers who have participated in child health and	Project M&E system (database of beneficiaries)	

for good nutrition (household and community levels)	nutrition training, by sex and parent / caregiver		Local authorities and communities understand the importance of ECD for adequate child development and nutrition. Communities identify volunteers who attend capacity building and they compromise to care for the community ECD centers
	Number of primary caregivers who have been sensitized in hygiene practices, by sex	Project M&E system (database of beneficiaries)	
	Number of households (members) reached by nutrition and behaviour change campaigns (radios spots etc.), by sex		
	Number of mothers, fathers and caregivers who have received guidance in nurturing child care	Project M&E system (progress reports)	
	Number of ECD community spaces supported by the program	Project M&E system (progress reports)	
Output 2: Improved capacities of families and communities on water, sanitation and hygiene (WASH) – family and local authority level	Number of water and sanitation project proposals submitted by the municipality with program support	Project M&E system (progress reports)	Municipal corporations have committed to improving the FSN and support the actions taken by the project
Output 3: Strengthened capacities and tools for local government officials and community leaders in Food and Nutrition Security project planning and implementation (multi-level)	Number of activities planned in COMUSAN that involve actions of two or more government institutions	Project M&E system (progress reports)	
	Availability and overall quality of food and nutrition security analysis mechanisms (Qualitative)	Assessment to be done by the Action	
	Number of local Government staff demonstrating improved knowledge of the food security and nutrition situation by sex	Reports from pre- and post- training tests	
	Number of COCOSAN formed with program support	Project M&E system (progress reports)	
	Number of COCOSAN with community monitoring carried out with program support	Project M&E system (progress reports)	
	Number of COCOSAN with a C4D plan developed thanks to program support	Project M&E system (progress reports)	

		Number of communities with a sanitation committee formed thanks to program support	Project M&E system (progress reports)	
		Number of women groups formed with program support	Project M&E system (progress reports)	
	Output 4: Pilot projects to enhance local mobilisation and institutional commitment and investment in public nutrition sensitivity interventions	Number of community members engaged in local projects developed by COMUSAN and COCOSAN or other local actors with program support (disaggregated by sex and age group)	Project M&E system (progress reports)	



EN

ANNEX II

of the Commission Implementing Decision of the annual action programme 2019 – part II - in favour of Guatemala to be financed from the general budget of the Union

Action Document for "Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala"

(PRO RESILIENCE)

ANNUAL PROGRAMME

This document constitutes the annual work programme in the sense of Article 110(2) of the Financial Regulation and action programme/measure in the sense of Articles 2 and 3 of Regulation N° 236/2014.

1. Title/basic act/ CRIS number	"Integral approach to build resilience in communities vulnerable to food insecurity and climatic shocks, especially droughts in Guatemala (PRO RESILIENCE)" CRIS number: LA/2019 /042-188 financed under the Development Cooperation Instrument	
2. Zone benefiting from the action/location	Dry Corridor, Guatemala The action shall be carried out at the following location: Departments of El Progreso, Zacapa, Chiquimula	
3. Programming document	Multiannual Indicative Programme for Guatemala 2014-2020	
4. Sustainable Development Goals (SDGs)	Main SDG(s) on the basis of section 4.4: This action will contribute primarily to SDGs 2 (Zero Hunger) & 17 (Partnerships for the Goals) Other significant SDG(s) on the basis of section 4.4: SDG 5 (Gender equality) & 13 (Climate Action)	
5. Sector of intervention/ thematic area	Sector 1: Food and Nutrition Security	DEV. Aid: YES
6. Amounts concerned	Total estimated cost: EUR 15 000 000 Total amount of EU budget contribution EUR 15 000 000	
7. Aid modality and	Indirect management with the World Food Programme (WFP), limited to Guatemala.	

implementation modality				
8 a) DAC codes	43071 - Food security policy and administrative management - 50% 41010 - Environmental policy and administrative management - 50%			
b) Main Delivery Channel	<i>43071- WFP - World Food Programme</i>			
9. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Principal objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
	Aid to environment	<input type="checkbox"/>		x
	Gender equality and Women's and Girl's Empowerment	<input type="checkbox"/>	X	<input type="checkbox"/>
	Trade Development	X	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input type="checkbox"/>	X	<input type="checkbox"/>
	Disaster Risk Reduction	<input type="checkbox"/>	X	<input type="checkbox"/>
	Inclusion of persons with disabilities	<input type="checkbox"/>	X	<input type="checkbox"/>
	Nutrition	<input type="checkbox"/>	<input type="checkbox"/>	X
	RIO Convention markers	Not targeted	Significant objective	Principal objective
	Biological diversity	X	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	X	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	<input type="checkbox"/>	<input type="checkbox"/>	X
10. Global Public Goods and Challenges (GPGC) thematic flagships	Supporting the poor and food insecure to react to crises and strengthen resilience			

SUMMARY

PRO RESILIENCE aims to improve food and nutrition security of the most vulnerable populations in prioritised municipalities of the Zacapa, El Progreso, and Chiquimula departments in the Guatemalan Dry Corridor through a comprehensive resilience-building approach, ensuring that they have sufficient and adequate food all year. The action is in line with the food security and nutrition component of the Guatemala Multiannual Indicative Programme (MIP) 2014-2020. It has two outcomes, which both respond/implement the specific objective 2 of the MIP as well as the general objective of the action.

The overall objective is: contribute to improve the food security and nutritional condition in the north-eastern' Dry Corridor in Guatemala. This will be achieved through two outcomes: 1) Higher family incomes and the adoption of environmentally sustainable and climate resilient method for access to food, of the most vulnerable families of the El Progreso, Zacapa and Chiquimula; and 2) Improve the nutritional status of women and children under five years of the most vulnerable families of 4 municipalities of the El Progreso and Zacapa. The four outputs of the action are: O1: Increased household income thanks to the adoption of environmentally sustainable and climate-resilient methods for producing food (farm level); O2: The effects of soil, forest and water degradation caused by climate change are

successfully mitigated by the authorities (at community, municipal and national level); O3: Improved and more inclusive community planning and budgeting by community organizations and institutions with regards adaptation to climate change and mitigation of impact; O4: Promote knowledge dissemination and behaviour change towards increased dietary quality and diversity. The target group are in the same territories of PRO ACT I, ECHO past interventions and the other EU interventions in nutrition and/or food security, in particular with the World Health Organization (WHO), the Pan American Health Organisation (PAHO) and the United Nations Children's Fund (UNICEF) (in Chiquimula). The final beneficiaries of the action will be families who recurrently suffer from hunger or fall into a situation of seasonal or prolonged hunger and can be classified into three groups; the action will give a differentiated response to each group segment: 1) People without land; 2) (infra)-subsistence farmers and 3) Surplus producers in fragile conditions. The project aims to support 30,000 direct final beneficiaries, with a priority for women, children, families with members who struggle with a disability and/or elderly persons, indigenous population and all are based in excluded rural areas.

1 CONTEXT ANALYSIS

1.1 Context Description

Guatemala is a multi-ethnic, multicultural and multilingual country with considerable economic potential. It is one of the countries most prone to natural hazards, particularly droughts that are made worse and more frequent by the increasing impacts of climate change. It is estimated that 3 million people are currently in situations of food insecurity.¹ Guatemala has the fourth highest stunting rates in the world (46.5%), revealing the deep structural inequalities.

As one of the most unequal countries in Latin America, with a Gini index of 0.54², poverty levels stand at 50 % in urban areas and 77 % in rural areas; 80% of indigenous populations live in multidimensional poverty. The Chorti indigenous people in Chiquimula, are considered the poorest in the country. Gender inequality ranked 113th of 159 countries on the 2016 Gender Inequality Index. In rural areas, 59% of indigenous women have no source of income. Women only cultivate 15% of the land – usually smaller plots of lower-quality land, which they rent.

In March 2019, 1.6 million people in the Central American Dry Corridor were classified in Crisis or worse (IPC Phase 3 or above). Half of them (0.8 million) were in Guatemala. The resilience of smallholders was eroded by the cumulative impact of two consecutive reduced harvests in 2014 and 2015. The targeted departments are some of the most affected.

Subsistence farmers in the Dry Corridor lost more than half of their maize and bean crops in 2018. Due to the presence of the El Niño phenomenon, the 2019 January-March dry season in the subregion was drier than usual, with cumulative rains estimated to be 60% below the long-term average.³

¹ WFP, Emergency Food Security Assessment, 2018

² Inter-American Development Bank. 2014.

³ GIEWS update

1.2 Policy Framework (Global, EU)

PRO RESILIENCE is designed in the framework of the EU Multiannual Indicative Programme (MIP) 2014-2020 and will implement Specific Objective 2 related to food security, seasonal hunger and building resilience with the following strategic priorities:

- Reducing food insecurity, with an emphasis on tackling chronic malnutrition and promoting integrated rural development;
- Improving access to high quality social services for all, with an emphasis on health and education;
- Ensuring that the natural environment is protected and that a sustainable, fair policy on using natural resources and adapting to climate change is enforced;
- Strengthening the state's central and local institutional capacities to make and implement policy relevant policies and raise revenue;
- Promoting gender equality, women's participation and reducing gender-based violence.

The action is highly coherent with three dimensions of the EU policies framework for development: nutrition, resilience (climate change/risk disaster management) and gender equality. The EU Rights Based Approach was applied for the formulation of the proposal and will be used in the implementation phase, especially in relation to marginalised groups (including indigenous peoples). According to EU standards, PRO RESILIENCE considers the Convention on the Rights of Persons with Disabilities (CRPD), ratified by the European Union as the first human rights treaty, emphasising the importance of mainstreaming disability issues as an integral part of relevant strategies of sustainable development.

PRO RESILIENCE is aligned with the 2013 Nutrition Communication and corresponding Nutrition Action Plan 2014, particularly strategic priority 2 to scale up nutrition actions at country level by incorporating nutrition sensitive actions as effective routes to improve nutrition of all participants. PRO RESILIENCE is also aligned to the Operational Framework and Milestones 2025 of the Nutrition Action Plan.

In line with EU commitments on people-centred programming, this action will foster a) the people component of new EU Consensus on Development as well as b) the planet component. The proposed action is in line with the 2012 Commission Communication "EU Approach to Resilience", the Sendai Framework on Disaster Risk Reduction and the 2015 Paris Agreement.

It also aligns with the EU policies regarding the use of ecosystems to cope with the impacts of disasters,⁴ the climate change adaptation strategy⁵ including the importance of adapting mayor and minor infrastructure to climate change.⁶

The project is designed in the framework of the humanitarian-development interface, which is crucial for building the resilience of the most vulnerable and tackling the root causes of recurrent crises and fragilities. Additionally, the proposed action is coherent with the Action

⁴ Green Infrastructure (GI) — Enhancing Europe's Natural Capital (COM/2013/249 final)

⁵ An EU Strategy on adaptation to climate change (COM/2013/0216 final)

⁶ Adapting infrastructure to climate change (SWD/2013/137 final)

Plan for Resilience in Crisis Prone Countries 2013-2020 as well as the Council Conclusions on Operationalizing the Humanitarian-Development Nexus of 19 May 2017.

Fighting gender inequalities and closing gender gaps in all interventions is a priority for EU development assistance and therefore PRO RESILIENCE will directly contribute to the EU Gender Action Plan 2016-2020. The action is also aligned to the Lima Work Programme on Gender, contributing to gender-responsive climate policies and action plans⁷.

1.3 Public Policy Analysis of the partner country/region

The Government of Guatemala (GoG) is committed to fighting food insecurity and malnutrition and has recently designed and approved several policies and programmes which underpin this commitment. The Government policy initiatives facilitate the sustainability of interventions. The National Development Plan, “K’atun: Our Guatemala 2032”, which was approved in 2014, encompasses all national development priorities, with emphasis on food security and nutrition, climate change and agriculture.⁸

The Secretariat of Food Security and Nutrition (SESAN) has launched the Food Security and Nutrition Strategic Plan 2016-2020 (PESAN), covering the spectrum of determinants of food insecurity and malnutrition. The National Strategy to Reduce Chronic Malnutrition (ENPDC)⁹, which in the Dry Corridor prioritizes the Chiquimula department. PRO RESILIENCE will directly contribute to the priorities of the ENPDC in the prioritized departments of Chiquimula, and expand them to the departments of Zacapa and El Progreso.

PRO RESILIENCE is a direct contribution to the implementation of the Family Agriculture Programme to Strengthen the Rural Economy 2016-2020 (PAFFEC) of the Ministry of Agriculture, Livestock and Food (MAGA, Spanish acronym for Ministerio de Agricultura, Ganadería y Alimentación), particularly gender components. The PAFFEC 2016-2020 aims to guarantee food production and boost local economies, with the strengthening of the capacities of rural families in terms of satisfying their basic food needs and better market access. PRO RESILIENCE is in line with the National Policy of Integral Rural Development (PNDRI) 2009 and directly contributes to three of its strategic priorities: 1) attention to malnutrition with an emphasis on chronic malnutrition; 2) promotion of investment programmes; 3) conservation and promotion of areas for the cultivation of basic grains. By recognising the importance of social organization and local governance, specifically under result 3 of the action, PRO RESILIENCE directly contributes to the Urban and Rural Development Councils Law. In line with the National Policy for Disaster Risk Reduction 2011, PRO RESILIENCE supports the identification, analysis and assessment of the risks, strengthening early warning activities at local level, and incorporating risk management, to reduce environmental vulnerability and risks.

⁷ Continuing and Enhancing Gender-responsive Climate Change Action under the Lima Work Programme on Gender (<https://unfccc.int/sites/default/files/673.pdf>).

⁸ Plan Nacional de Desarrollo K’atun - Nuestra Guatemala 2032

⁹ Estrategia Nacional para la Reducción de la Desnutrición Crónica

Government institutions increasingly recognize the country's vulnerability to the impact of climate change and the urgency to act accordingly also in line with the Framework Law to Regulate Vulnerability Reduction, Mandatory Adaptation to the Effects of Climate Change and Greenhouse Gas Mitigation¹⁰. In 2015, following the Paris Agreement, Guatemala submitted its Nationally Determined Contributions (NDCs) to the United Nations Framework Convention on Climate Change (UNFCCC)¹¹ and drafted the National Climate Change Action Plan, which PRO RESILIENCE contributes to by tackling NDC's adaptation main priorities: human health, agriculture and food security.

1.4 Stakeholder analysis

PRO RESILIENCE aims to improve food security and nutrition of the most vulnerable populations in 8 municipalities of Chiquimula, Zacapa and El Progreso. The number of beneficiaries of the project will be 30,000 persons, the priority are women, children, families who struggle with a member with a disability and/or elderly persons whose situations are more critical due to the absence of social protection services. It is estimated that a great number of the direct beneficiaries will be indigenous populations. The target group recurrently suffers from hunger or falls into a situation of seasonal or prolonged hunger due to the fragility of their livelihoods to the effects of events or phenomena that have occurred as a consequence of climate change and environmental deterioration. The target group are in the same territories as PRO ACT I, ECHO past interventions and other EU interventions in nutrition and/or food security, in particular WHO/PAHO and UNICEF (in Chiquimula). The beneficiaries of the PRO RESILIENCE are segmented in 3 groups: Landless farmers, (infra)-subsistence farmers, and small-scale surplus farmers.

People without access to land whose daily labour is their main source of income. These are people with capacity to be formally employed or self-employed. They are completely excluded from basic-local social organizations and networks and have no access to financial services.

People with subsistence or infra-subsistence farms: These are producers for their own consumption, with plots up to 1.4 hectares. Their land is degraded, over exploited and negatively affected by accelerated deterioration. Generally, no land conservation is practiced, there are no natural water sources and houses do not have basic conditions, such as sanitation, drinking water, electricity, etc. Community access paths and roads are scarce and mostly in bad conditions. Some of these people form part of social organizations, but not all of them, depending on the distance and infrastructure conditions to mobilize them between communities and city or economic centres. They are also persons completely excluded from financial services. Their source of income is subsistence farming for self-consumption and day labouring during most of the year.

People with low surplus production in fragile conditions: These are producers that manage to produce a surplus for commercialization; nevertheless, they are in a fragile system that is affected by external events, climatic or otherwise. They are outside the formal market systems

¹⁰ Ley Marco para Regular la Reducción de la Vulnerabilidad, la Adaptación Obligatoria Ante los Efectos del Cambio Climático y la Mitigación de Gases de Efecto Invernadero. Decreto 7-2013

¹¹ Contribuciones Nacionalmente Determinadas, 2015

because of a lack of records and have little training in administration and finance. Although their production could potentially stock a local/small market or generate employment, their limited access to financial services does not allow them to stabilize and grow economically.

Due to the weakness of the public information system, there are no statistics available or accurate qualitative and quantitative information on the number and situation of these peoples. In the first semester of the implementation, the project will produce baseline data in order to determine the number and condition of the target group.

PRO RESILIENCE will work directly with central and territorial government institutions:

The primary government counterpart will be the Secretariat for Food Security and Nutrition (SESAN), which leads the national agenda on food security, and nutrition in Guatemala, including the ENPDC and the PESAN. PRO RESILIENCE will coordinate closely with the departmental, municipal and community committees for food security and nutrition.¹² The work with SESAN will closely coordinate with the programme to share and capitalize experience of other EU projects, focusing on NiPN, PROGRESAN and the past budget support FNS programme.

The Ministry of Agriculture, Livestock and Food will be the main implementing partner for the proposed action at territorial level, particularly the rural extension unit (DICORER). Recent policy initiatives, such as the PAFFEC, show MAGA's increased commitment to resilience-building and climate change adaptation. The work with MAGA will be closely coordinated with the EU BS programme PAFFEC.

PRO RESILIENCE will support the Ministry of Health and Social Assistance in implementing public health policies. This work will be in coordination with the other EU intervention implemented by WHO/PAHO and UNICEF.

The project will be support 8 local authorities involved in the project geographic zone. PRO RESILIENCE will coordinate with the 3 mancomunidades present in the region to strengthen food security governance capacities. The approach used by PRORESILIENCE is based on the Territorial Approach to Local Development (TALD) criteria¹³.

The National Coordinator for Disaster Reduction (CONRED) is responsible for emergency preparedness and response. CONRED has community, municipal and departmental extension committees¹⁴ responsible for the design and supervision of response plans, which will be strengthened, updated and monitored by PRO RESILIENCE.

¹² According the Law: Departmental Council for Food Security and Nutrition (CODESAN), Municipal Council for Food Security and Nutrition (COMUSAN) and Community Council for Food Security and Nutrition (COCOSAN). No risk to duplicate coordination mechanisms.

¹³ The TALD is a dynamic bottom-up and long-term process based on a multi-actor and multi-sector approach, in which different local institutions and actors work together to define priorities, as well as to plan and implement specific strategies to generate incomes and promote well-being, and to increase the resilience of populations living in a given territory. The territory is indeed defined as a localized set of community, social, natural and private resources and capacities.

¹⁴ Departmental Coordinator for Disaster Reduction (CODRED), Municipal Coordinator for Disaster Reduction (COMRED), Community Coordinator for Disaster Reduction (COLRED)

Other key actors for Pro Resilience are academic and the private sector^{15,16}, the financial actors and the academy located in the Dry Corridor. Relevant economic actors are AGEXPORT¹⁷, cooperatives, small financial institutions and producers' association. The action will aim to strengthen civil society organizations (CSO) role in food security and nutrition governance capacities. The EU has an ongoing CSO Roadmap in Guatemala (2018-2020).

1.5 Problem analysis/priority areas for support

The main problem to be addressed by the action is structural and shock-provoked food insecurity and malnutrition in a context of increased effects of climate change. The principal barriers to food security and nutrition in the targeted departments in the Dry Corridor are a combination of interdependent environment, economic and social factors, which hinder the capacity of the target population to withstand, adapt to and quickly recover from stresses and shocks.

Economic factors: Barriers to income-generation opportunities

A significant number of the population in targeted areas does not have economic resources to produce their own food or generate incomes to cover their basic needs. The targeted departments have high poverty levels (41% El Progreso, 54% Zacapa, 59% Chiquimula) and structural inequalities. In Chiquimula, the poverty rate among the indigenous population is 85%, revealing the high ethnic inequality and discrimination¹⁸.

In the targeted departments, many employment options do not generate enough income to cover the basic food basket (El Progreso 50.3%, Zacapa 48% and Chiquimula, 56.4%) or basic living needs (El Progreso 77%, Zacapa 70.4%, Chiquimula 82.7%)¹⁹.

There is a lack of access to land, financial exclusion and lack of institutional presence and support for formal requirements such as legalization and registration for commercialization. Value chain analyses of small-scale agricultural and non-agricultural products in Chiquimula reveal that the main barriers are low organizational and associativity among producers as well as inadequate infrastructure conditions, such as unpaved roads, which cannot be used during heavy rainfall, to purchase inputs and commercialize products.²⁰

The most common crops, maize and beans, are at the same time some of the most vulnerable to irregular rainfall. Because of a combination of low soil quality and certain agricultural practices, agricultural productivity in the targeted areas is low (between 14-18 quintals of maize per manzana)²¹.

¹⁵ Many foundations to the private sector are present in the region (main in the urban areas).

¹⁶ The relationship between rural and indigenous communities and the private sector is quite conflictual. Conflict sensitivity considerations should be applied in the implementation stage.

¹⁷ Asociación de la Gremial de Exportadores de Guatemala.

¹⁸ Encovi 2006

¹⁹ Revisión Estratégica de la situación de seguridad alimentaria y nutricional en Guatemala con énfasis en la desnutrición crónica y sus determinantes, Asociación de Investigación y Estudios Sociales 2017

²⁰ Estudio de potencial económico y propuesta de mercadeo territorial del departamento de Chiquimula Instituto de Investigaciones Económicas y Sociales (IDIES) de la Universidad Rafael Landívar

²¹ "Fortalecimiento del sistema de producción de agricultura familiar campesina en los municipios de Cabañas, Huité, San Diego del Departamento de Zacapa", Mancomunidad Montaña El gigante

In the El Motagua watershed, only 38% of the population have access to the basic rural food basket²². 28% of households with children under 5 years old are feeding inadequately and as a consequence have a degree of malnutrition; it has been identified that 26% of children had low birth weight problems in the territory.²³ In the Motagua²⁴ watershed, 63% of the families are producers of basic grains of which only 9% of families have surpluses in production which allows them to obtain resources to buy food.²⁵ 80% of households do not consume fruit or vegetables regularly.²⁶

The average daily income for day labour in the region is 5 USD per day, and subtracting costs for transport as labour sites are generally far, leaves little to cover basic needs.²⁷ Some 84% of women in the area of the watershed do not have any kind of income of their own.²⁸ Around 83.4% in Chiquimula are day labourers.²⁹ Two thirds of the population only have basic grain reserves which last less than one month and therefore do not cover the normal lean season.³⁰

Vulnerable populations in the targeted areas do not have sufficient access to food. Application of the Fill the Nutrient Gap tool in 5 regions of Guatemala revealed that the percentage of households that could not afford an adequate diet ranged from 32 to 71%. In the departments that correspond to the Pro-Resilience area of intervention 69 % of households could not afford an adequate diet.³¹ A high number of the population in Chiquimula (48,2%), Zacapa (13.6%) and El Progreso (17.2%) are currently in situations of food insecurity.³² According to the latest IPC assessment March-June 2019, 21,000 people in El Progreso (10% of the population), 44,000 in Zacapa (18% of the population) and 223,000 in Chiquimula (49%) are in IPC phase 3 or above. Some 60% of the food insecure population is applying coping strategies to cover immediate food needs, that negatively affect their livelihoods in the long-term, such as selling land.³³ According the 2019 Oxfam report on monitoring the nutrition situation in the Dry Corridor in Guatemala, nearly 6,000 children under 5 years will need food aid to reduce the acute malnutrition during seasonal hunger in the three departments of PRO RESILIENCE.

In rural areas, the average income of women per month is around 30 USD lower than men's incomes.³⁴ In Chiquimula, for example, 32.4% of the women population are economically active, the vast majority in activities with low income without decent work conditions.³⁵

In the department of Chiquimula, only 32.4% of the women are economically active, the vast majority in unprofitable and undignified conditions³⁶. A study on the situation of rural women

²² ENSMI 2015

²³ ENSMI 2015

²⁴ Motagua watershed near to Dry Corridor and the municipalities of the target group

²⁵ Diagnóstico participativo "Área de Desarrollo Territorial Cuenca el Motagua "Fundación Ayuda en Acción, Programa Nacional Guatemala, Área de Desarrollo Territorial Cuenca El Motagua

²⁶ Ibid.

²⁷ Ibid.

²⁸ Ibid.

²⁹ Evaluación del estado nutricional y de la seguridad alimentaria de poblaciones vulnerables del corredor seco centroamericano (SMART), Arbeiter-Samariter-Bund 2016

³⁰ Ibid.

³¹ Fill the Nutrient Gap: Key Findings from Guatemala. WFP 2017.

³² Emergency Food Security Assesment, WFP 2018

³³ IPC assessment 2019

³⁴ Survey of 2015 (ENEI-1 2016)

³⁵ Estudio de potencial económico y propuesta de mercadeo territorial del departamento de Chiquimula - Instituto de Investigaciones Económicas y Sociales (IDIES) de la Universidad Rafael Landívar

in Chiquimula identify the main barriers to gender equality and women's economic empowerment as the following: (a) Lack of inputs or investment capital for their businesses, limiting their access to their own assets; (b) Lack of productive training and improvement of quality (c) Lack of specialized technical assistance with an equality approach, excluding them from commercial opportunities; (d) Lack of opportunities and information on alternatives in local markets excluding them from participating in profitable opportunities.³⁷ An analysis of women's situations in the area of the Mancomunidad Montaña El Gigante, which includes various municipalities which will be targeted by PRO-RESILIENCE, reveals that 84% of women work in the agricultural sector, most of them in subsistence farming³⁸.

³⁶ IDIES. Estudio de potencial económico y propuesta de mercadeo territorial del departamento de Chiquimula - Instituto de Investigaciones Económicas y Sociales (IDIES) de la Universidad Rafael Landívar

³⁷ I bid.

³⁸ Sistematización de diagnósticos sobre la situación de la participación de las mujeres en los procesos de desarrollo social, en el área de influencia de la Mancomunidad Montaña el Gigante.

The intervention area suffers from severe malnutrition, particularly:

Key Indicators of malnutrition in Guatemala and the project intervention areas (ENSMI 2015)				
Indicator	National Average	Chiquimula	Zacapa	El Progreso
% Stunting in children < 5	46.5	55.6	40	29.1
% Acute malnutrition < 5	0.7	0.4	0.5	1.6
% Overweight and obesity in WRA	52	47.2	51.8	54
% WRA BMI <18.5 (Thinness)	2.9	2.6	4.5	4.8
% Anemia in children <5	32.4	40.3	43.4	35.6
% Anemia in WRA	14.5	16.1	21.1	20.3
% Anemia in Pregnant women	24.2	17.6	36.5	29.8
% Exclusive breastfeeding <6 months	53.1	ND	ND	ND
Median duration of exclusive breastfeeding in months	4	3.8	ND	ND
% women Height < 145 cm	25.3	23.3	15.5	11.2
% Pregnant women with iron 90 days or more	29.3	34.6	39.5	39.6
% children < 5 received iron sup	19.7	21.1	25.4	26.5
% children < 5 received deworming	42.3	44.4	50.2	46.9

Nutrition and disability are closely linked as malnutrition can directly cause or contribute to disability, and disability can lead to malnutrition. Infants and children are in a particularly vulnerable condition as early life malnutrition has long-term effects.

Environment factors: Climate-related shocks and accelerated environment degradation

The extension of the lean season because of recurrent droughts in the Dry Corridor, exacerbated by the El Niño phenomenon, has significantly increased seasonal food insecurity and malnutrition over the past decade. The targeted areas have been affected by seven years of consecutive drought. Consultation with communities and local authorities in the department of Zacapa show that over the past 20 years, there was only one year of good agricultural production.³⁹ Agricultural productions over 12 of the past 20 years were negatively affected by climate-related shocks⁴⁰.

The increased frequency and intensity of climate related shocks has led to the over exploitation of natural resources. Scarcity of water in combination with poor management of natural resources and unsustainable agricultural practices is evidenced by significant levels of land degradation. Unsustainable production practices and habits, such as inadequate fertilizers and pesticides and monocropping, lead to further environmental degradation, including erosion, loss of biodiversity and deterioration of watersheds.

A profound analysis of the hydric situation in Chortí areas in Chiquimula reveals that only 4% of subsistence farmers have access to irrigation, increasing the vulnerability of the large majority that does not have any irrigation to even minor climate-related shocks.⁴¹ In the intervention areas, almost all energy consumption in rural areas comes from burning firewood (Zacapa, 76.1%, 63.9% El Progreso, 91.4% Chiquimula)⁴².

The FewNet food security perspective for Guatemala (June 2019 - January 2020) forecasts that accumulations of rain during May and June could reach or exceed the average, which would allow the adequate development of *Primera* crops, with the exception of the Dry

³⁹ Seasonal Livelihood Programming, municipality of Zacapa, WFP 2016

⁴⁰ Ibid.

⁴¹ Balance hídrico 2010 de la región Chortí en Guatemala, Documento Técnico, IARNA

⁴² VI ENSMI 2014-2015

Corridor, where erratic and scarce rains and high temperatures will cause significant crop losses.

With 3.4%, Guatemala has one of the highest deforestation rates in the Americas, and deforestation makes areas particularly vulnerable to landslides.⁴³ According to the El Gigante Association, women's participation in the intervention area in local development plans and risk reduction committees is still very limited.⁴⁴

Social factors: Weak local governance and exclusion of the most vulnerable from formal institutions

Weak inter-institutional coordination adversely affects the state's capacity to implement policies. Coordination and information flows between central government level and local extensionists are inefficient or non-existent.⁴⁵

The majority of PRO RESILIENCE beneficiaries do not form part of formal institutions and are therefore excluded from decision-making processes. Community development committees (COCODES) often exclude the most vulnerable, do not meet regularly and have no established goals, action or development plans. Consequently, communities have no medium- or long-term development visions and community engagement and participation is weak.

Women have limited access to key information and strategic decision-making opportunities in social organizations at all levels. In the Montagua watershed 80% of presidency positions in COCODES are assumed by men and only 12% by women⁴⁶.

⁴³ Revisión Estratégica de la situación de seguridad alimentaria y nutricional en Guatemala con énfasis en la desnutrición crónica y sus determinantes, Asociación de Investigación y Estudios Sociales 2017

⁴⁴ Sistematización de diagnósticos sobre la situación de la participación de las mujeres en los procesos de desarrollo social, en el área de influencia de la Mancomunidad Montaña el Gigante.

⁴⁵ MIP 2014-2020

⁴⁶ Sistematización de diagnósticos sobre la situación de la participación de las mujeres en los procesos de desarrollo social, en el área de influencia de la Mancomunidad Montaña el Gigante.

2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating measures
Unforeseen natural hazards in the intervention area and lack of effective DRR and DRM	M	In the case of sudden or slow-onset disasters, additional resources will be mobilized to respond to the emergency, including internal resources
Corruption at different institutional levels may affect the project	M	The implementing partner WFP will be directly accountable for the project funds. WFP has strict internal policies and guidelines to avoid any risk of corruption when working with partners at all levels. These guidelines were reviewed and reinforced by an internal audit in 2018. PRO RESILIENCE does not foresee any transfers to institutions (only trainings and technical assistance), which mitigates any risk of corruption.
Because of existing gender stereotypes and norms, women are denied access to assets, such as land and capacity strengthening activities	M	All implemented activities will be planned through an integrated community participation process which includes a specific diagnostic of existing gender gaps and locally-specific actions to close these gaps
Asset distribution will cause conflicts and competition among families and communities, also of different ethnicities	M	PRO RESILIENCE will coordinate closely with local authorities to make decisions regarding asset-distribution and the selection of households in the activities. Effective beneficiary targeting will be ensured through previously validated selection criteria. Beneficiary feedback mechanisms are in place in all interventions of the implementing partner. Comprehensive risk analyses will be integrated into community consultations and participatory planning, also in relation to access to land and land conflicts
Structural inequalities and discrimination towards indigenous peoples	H	The implementing partner will conduct a comprehensive baseline study and community consultations to plan specific interventions according to local needs and circumstances. This consultation methodology includes instruments to identify local discriminatory structures. The specific interventions will be tailored to respond to these local inequalities.
Technical assistance or other inputs are not provided in a timely manner by partners	M	The government and WFP will build alliances with suppliers and the commercial sector, with close follow up and monitoring of their performance
Lack of commitment to resilience-building of the new government, also vis-à-vis land policies and access to land	M	Activities are closely aligned with existing government priorities and programmes. Ongoing policy dialogue at technical strategic level will be ensured to convey common political messages with the donor coordination group (G13). Food Security and nutrition is a fundamental part of the plans of the presidential candidates which will assume office in early 2020

Delays in the implementation of microfinance activities because communities are not ready to make investments	L	Partnerships will be established with national financial institutions and related government programmes. In the initial phase of the project, microfinance products will be subsidized by the implementing partner and in the medium-term they will be linked to government safety net programmes, such as those contemplated in the family farming law. The implementing partner will establish local credit and savings groups to enable rights-holders households to acquire microfinance products independently in the long-term, according to norms and prices agreed and consolidated with private sector partners. Because of the financial inclusion of a high quantity of smallholder farmers, the large demand will make microfinance products more feasible. The EU and implementing partners will closely coordinate and strengthen government initiatives to promote microfinance in the medium- and long-term to increase sustainability of microfinance actions
High turnover and delays in contracts of government staff	H	Especially in rural areas, government technicians often have only short-term contracts, leading to high rotation of local staff. WFP will coordinate and work closely with local partners, including NGOs and municipal staff, to ensure timely implementation. The EU through PAFSEC support is helping to improve the stability of rural extensionists.
<p>Assumptions</p> <p>Political and social stability in the country after 2019 elections</p> <p>The new government facilitates good relations with the international cooperation</p> <p>Working continuity of relevant members of technical staff in national institutions</p> <p>Implementation support of MAGA extensionists</p> <p>Institutionalization of supported initiatives (not dependent on specific individual staff)</p> <p>Social networks within communities have not been harmed by excessive irregular migration</p>		

3 LESSONS LEARNT AND COMPLEMENTARITY

3.1 Lessons learnt

Consortium of eight humanitarian NGOs funded by ECHO:

- Livelihood creation activities should be strengthened to diversify income sources, especially those which do not require large plots of land, to include landless farmers who are often the most vulnerable.⁴⁷

EU-funded NiPN programme:

- There is a shortage of disaggregated information on indicators of outputs and outcomes related to nutrition.⁴⁸ Consequently, PRO RESILIENCE will closely analyse

⁴⁷ ECHO intervention report 2018

⁴⁸ Inspiring the shift from nutrition policy to implementation: how existing data can support nutrition decision-making in Guatemala, EU 2019

the lessons learned from the NiPN and generate disaggregated and context-specific nutrition data.

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Decentralized external evaluation of (PRO-ACT) 2018:

- Financial inclusion should be strengthened to move away from providing food assistance to respond to shocks, but instead empower beneficiaries to make investments in their own resilient income-generating opportunities.⁴⁹

Evaluation of WFP's market access programmes

- Allocation of financial resources to gender equality promote activities that favour compliance with strategies that improve opportunities to thrive.⁵⁰

Strategic evaluation of WFP's resilience interventions (2018):

- Through microfinance mechanisms and climate information services, anticipatory and adaptive capacities related to climatic shocks should be strengthened.

Evaluation of WFP resilience programmes in southern Africa (2016)

- Countries must move away from a repetitive pattern of crisis response and put more emphasis on planning and financing instruments.⁵¹

The FANTA programme supported by the United States Agency for International Development (USAID) (2017):

- Many families in situations of food insecurity prefer the purchase of cheap processed food. Although they are not considered expensive, their purchase may replace the use of family resources to purchase more nutrient-rich foods.⁵²

Fill the Nutrient Gap (FNG) analysis in Guatemala (2017)

- Behaviour change communication is required to influence household purchasing patterns and choices

Scaling up Nutrition Movement:⁵³

- Improving the capacity of individuals and institutions to collaborate effectively, at national and sub-national levels, is critical for nutrition impact.

3.2 Complementarity, synergy and donor coordination

PRO RESILIENCE will closely coordinate with other projects and programmes funded by the EU and member states, particularly with those that are part of the MIP 2014-2020, to build on achievements and results of similar interventions.

⁴⁹ PRO ACT decentralized evaluation 2018

⁵⁰ WFP Gender Strategy in the Procurement for Progress" (P4P) Program in the Eastern Region

⁵¹ R4 Annual Report 2017

⁵² FANTA 2017

⁵³ DEVEX. Is it time to take 'more of a gamble' to scale nutrition interventions? Teresa Welsh // 12 July 2019

PRO RESILIENCE will closely coordinate with UNICEF and PAHO in accordance with the document entitled “PAHO/UNICEF/WFP coordination under UE financial support”, as they simultaneously implement initiatives under the Food Security and Nutrition component of the MIP.

The EU currently provides budget support to the MAGA for the implementation of the PAFFEC support to family agriculture. EU and implementing partners will promote with the political dialogue with the MAGA to take the climate change as key strategic of attention in the rural extension system.

PRO RESILIENCE will collaborate directly with the consortium of NGOs implementing ECHO-funded projects in the Dry Corridor. The implementing partners of ECHO have been consulted during the identification phase.

The EU-FAO FIRST initiative which aims to reinforce the linkage between family agriculture policy and the ENPDC to make agriculture interventions more nutrition-sensitive.

Cooperation with other EU-funded programmes:

- The Euroclima+, especially regarding Resilient Food Production in Chiquimula.
- WFP and partners will closely coordinate with the NiPN project to ensure efficient flow of information.
- Resilience-building project in Central America to help leverage regional know-how and experience, benefiting Guatemala, as well as El Salvador, Nicaragua, and Honduras.

The Spanish Agency for International Development Cooperation (AECID) supports health services and other FSN governance programmes. PRO RESILIENCE will coordinate closely with AECID and implementing partners to maximise synergies.

The German Corporation for International Cooperation (GIZ) is supporting a programme for climate change adaptation in the Dry Corridor *¡Adáptate!* in cooperation with the Ministry of Environment. PRO RESILIENCE will closely coordinate with GIZ and their beneficiary.

The Oriental University Centre CUNORI has its headquarters in Chiquimula with extensions to other departments of the Dry Corridor. PRO RESILIENCE will coordinate with CUNORI for capacity strengthening activities and strengthened the EWS mechanism.

With support from a loan of the World Bank, in 2020, the new government will start the implementation of the *Creceer Sano* programme funded by the World Bank with the objective to reduce chronic malnutrition by improving health and nutrition services. PRO RESILIENCE will coordinate closely with Creceer Sano and implementing partners to take advantage of synergies.

Both FAO and the International Union for Conservation of Nature (IUCN) have submitted concept notes to the Green Climate Fund for projects to strengthen climate-smart agriculture. PRO RESILIENCE will coordinate with both actors during the design of their full proposals to ensure that results, lessons learnt, and best practices of the proposed action are considered.

The action will coordinate with the International Research Institute for Climate and Society (IRI) of Columbia University and EU's COPERNICUS for climate risk information systems.

Following the global UN reform, Guatemala is a ONE UN country. Consequently, all actions are coordinated with the Resident Coordinator's Office to ensure efficient cooperation and coherence within the United Nations System. The Government of Guatemala has adopted the United Nations Development Assistance Framework (UNDAF) 2015-2019.

Within the framework of RBA coordination frameworks for Guatemala, the action will closely coordinate with the International Fund for Agricultural Development (IFAD) and FAO.

4 DESCRIPTION OF THE ACTION

4.1 Overall objective, specific objective(s), expected outputs and indicative activities

Overall Objective:

Contribute to improve the food security and nutritional condition in the north-eastern' Dry Corridor in Guatemala.

Outcome 1 Higher family incomes and adoption of environmentally sustainable and climate-resilient methods for access to food, of the most vulnerable families in the El Progreso, Zacapa and Chiquimula departments.

Outcome 2 Improved nutritional status of the most vulnerable women and children under five years in El Progreso and Zacapa.

Output 1 Environmentally sustainable and climate-resilient methods for food production are adopted at farm level.

Output 2 Mitigation measures to cope with land, water and forest degradation and the impacts of anthropic activities exacerbated by climate change are promoted by the relevant authorities.

Output 3 Inclusive community-based adaptation plans and actions are identified and implemented for increased resilience.

Output 4 Knowledge dissemination and behaviour change towards increased dietary quality and diversity is promoted.

Output 1: Environmentally sustainable and climate-resilient methods for food production are adopted at farm level.

This output aims to strengthen the livelihood and economic resilience of targeted households through improved food production and increased incomes. This result directly targets all three beneficiary segments. According to context-specific possibilities and potentials, incomes will be increased through improved agricultural production, dignified employment opportunities or small-scale non-agricultural entrepreneurship. The methodology to achieve this result is

based on context-specific aspects of the poverty graduation approach which aims to include the extreme poor into formal economies, by preparing them for dignified (self-) employment.

Output 2: Mitigation measures to cope with land, water and forest degradation and the impacts of anthropic activities and exacerbated by climate change are promoted by the relevant authorities.

This result aims to strengthen environment and climate resilience through adapting and mitigating the effects of climate change on local ecosystems. The methodology to achieve this result is based on the ecosystem-based adaptation (EbA) approach which combines traditional biodiversity and ecosystem conservation approaches with sustainable socio-economic development.⁵⁴ This output promotes the sustainable management of natural resources, environment friendly practices as well as conservation and restoration of biodiversity, particularly soil, forests and watersheds, protecting vulnerable communities from the severe impacts of ecosystem degradation, such as erosion and landslides, while simultaneously providing a variety of ecological benefits crucial for human well-being, such as clean water and food. The project will promote community organization and multi sectoral engagement to promote a combination of nutrition-sensitive adaptation and mitigation measures, climate-resilient and nutrition-sensitive agricultural development, social protection and improved maternal and child care and health, nutrition-sensitive risk reduction and management, community development measures, and institutional and cross-sectoral collaboration as a means to address the impacts of climate change to food and nutrition security.

Output 3: Inclusive community-based adaptation plans and actions are identified and implemented for increased resilience.

This result aims to strengthen social and institutional resilience by directly supporting community governance bodies for development, disaster risk reduction and food security and nutrition, and assist municipal and central institutions to design better programmes and policies for populations vulnerable to climate-related shocks. It promotes the community-based approach (CBA) as part of the approach looking at reinforcing the skills to cope with the impacts of climate and increase local resilience, integral to effective local governance is an informed and empowered citizenry engaged in transparent and accountable processes. Community governance bodies will exercise of political and administrative authority to manage local affairs, providing a common platform for citizens to articulate their interests, exercise their legal rights, meet their responsibilities and mediate their differences. This will create and sustain an environment for inclusive and responsive political processes, empowering the most vulnerable population to gain a voice in decision-making. The institutional and human capacities for governance at central level determine the way in which the effectiveness of public policies and strategies is attained, especially in service delivery. Functioning governance mechanisms facilitate gender equality, women's empowerment and the inclusion of youth and marginalized groups. The incorporation of women into community participation bodies and the local governance bodies of resilience is essential to achieve a comprehensive approach to community resilience.

Output 4: Knowledge dissemination and behaviour change towards increased dietary quality and diversity promoted. (In departments where UNICEF and PAHO are not supporting this result)

⁵⁴ IUCN 2011

Improve the nutritional status of women and children under five by supporting health interventions and food and nutrition education” in departments where UNICEF and PAHO are not supporting this result, to prevent acute malnutrition on children under 5 years during the intervention in these departments. Through this result, the project will develop and harmonize basic health, nutrition messages and materials in collaboration with national and local government. In this result, the transformation of behaviours that reproduce norms of discrimination of gender and harmful practices in the diet that can favour the malnutrition of women and girls will be resumed as an element for the recovery of women's knowledge and actions that promote greater participation of women. men and boys in feeding activities, responsibilities in nutrition and child care.

The principal **activities** to achieve the mentioned outcomes are the following:

A1.1 Promote environmentally friendly and climate resilient techniques at farm level (use of organic fertilisers, soil and water conservation measures, adapted varieties and species, diversification of local production, use of local shrubs and trees)

A1.2 Provide trainings to beneficiaries and technical assistance to organizations to create local dignified rural employment opportunities

A1.3 Increase capacities for self-employment and non-agricultural entrepreneurship

A1.4 Facilitate access to financial services to protect livelihoods from negative impacts of climate-related shocks

A1.5 Capacity building and technical assistance women's entrepreneurship to promote associativity and develop technical, organizational and leadership capacities of women

A2.1 Boost soil conservation management practices at farm and watershed level

A2.2 Strengthen sustainable water management practices (irrigation systems, protection of sources, water recollection at farm and house level, etc.)

A2.3 Support forest management and conservation of natural biodiversity by promoting agroforestry systems, EbA, and reforestation of watersheds

A2.4 Provide technical assistance for resilient infrastructure at household and community level

A2.5 Tailored capacity building for women to face the risks derived from climate change, formulating and implementing effective and efficient adaptation measures that respond to their strategic interests and capitalizing on their knowledge.

A3.1 Facilitate workshops and trainings to design, update and implement community and municipal development and investment plans with a focus on adapting to and mitigating the effects of climate change (CBA methodology)

A3.2 Capacity building for territorial planning with a focus on climate change adaptation and mitigation

A3.3 Facilitate workshops and trainings for government staff related to climate change adaptation and increased resilience.

A3.4 Capacity building to generate and disseminate data through risk information systems and early warning

A3.5 Provide skills development trainings to women and their organizations to integrate local risk management networks and incorporate themselves into the processes of territorial management and governance of resilience in a sustainable manner.

A4.1 Design and implement a multisectoral food security and nutrition education strategy in coordination with the municipal council on food security and nutrition

A4.2 Develop a network of community health and nutrition counsellors to improve maternal, infant and young child feeding and care practices.

A4.3 Capacity building for health personnel, in the targeted municipalities, to implement malnutrition prevention actions in coordination with the Direction of Health and Health districts

A 4.4 Design and implement a strategy for the recovery of women's knowledge on food security and nutrition that includes the identification of standards of discrimination and gender stereotypes to strengthen local and culturally sensitive food practices.

4.2 Intervention Logic

The structural vulnerability combined with the constant exposure to potential climate-related shocks requires intervention methodologies that assist vulnerable populations prepare and respond to future shocks and at the same time enable them to invest in their own development through an integral resilience-building approach.

The target group are in the same territories of PRO ACT I, ECHO past interventions and other EU interventions in nutrition and/or food security, in particular OPS/PAHO and UNICEF (in Chiquimula). The beneficiaries of the PRO RESILIENCE are 3 groups of the population affected by seasonal hunger; the action will give a differentiated response to each group segment according to their different needs and possibilities.

All beneficiary groups served will receive the technical support to ensure their diets through better food intake practices. Likewise, the protection of basic needs will be ensured by means of monetary transfers, which will be carried out with an "exit strategy" perspective, meaning that, in the first year of the action, while economic activities become more dynamic, it will be necessary to provide transfers to the people at risk of falling into seasonal hunger, and as progress is made in generating employment, income or food for self-consumption, the number of people receiving transfers will decrease because the generation of their income will be insured as result of project work.

To ensure that this initiative responds to the EU's objectives to promote the elimination of all types of inequality, adapting the intervention to the different needs and taking into account the capacities of the population and non-discrimination principals, each result contains one gender-specific activity and all other activities are gender-sensitive.

The World Food Programme (WFP) will be the EU's direct implementing partner for PRO RESILIENCE. The implementing partner will ensure the structure so that the implementation is effective, which considers from constituting work teams with specialized personnel in the areas of resilience, nutrition and rural development, as well as gender, environment and youth. The implementation will include the elaboration of working agreements with NGOs, private sector, particularly AGEXPORT, and local public actors. The adequate implementation of the four results will be WFP's responsibility. Outcome 1 will be achieved through direct collaboration with the local private sector, in particular with pre-identified partners such as AGEXPORT.

The first output will be co-implemented by WFP and NGOs, in close partnership with the MAGA as well as local private sector. Specifically, WFP will draft terms of reference to launch a call for proposals to implement activities related to non-agricultural entrepreneurship

and employment generation. Preference will be given to NGOs with experience in the target area that has been funded by other EU programmes. NGOs will be encouraged to apply for the call as a consortium. This co-implementation will be managed through WFP's Field Level Arrangement (FLA) modality. This means that clear terms of reference, results and monitoring guidelines will be established. Monitoring and indicators will be harmonized.

The second, third and fourth outputs will be directly implemented by WFP's qualified technical field staff and coordinated by WFP's Country Office staff. Where possible, WFP will facilitate implementation by relevant government stakeholders elaborated in the stakeholder analysis, and provide assistance to these stakeholders to empower them to implement.

The fourth output will be closely coordinated with PAHO and UNICEF and their EU-funded projects.

The proposal estimated that between 60-70% of the total project budget will be directed to outputs 1 and 2; and between 40-30% will be addressed to outputs 3 and 4. From the budget, at least 20% will be allocated to specific actions in favour of women's rights and 5% to communication and visibility, according to Joint Visibility Guidelines for EC-UN actions in the Field. *A Methodological conceptual references matrix has been set out to ensure common understanding for implementation by contracting parties.*

4.3 Mainstreaming

Human rights: WFP has established mechanisms to ensure right-holders dignity, safety and protection in all its programmes, as well as the inclusion of the most vulnerable populations.

Protection: Is relevant to all areas of WFP programming, according to a "Do No Harm" approach and established beneficiary feedback to ensure standards of WFP staff and any cooperating or implementing partner for project implementation.

Accountability: WFP focuses on three key areas: a) information provision, b) consultation and c) complaints and feedback mechanisms. Information provided must be clearly understandable by everyone, irrespective of their age, gender, or other characteristics. WFP must provide a means for people to voice complaints and provide feedback on areas relevant to operations in a safe and dignified manner.

Indigenous rights and empowerment: The proposed action will respect, consider and strengthen local norms and values, particularly in the indigenous Chortí area in Chiquimula.

Gender-transformative approach⁵⁵: A gender action plan will be developed based on the completion of a thorough gender diagnosis. Women's barriers and gaps will be identified in each of the areas of the project intervention, establishing clear parameters to monitor gender issues throughout the intervention, to produce a progress report that will evaluate the investment made. Throughout this process, gender sensitization activities will be promoted with men, boys and girls, based on the identification of social norms of discrimination.

⁵⁵ See WFP Gender Policy 2014-2020

Nutrition-sensitive programming: Actions to prevent stunting and improve family diets of groups in vulnerable situation will be implemented at all intervention levels. A multisectoral social behaviour change communication strategy will be designed and implemented based on existing institutions and platforms. Emergency preparedness and response trainings will include specific health and nutrition elements. In coordination with PAHO/WHO, links to local health services will be established to promote health and nutrition interventions to prevent stunting and improve family diets.

Environmental sustainability:⁵⁶ Environment friendly agricultural practices and sustainable natural resource management will be strengthened at local and institutional level. The PRORESILIENCE project will promote job diversification in line with the principles of green economy. A special importance will be devoted to soil and water management so to cope with the impacts of land degradation and water shortages.

Climate change adaptation: The action will combine immediate responses to food insecurity with long-term climate change adaptation to build community resilience and institutional capacities with an integrated risk management approach by strengthening diversified livelihoods and positive coping strategies as well as introduce risk financing instruments and climate information services. The proposed EbA approach will further support in the conservation of natural resources and biodiversity conservation.

Participation and governance: The proposed action aims to strengthen governance at all intervention levels. The action builds on the Community-based Approach (CBA) by promoting a methodology that puts participatory and inclusive processes as pivotal.

4. 4 Contribution to Sustainable Development Goals (SDGs)

This intervention is relevant for the United Nations 2030 Agenda for Sustainable Development. It contributes primarily to the progressive achievement of: (SDG) 2 (Zero Hunger), specifically, it will contribute to SDG 2.3, and SDG 2.4; and SDG 13 (Climate Action).

Furthermore, the action will directly contribute to SDG 17 “Partnerships for the Goals”, SDG15 (Life on Land), particularly SDG 15.1 and 15.3; 5 (Gender Equality and Women’s Empowerment) and 3 (Health and well-being), and SDG 16 (Governance) will be strengthened.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4 will be carried out and the corresponding contracts and agreements

⁵⁶ See WFP Environmental Policy 2017

implemented, is **60 months** from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's responsible authorising officer by amending this Decision and the relevant contracts and agreements.

5.3 Implementation modalities

The Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures⁵⁷.

5.3.1 Indirect management with an international organisation

This action may be implemented in indirect management with World Food Programme (WFP), limited to Guatemala.

WFP has extensive experience in projects and programmes related to food security and nutrition, both technical assistance at different government levels and field level implementation. WFP has specific expertise in climate change adaptation and resilience-building, particularly in the context of the Dry Corridor. WFP has the operational capacity necessary for projects in the intervention area. Guatemala is vulnerable to natural hazards and it is WFP's mandate to strengthen the food security and nutrition of the most vulnerable and affected by such recurrent events, which require a comprehensive humanitarian-development nexus approach. WFP is an important player for technical and operational support to Guatemala, both at central and local level, in the construction of a comprehensive resilience-building approach in a context of recurrent climate-related shocks.

WFP has implemented the regional PRO ACT programme 2016-2018 in the Guatemalan Dry Corridor, with significant successes in resilience-building for vulnerable communities.

A part of this action, up to EUR 5 million and regarding outcome 1, may be implemented through direct grants awarded and concluded by WFP following its rules and procedures.

The objective of the grants will be to support the "Outcome 1 Higher family incomes and the adoption of environmentally sustainable and climate-resilient method for access to food, of the most vulnerable families in El Progreso, Zacapa and Chiquimula." A number of beneficiaries have been pre-identified on the basis of their experience in the geographic areas of intervention and potential added value to outcomes 1 and 2. The beneficiaries of the grants will be:

- Guatemalan Exporters Association – AGEXPORT-: *Indicative contribution of EUR 2 million* under Outcome 1. AGEXPORT is a private non-profit institution with more than 30 years of experience in promoting the growth Guatemalan exports, mediating processes and initiatives designed for export entrepreneurs to have market access, innovative tools and methodologies, and technical training and capacities. AGEXPORT has a specific focus on agricultural production in the Guatemalan Dry Corridor. AGEXPORT's participation in the Programme will contribute to the

⁵⁷ www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

generation of family income and, through educational campaigns, to improve the proper consumption of food that is either produced as part of the intervention, or acquired with newly-generated incomes, thus contributing also to the Programme's over-arching goal of improving food security and nutrition. The overall strategy will be to improve agricultural productivity and to consolidate their incorporation, as well as those at the subsistence level, to local, national and export value chains.

- (1) Fundasistemas and (2) The Alliance for Nutrition: *Indicative contribution EUR 1.2 million, under Outcome 1.* Fundasistemas is a private association which strengthens small, medium and micro-entrepreneurships, particularly in the Dry Corridor. Fundasistemas has developed the System for Entrepreneurship Development (SIDEM), which seeks to support local populations for governance, administrative management, associative marketing, business consolidation, and business growth and community projection. The Alliance for Nutrition is a group of entrepreneurs committed to the goal of reducing the prevalence of chronic malnutrition. The Members from the private sector bring different perspectives to resolve the problem through the unification of resources used toward the common goal, multi-sectorial collaboration, focus on cost-effective, evidence-based interventions and long-term commitment.
- (3) The Copanch'orti' Mancomunidad Enterprise, (4) Cooperativa Guayacán, (5) Parlamento del Pueblo Xinka, (6) Mi Coope and (7) Fedecocagua. *Indicative Contribution EUR 1.8 million, in consortia or not, according to the action purpose and the financial and operational capacity of each entity.* They are organizations of indigenous populations or municipal entities to strengthen micro-enterprises, tailored to the specific possibilities and business opportunities of the indigenous people. They are a local organizations focusing on production and commercialization of agricultural products. PRO RESILIENCE will work jointly with these organizations to include small-scale surplus farmers, particularly those supported by the project, and make benefits of affiliation, including technology and capacity transfer, available.

If negotiations with the above-mentioned entity fail, about the award of direct grants, that part of this action may be implemented in direct management in accordance with the implementation modalities identified in section 5.3.2.

5.3.2 Changes from indirect to direct management mode due to exceptional circumstances

Should it not be possible for the organisation to award grants, that part of the action may be implemented in direct management in accordance with the implementation modality identified hereafter:

Grants: direct award (direct management)

(a) Purpose of the grants:

The purpose of the grants are to generate sustainable local employment opportunities (under Outcome 1), through collaboration with local employers from the private sector at local level, the grants will design business and investment plans to generate local employment, prioritizing PRO RESILIENCE beneficiaries. The employment opportunities created locally will focus on agricultural value chains, as well as the construction sector. In the construction sector, local private enterprises will provide employment for local populations for the construction of social works such as irrigation systems, community infrastructure, school kitchens, community water systems etc. Regarding agricultural value chains, employment opportunities will be created along the entire value chain, including production, harvest,

processing and commercialization. As part of the employment generation, technical training and skills development sessions will be provided by private sector partners to those who will be employed.

(b) Type of applicants targeted:

The potential private sector partners are identified under criteria to ensure that employment opportunities correspond to dignified employment standards, are in line with climate change adaptation and impact mitigation standards and correspond to gender- and nutrition-sensitive guidelines. In order to be eligible for a grant, the lead beneficiary⁵⁸ must:

- be a legal person
- be non-profit-making and
- be established in Guatemala.
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary and be an entrepreneurship development organisation or business membership organisation.

(c) Justification of a direct grant:

Under the responsibility of the Commission's authorizing officer responsible, the recourse to an award of a grant without a call for proposals is justified because of technical competence as stipulated by Article 195 of the Financial Regulation.

A direct grant is justified because all these entities are an entrepreneurship development organisation at local level. They generate local employment along the entire value chain, including production, harvest, processing and commercialization. They also promote market access, innovative tools and methodologies, and technical training and capacities in line with climate change adaptation and impact mitigation standards.

5.4 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

The Commission's authorizing officer responsible may extend the geographical eligibility in accordance with Budget Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

⁵⁸ The consortia are a possibility between the potential partners identified. The consortia led (as lead applicant or co-applicant/s) by entrepreneurship development organisations or business membership organisations.

5.5 Indicative budget

	EU contribution (amount in EUR)	Indicative third-party contribution, in currency identified
Indirect management with WFP	15,000,000	0
Evaluation-Audit/ Expenditure verification	will be covered by another decision	0
Total	15,000,000	0

5.6 Organisational set-up and responsibilities

The implementation of the proposed action will be under direct responsibility of WFP. WFP will continue to coordinate policy and operational issues with the Food Security and Nutrition Secretariat; the ministries of agriculture, livestock and food, public health and social assistance, and social development; and the National Coordination Committee for Disaster Risk Reduction. At field level, the action will be implemented in direct cooperation with the rural extension unit of the Ministry of Agriculture. WFP will closely coordinate with the EU delegation in Guatemala so they can follow-up on the operational and technical implementation, as well as the administrative management of the delegation agreement with WFP. WFP will promote women's equal representation in the different spaces of coordination and committees.

a. Steering Committee: This is the key body responsible for the strategic direction of the programme and the oversight of the processes that are essential to ensuring the delivery of the project outputs and the attainment of the programme outcomes. The Steering Committee will meet twice a year and its functions include approving annual operational plans and budgets to be submitted to the EU, defining and realizing outcomes, monitoring risks and project performance, proposing corrective actions for deviations from plans, and assessing requests for changes to the scope of the project. The membership of the Steering Committee consists of: 1) the WFP Representative in Guatemala as the implementing partner and will chair the meetings, 2) a delegate of the office of the central government (such SESAN/MAGA/MIDES) as key strategic actor/partner; 3) a delegate of the EU; and 4) other strategic partner or local actor or representative of the civil society as an observer. The programme manager will participate as secretary of the Steering Committee, presenting progress reports and address any questions raised by members.

b. Technical Committee: The technical committee will meet every three months and will be responsible for programme level monitoring and for providing technical assistance to the Steering Committee. The composition of the technical committee is: 1) a delegate of the WFP who will chair the meetings; 2) a delegate of the EU; and 3) a delegate of the government as key strategic actor/partner. The technical committee would include special households according the phase of the implementation project.

c. Field Offices: A project office will be established in the local area to ensure cover all the geographical area of the project. They will be in charge of day-to-day operations of the project in the field and will closely work with the municipal level and local communities. At

the begging of the intervention WFP will ensure that the households' profile is understood by the staff involved in the project and local partners, it will training staff in monitoring tools to have desegregated data in gender, age, ethnic group, and people with special capabilities⁵⁹.

5.7 Performance and Results monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process, and part of the implementing partner's responsibilities. To this aim, the implementing partner shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the Logframe matrix (for project modality) or the partner's strategy, policy or reform action plan list (for budget support).

Reports shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.8 Evaluation

Having regard to the importance of the action, a final evaluation will be carried out for this action or its components via independent consultants via an implementing partner.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.9 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

5.10 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

⁵⁹ All personal of the project use the WFP Gender Toolkit during all steps of the action. Additionally at least one expert on EU Right Base Approach will be integrate in each teams of the project (WFP is committed to Leaving no one behind approach)

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Requirements for European Union External Action (or any succeeding document) shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

	Results chain	Indicator	Sources and means of verification	Starting hypothesis
<i>Impact</i>	Contribute to improve the food security and nutritional condition in the north-eastern Dry Corridor in Guatemala.	<p>Proportion of people with an improved resilience to climate related shocks as measured by the “Resilience Index measurement and analysis RIMA”</p> <p>SDG 2.1.2 Prevalence of moderate or severe food insecurity in the population (** EU RF 1.2)</p> <p>Value added of agriculture as % of GDP (WDI data) (** EU RF 1.4).</p> <p><i>% of municipality municipalities supported by PRORESILIENCE with food security and nutrition policies</i></p>	<p><i>http://www.fao.org</i></p> <p><i>Baseline and end of project survey</i></p> <p><i>Baseline and end of project survey</i></p> <p><i>Baseline and end of project survey</i></p>	
<i>Outcome 1</i>	Higher family incomes and the adoption of environmentally sustainable and climate-resilient method for access to food, of the most vulnerable families of the El Progreso, Zacapa and Chiquimula.	<p><i>Household incomes desegregate by sex and age</i></p> <p><i>Household Food Availability desegregate by sex and age</i></p> <p><i>% of women that increase their incomes during the project</i></p> <p><i>% of women that decide the use of income desegregate by age</i></p>	Baseline and end of project survey	<p><i>The reduction of chronic malnutrition remains a national priority.</i></p> <p><i>Government of Guatemala maintain the National System of Rural Extension (SNER) as part of the main programmes in MAGA</i></p>
<i>Outcome 2</i>	Improved nutritional status of women and children under five years of the most vulnerable families of 4 municipalities of the El Progreso and Zacapa.	<p><i>Status of the National public policy on Early Childhood Development</i></p> <p><i>Percentage of infants under 6 months exclusively fed with breast milk by sex (** EU RF 2.2.) (*MIP)</i></p>	Baseline and end of project survey	<p><i>Public resources are increased for reduction of chronic malnutrition.</i></p> <p><i>Access to health services is improved at local level.</i></p>
<i>Output 1</i>	Environmentally sustainable and climate-resilient methods for food production are adopted at farm level.	<p><i>Average income of households supported by the action, desegregate by sex and age</i></p> <p><i>% of farming households practicing improved agricultural or non-agriculture activities desegregate by sex and age</i></p>	Baseline and end of project survey	<i>Working continuity of relevant members of technical staff in national institutions</i>

<i>Output 2</i>	Mitigation measures to cope with land, water and forest degradation and the impacts of anthropic activities and exacerbated by climate change are promoted by the relevant authorities.	<i>Proportion of the population in targeted communities reporting benefits from an enhanced livelihoods asset</i>	<i>Baseline and end of project survey</i>	<i>Working continuity of relevant members of technical staff in national institutions</i>
<i>Output 3</i>	Inclusive community-based adaptation plans and actions are identified and implemented for increased resilience.	<i>% of municipal developments plans updated, and number of territorial ordering Municipalities plans formulated</i>	<i>Baseline and end of project survey</i>	<i>Municipal corporations have committed to improving the FSN-RESILIENCE or CLIMATE CHANGE and support the actions taken by the project</i>
<i>Output 4</i>	Knowledge dissemination and behaviour change towards increased dietary quality and diversity promoted.	<i>Proportion of children 6-23 months of age who receive a minimum acceptable diet desegregate by sex and age (MAD) (** EU RF 2.2.)</i> <i>Proportion of population using a safely managed drinking water and sanitation services desegregate by sex and age.</i> <i>% of household to improve the nutritional quality of foods purchased, desegregate by sex and age</i>	<i>Baseline and end of project survey</i>	<i>Major disruptive natural disasters. reduce the desired nutritional impact due to an excessive shortage of food</i>