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Subject: Amendment 01 to Notice of Funding Opportunity Number (NFO): RFA-520-17-000003

Program Title: Communities Building Peace Together (CBPT)

The purpose of this letter is to amend RFA-520-17-000003 in order to update the sections of the NFO. In the NFO, all new or revised language is highlighted in yellow. Where language was deleted, only the sub-heading for the applicable section is highlighted.

SECTION C: ELIGIBILITY INFORMATION

2. Cost Sharing or Matching

SECTION D: APPLICATION AND SUBMISSION INFORMATION

2. Content and Form of Concept Paper Submission – Phase I

- a. Concept Paper Format
- b. Concept Paper Content
- c. Concept Paper Budget

3. Content and Form of Application Submission – Phase II
Application Format

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5. Technical Application Format – Phase II

6. Cost Application Format – Phase II

7. Additional Information

SECTION E: APPLICATION REVIEW INFORMATION

- a. Overview
- b. Merit Review Criteria for Full Applications – Phase II

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

2. Administrative and National Policy Requirements
 - 2.3 Special Provisions

3. Reporting, Monitoring, Evaluation and Learning

RFA-520-17-000003
Communities Building Peace Together (CBPT)

The Questions and Answers document was posted as an attachment on Grants.gov on Monday, July 3, 2017. Thank you for your continued interest in working with USAID Guatemala.

Regards,

Ayana Angulo
Agreement Officer

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ABBREVIATIONS AND ACCROYNMS USED IN THIS NFO**List of Acronyms**

A4P	Alliance for Prosperity
AECID	<i>Agencia Española de Cooperación Internacional para el Desarrollo</i> [Spanish Agency for International Development Cooperation]
CARSI	Central America Regional Security Initiative
CBD	Community-based development
CDCS	Country Development Cooperation Strategy
CBPT	Communities Building Peace Together Project
CIP	Core Implementation Principles
CLA	Collaborating, Learning, and Adapting
COPREDEH	<i>Comisión Presidencial Coordinadora de la Política del Ejecutivo en Materia de Derechos Humanos</i> [Coordinating Presidential Commission for Executive Policy on Human Rights]
CPD	<i>Comisión Presidencial de Diálogo</i> [Presidential Commission for Dialogue]
CSO	Civil Society Organization
DO	Development Objective
GIZ	<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i>
GOG	Government of Guatemala
ILO	International Labor Organization
IR	Intermediate Result
LAPOP	Latin American Public Opinion Project
MEL	Monitoring, Evaluation, and Learning
NGO	Non-Governmental Organization
PACSA	<i>Programa de USAID para Fortalecer la Respuesta Centroamericana al VIH</i> [USAID's Program for Strengthening the Central American response to HIV]
PAHO	Pan-American Health Organization
PDH	<i>Procurador de los Derechos Humanos</i> [Human Rights Ombudsman]
PEA	Political Economy Analysis
RIC	<i>Registro de Información Catastral</i> [Cadastre Information Registry]
SAA	<i>Secretaría de Asuntos Agrarios</i> [Secretariat for Agrarian Affairs]
SBCC	Social and Behavioral Change Communications

RFA-520-17-000003

Communities Building Peace Together (CBPT)

UNDP

United Nations Development Programme

USAID

United States Agency for International Development

USG

United States Government

WHIP

Western Highlands Integrated Program

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SECTION A: PROGRAM DESCRIPTION

1. INTRODUCTION

Based on full and open competition, USAID/Guatemala intends to award one five-year Cooperative Agreement for the **Communities Building Peace Together (CBPT) Project**. Subject to the availability of funds, USAID intends to provide up to \$30 million in total USAID funding to be allocated over five years. Given the complexity of this Project and the wide range of expertise required to achieve the objectives, USAID anticipates making one award.

The purpose of the CBPT Project is to reduce social conflict and violence and increase social cohesion and peacebuilding in Guatemala's Western Highlands Region.¹ The project will contribute to Government of Guatemala (GOG) and United States Government (USG) objectives of promoting development, reducing poverty, and reducing irregular migration as per the USG's Strategy for Engagement in Central America and the Plan of the Alliance for Prosperity in the Northern Triangle. CBPT seeks to bring together diverse sectors and stakeholders within communities in the Western Highlands to identify and address the main drivers of social conflict at the familial, community, and municipal levels. The project will seek to address the drivers of social conflict by focusing on four of the general categories of recommendations proposed by USAID/Guatemala's 2015 conflict vulnerability assessment team—youth and families; governance; land; and extractive industries and natural resource exploitation.² Through a rigorous community-based development (CBD) approach, the Recipient will actively engage community members as participants and leaders in transforming conflict, restoring the social fabric, and building peace in their communities. Based on the CBD approach, the Recipient should also seek to address any identified trends related to the drivers of conflict that may emerge across communities and municipalities and, where appropriate, at the departmental or national levels. By building partnerships between communities and governing institutions (statutory and traditional), and strengthening governing institutions and non-governmental capacity to respond to local conflicts, CBPT will increase social cohesion within and between communities to reduce social conflict and increase confidence in legitimate statutory and traditional governing institutions. To secure development benefits over the long-term, CBPT seeks to directly address social conflict dynamics and related violence.

¹ In 2015, USAID conducted a conflict vulnerability assessment to better understand specific patterns of conflict and violence in the communities and regions of the Western Highlands. As the conflict assessment reports notes, "violence in the Western Highlands is a systemic phenomenon that affects the full gamut of social interactions." In this solicitation, the term "violent social conflict" is utilized as a general translation of the preferred term "*conflictividad social*" in the Guatemalan context. Whether utilizing the term violent conflict or violent social conflict, the focus remains on understanding and programming to address conflict dynamics.

² See [Legacies of Exclusion: Social Conflict and Violence in Communities and Homes in Guatemala's Western Highlands](#). USAID. October 2015.

The Recipient will engage civil society groups and local institutions, including but not limited to community and municipal development councils, women's and indigenous groups, community organizations, faith-based groups, and municipalities. Engagement of these groups will help to ensure that the project follows the principle of inclusive development and improve the sustainability of the results beyond the life of the project.

While CBPT is not the first USAID or donor project to address conflict in Guatemala's Western Highlands, the project is pioneering in the scale and range of potential types of conflict it will address. Its design is intentionally flexible and community-driven, allowing communities to identify which conflict issues to address or participate in. As issues emerge, windows of opportunity appear, and/or GOG policies evolve, the project may work at the municipal and central level in response to opportunities.

USAID/Guatemala expects that collaborating, learning, and adapting (CLA) will be embedded throughout the life of the CBPT Project. The project's design is intentionally flexible and adjustable to events and GOG participation, and to allow for a community-driven approach. The project's design, implementation, monitoring, and evaluation processes must be adaptable to incorporate new information and changes throughout its life, while maintaining the focus on the results.

The CBPT Project seeks to reduce social conflict and violence and improve social cohesion in Guatemala's Western Highlands region. The project's specific objectives are:

1. Establish and/or strengthen inclusive community-led engagement, dialogue, and mapping to identify, prioritize, and develop action plans addressing sources of and increase resilience to social conflict.
2. Build partnerships between communities and external entities to implement plans prioritized by communities.
3. Strengthen GOG and non-governmental capacity to participate in managing, responding to, and resolving local conflicts.

Theory of Change

USAID/Guatemala's theory of change linking this activity to the three proposed objectives is:

IF diverse sectors and stakeholders within communities in the Western Highlands identify and work to address the main drivers of social conflict at the familial, community, and municipal levels, and IF statutory and traditional institutions can efficiently and effectively respond to local conflicts in a transparent and fair manner, THEN these communities will increase their cooperation and develop increased trust and social cohesion. Increased social cohesion and trust within communities and toward statutory and traditional institutions, along with increased institutional effectiveness, will increase reliance on such institutions to reduce social conflict and support more resilient and peaceful societies.

This theory of change is based on the following assumptions:

- Reduced social conflict will occur when both individual/personal and socio-political change is sought.³ The importance of linking individual or group capacity building to institutional change is key.
- Target institutions and organizations—such as GOG entities, civil society organizations (CSOs), non-governmental organizations (NGOs), and traditional authorities—are open to receiving USAID assistance and are interested in working to resolve conflict dynamics in the Western Highlands.
- The private sector is open to utilizing target institutions and organizations to help prevent and mitigate violent conflict.

The following sections detail background considerations relating to the Guatemalan context, defines the activity's main objectives, territorial scope, expected results, and suggests performance indicators for monitoring and evaluation purposes.

2. BACKGROUND

Guatemala is characterized by high levels of violence and inequality. While progress has been made—in large part financed by the international community—to address the country's historical patterns of discrimination and exclusion of indigenous populations, Guatemala continues to have among the highest indicators of social inequality in the world. The Western Highlands departments have some of the worst social indicators in the nation, with indigenous people being disproportionately affected by poverty. The United Nations Development Programme (UNDP) Human Development Report 2015/2016 for Guatemala noted that human development indicators are lower and poverty more widespread in municipalities with the lowest levels of state presence.⁴ In addition, the Guatemalan state is less present in rural municipalities and communities with high percentages of indigenous populations.⁵

Moreover, inequality in Guatemala today is experienced in ways that differ dramatically from 40 or 50 years ago, in large part due to a combination of higher levels of literacy and urbanization, the migratory experience, the persistent lack of legitimate livelihood options, and young people's relationships with computers and smartphones. Inequality is both a major mobilizing force in society and a significant driver of conflict and violence. While inequality remains constant or worsens, the country's population is expected to nearly double by 2050, which will likely result in the challenges facing young people, their families, and communities to become graver over time. Given these factors, the problem of conflict and violence will deepen if not directly addressed, further threatening development accomplishments.⁶

³ See [USAID's Conflict Assessment Framework Version 2.0](#), United States Agency for International Development. June 2012. pp. 37-40.

⁴ See [Más allá del conflicto, luchas por el bienestar. Informa Nacional de Desarrollo Humano 2015/2016](#). Programa de las Naciones Unidas para el Desarrollo. 2016. p. 163.

⁵ Ibid.

⁶ For detailed analysis, see [Legacies of Exclusion](#).

USAID/Guatemala's conflict vulnerability assessment found that the high levels of social inequality may be becoming even more significant within Western Highland communities due to diverse forces—including economic and social impacts of migration and remittances, the illicit economy, and certain extractive industries—which contribute to increased social stratification and the emergence of new elites.⁷ Conflict takes many forms, some more identifiable than others. Open conflict often takes place between rural communities and powerful economic interests, such as mining, hydroelectric companies, or large-scale agriculture, in the form of blockades or other direct actions. However, a less noticeable but more pervasive form of conflict was recognized by the vulnerability assessment team:

“The violence in the Western Highlands is a systemic phenomenon that affects the full gamut of social interactions. The assessment revealed various important patterns of conflict between family and community, especially intra-family violence, trauma, and health; the intergenerational gap; and how youth respond to the lack of livelihood options. It also revealed that adults in most communities have significant fears about youth rebellion, delinquency, and gangs, and these spur repressive community-based security responses.”

Social conflict and violence affect women, men, and youth in different and particular ways. Women and children usually suffer physical, economic, and/or emotional violence in the private sphere, while men interact with violence as victim or perpetrator mostly in the public sphere. According to a 2014 survey by the Latin American Public Opinion Project (LAPOP), 53.9 percent of men in Guatemala expressed favorable attitudes about the use of physical violence toward their wives for neglecting their chores.⁸ A 2012 Pan American Health Organization (PAHO) report on domestic violence showed that of women aged 15-49 ever married or in union, 7.8 percent reported experiencing domestic violence during the past 12 months and 24.5 percent had experienced it in their lifetime. Nearly 75 percent of those reporting violence had experienced severe violence.⁹ The same report stated that the two most influential triggers in domestic violence were partner's alcohol or drug use and jealousy. Other relevant factors were money problems (especially lack of food in house and partner's unemployment) and women complaining or disobeying partner, and refusing to have sex.¹⁰

Vulnerable persons in Guatemala can be subject to discrimination and violence.¹¹ According to a 2013 survey on stigma and discrimination related to HIV in Central America, Guatemala was the

⁷ Ibid.

⁸ See [One in Four Condone Spousal Violence, Though Attitudes Vary across Countries and Individuals in the Americas](#). LAPOP. June 2016. pp. 1. Also refer to [VI Encuesta Nacional de Salud Materno Infantil \(ENSMI\): 2014-2015](#).

⁹ See [Violence Against Women in Latin America and the Caribbean: A comparative analysis of population-based data from 12 countries](#). PAHO. 2012. According to the report, severe acts of physical violence are any of the following: hitting with a fist or something that could cause injury; kicking, dragging, or beating; choking or burning (actual or attempted); threatening or wounding with a knife, gun, or other weapon.

¹⁰ See [Violence Against Women in Latin America and the Caribbean: A comparative analysis of population-based data from 12 countries](#). PAHO. 2012.

¹¹ See [Countries at the Crossroads 2012: Guatemala](#). Freedom House. 2012. pp. 7.

third country, after Belize and Honduras, in which more discriminatory opinions were given against vulnerable persons, sex workers, and people with HIV.¹² However, data on violence against vulnerable populations in Guatemala is still limited for a variety of reasons, including underreporting of crimes because of a lack of trust in the national police.¹³

USAID/Guatemala's conflict vulnerability assessment noted that migration also contributes to social conflict and violence in the Western Highlands, and considered the effects of migration on families and their communities.¹⁴ Migration contributes to family disintegration, which has consequences for children's social and emotional development and school performance. When husbands migrate, wives are left under the care of husbands' fathers, brothers or mothers, leading to various kinds of psychological, physical, and sexual abuse. With the migration of parents, teenagers, especially girls, often shoulder the burden of taking care of younger siblings and other family members and may be forced to leave school to perform household chores. These girls also become more vulnerable to violence, abuse, and exploitation from relatives and neighbors. Migrant girls and women are vulnerable to being prostituted or raped. Migration is also pushing an increasing number of families into unmanageable debt. In addition, returnees experience shame and stigma as they are seen as failures and provoke financial and emotional stress for their families due to the debt incurred to pay for their journey north and often their inability to contribute income for their families. Remittances contribute to tension and conflict between recipients and those who do not receive them by increasing levels of social stratification in communities, bringing boom and bust spending styles, and increasing the perception that some families depend on money earned in a "bad way" (i.e., not generated by themselves.)

The International Organization for Migration (IOM) estimates that 14.1 percent of Guatemalans migrated internationally in 2016, and that more than 2.3 million Guatemalans, or 13.9 percent of the total population, lived overseas.¹⁵ IOM reports that 94,942 migrants were returned from Mexico and the U.S. to Guatemala in 2016.¹⁶ The departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán together received 19,039 returnees, representing 53.7 percent of all the returnees from the U.S. to Guatemala.

The UNDP Human Development Report notes that in the current Guatemalan context, violence could explode in an area with latent conflict that seemed to be calm from afar, while peace may prevail in an area with violent conflict dynamics. As a result, the report argues that the deep layers of social conflict, especially at the community level, often lead to false assumptions; mainly that conflict is not present. However, the UNDP report points out that while it may appear that social conflict is not present, there are often underlying factors that later cause violent reactions, especially as it relates to land and extractive industries.¹⁷

¹² See [Estigma y Discriminación asociados al VIH: Encuesta de opinión pública. Informe Regional Centroamérica 2013](#). Programa de USAID para Fortalecer la Respuesta Centroamericana al VIH (USAID|PACSA). 2013. pp. 14.

¹³ See [Countries at the Crossroads 2012: Guatemala](#). pp. 7.

¹⁴ See [Legacies of Exclusion](#).

¹⁵ See [Encuesta sobre Migración Internacional de Personas Guatemaltecas y Remesas 2016](#).

¹⁶ See [Guatemala: Cifras Oficiales de Retornos](#). IOM, 2016.

¹⁷ See [Más allá del conflicto, luchas por el bienestar. Informa Nacional de Desarrollo Humano 2015/2016](#). pp. 133.

In regards to participation in the democratic process, the UNDP report details the impacts on Guatemalans that choose to organize and advocate for better living conditions, justice, defense of human rights, and respect of all life forms. Often, these actors disproportionately face high levels of violence and aggression, and an increased risk of being arrested. They are labeled as criminals and are subject to new forms of poverty¹⁸—all as a result of their advocacy in support of human rights, justice, equity, and opportunities for greater well-being.¹⁹ In addition, the distribution of power in favor of the elites' special interests is often so skewed that tensions rise, giving way to increased social conflict. As noted in USAID's conflict vulnerability assessment, the effort to defend a group of collective rights is mostly led by men, and often masks the continued repression of the individual rights of women, which reinforces the power of men over women.²⁰

In the Western Highlands, historical patterns of structural exclusion, internal armed conflict, and unresolved social conflict reinforce and intensify social inequality, discrimination, and violence in interrelated and systemic ways. These patterns persist at all levels of society—from the family and community to regional institutions—and interact in complex ways with each other in a context of accelerating societal and environmental changes. Without the means to address these patterns systemically, violent social conflict will likely continue to escalate, undermining overall development in the Western Highlands.

Inequality, conflict, and violence matter greatly not only because they are drivers of out-migration, but also because they are impediments to development. They can impede the very development programs that are designed to provide alternatives to migration. Inter- and intra-familial conflicts inhibit trust and cooperation both within a community, and with government or its agents at the local and national level. Additionally, conflict and violence reproduce themselves, beginning with detrimental impacts upon child development that then express themselves in poor educational performance, poor health, and a reproduction of intra-familial and community violence. Conflicts also limit economic transactions beyond trusted circles and constrain participation in the democratic process. Furthermore, gender inequality is a cross-cutting issue that negatively impacts civic participation in decision making, particularly for women in the Western Highlands.

Despite multiple new institutions since the 1990s to protect human rights, promote dialogue, and serve indigenous people, these institutions do not have the level of political or financial support to effectively address conflict due to overlapping mandates and inconsistent budget support. A multiplicity of CSOs, mostly dependent on the international community, now exists and pursues a wide range of demands. The GOG and the political party system are subject to external pressures by private interests, and at times, illicit powers. High rates of actual and perceived corruption delegitimize government actors, and the historical pattern of selective repression of civil society actors continues through both state and non-state security forces. The justice sector,

¹⁸ According to the UNDP, new forms of poverty include, for example, when families are forced to abandon their land due to purchase or violence; or when social resistance and human right activism becomes a priority, leaving less time for livelihood activities that support overall economic well-being.

¹⁹ Ibid, pp. 143-148.

²⁰ See [Legacies of Exclusion](#), pp. 20.

with international support and pressure, has demonstrated significant progress in criminal prosecutions and creating specialized courts. However, the justice system and other GOG institutions are at times used to prosecute community leaders, rather than to provide a legitimate forum for settling disputes.²¹ These factors exacerbate the high levels of social conflict and political instability both in the Western Highlands and nationwide.

The conflict vulnerability assessment team found that the challenges relating to social conflict in the Western Highlands are complex and interrelated. Complex systems and methodologies that reflect their non-linear and systemic nature, careful monitoring and analysis, and periodic readjustment and retesting of strategies should therefore be considered when addressing social conflict in the region.

Therefore, to address macro-level conflicts between communities and external forces (e.g., governmental authorities or private interests), it is necessary to understand and begin to resolve the micro conflicts that occur within municipalities, communities, and even within families. Social cohesion is a starting point—along with support for more effective and legitimate institutions—to build a culture of resilience to conflict and violence. The CBPT Project aims to not only reduce conflicts but, through increased social cohesion, support conflict transformation and peacebuilding.

Relationship to USAID and USG Policy

USAID/Guatemala's Country Development Cooperation Strategy (CDCS)²² was approved in 2012 and has been extended through 2018. The CDCS includes three Development Objectives (DOs) that contribute to the following goal: A more secure Guatemala that fosters greater socio-economic development in the Western Highlands and sustainably manages its natural resources. The CBPT Project will contribute to DO1 and indirectly contribute to DO2.

DO1 is defined as "Greater Security and Justice for Citizens." The CBPT Project will directly contribute to the objective's three Intermediate Results (IRs):

- IR1.1 Improved Governance of Key Public Institutions
- IR1.2 Reduced Levels of Violence and Conflict in Target Areas and Populations
- IR1.3 Citizen Voice and Responsible Participation Increased

DO2 is defined as "Improved Levels of Economic Growth and Social Development in the Western Highlands." This objective will be met through three IRs:

- IR 2.1 Broad Based Economic Growth and Food Security Improved
- IR 2.2 Access to and Use of Sustainable Quality Health Care and Nutrition Services Expanded
- IR 2.3 Education Quality and Access Improved

The CBPT Project will indirectly contribute to DO 2, which hypothesizes that social and economic equity will stem from parallel improvements in the income, health, nutrition, and

²¹ See [Legacies of Exclusion](#), pp. 31 and Annex H.

²² See [USAID/Guatemala CDCS](#). United States Agency for International Development. 2013.

education of Guatemala's rural communities. Increased income alone has proved insufficient to address Guatemala's health, education, and nutrition deficiencies; therefore, USAID works with the GOG in the Western Highlands to simultaneously improve economic opportunities and the access to and utilization of quality health, nutrition, and education services. By reducing social conflict and violence, which undermine overall development, the project will support and allow for overall gains in economic growth and social development in the Western Highlands.

The CBPT Project will partially be funded through the Central American Regional Security Initiative (CARSI), which is a partnership between the governments of the United States and Central America to improve citizen security and the rule of law in the region.²³ One of the key approaches identified under CARSI is addressing the root causes of crime and insecurity, which includes supporting preventative and development programs to ensure that citizens are secure. The five pillars of CARSI are:

1. Create safe streets for the citizens of the region;
2. Disrupt the movement of criminals and contraband to, within, and between Central American nations
3. Support the development of strong, capable, and accountable Central American governments;
4. Re-establish effective state presence, services, and security in communities at risk; and
5. Foster enhanced levels of coordination and cooperation between the nations of the region, other international partners, and donors to combat regional security threats.

Notable in the CARSI approach is an emphasis on a holistic strategy for improving citizen security that includes a focus on strengthening institutions, promoting transparent and participatory local governments, and addressing social exclusion and lack of access to basic services. The CBPT Project seeks to build the capacity of local municipal governments and communities to address sources of social conflict and violence.

3. PROJECT DESCRIPTION

a. Project Objectives

The CBPT Project has three mutually reinforcing objectives:

1. Establish and/or strengthen inclusive community-led engagement, dialogue, and mapping to identify, prioritize, and develop action plans addressing sources of and resilience to social conflict.

The Recipient will engage all community members and groups, including marginalized persons, to identify, prioritize, address, and resolve the particular sources of social conflict and violence

²³ See [The Central American Regional Security Initiative: A Shared Partnership](#). U. S. Department of State, Bureau of Public Affairs. March 2014.

in their community. This engagement should also include local power and statutory and traditional authority structures. This can take place through multiple processes and dialogues that identify the most salient sources of conflict and resilience,²⁴ and develop plans to address sources of conflict. These processes will reveal, over time, points of conflict—whether public or private, latent or active, or undisclosed. Conflicts may be intra-familial, gender-based, inter-generational, intra-community, and/or between communities and external actors.

The Recipient will seek to address the drivers of social conflict by focusing on four of the general categories of recommendations proposed by the conflict vulnerability assessment team—youth and families; governance; land; and extractive industries and natural resource exploitation. However, the project will not be limited to these categories since specific activities will be tailored based on the community-led social conflict mapping and prioritization. The Recipient must keep in mind the structural and institutional patterns that underpin working in the Western Highlands and contribute to the conflict context in each community and/or municipality.

The Recipient should also seek to address any identified trends in drivers that may emerge across various communities and municipalities and/or those that may be present at the municipal, departmental or national levels, based on data gathered during the conflict mapping. Given the CLA approach, the Recipient should allow for flexibility to address emerging conflict trends at various governance levels.

Expected Results:

- Establishment or strengthening of existing fora in communities that bring together all community members and groups, local government, and traditional authorities to 1) facilitate inclusive dialogue, engagement, and cooperation within and between communities, and with municipal government authorities, and 2) actively involve all community members, local government, and traditional authorities.
- Community action plans developed in an inclusive manner to prioritize and address sources of conflict, challenges, and needs; strengthen resilience; and take advantage of opportunities.
- In coordination with existing non-governmental and governmental programs in target communities and municipalities (or other governance levels that may emerge),

²⁴ From the perspective of conflict assessment, perhaps the most salient dimension of resilience is the resilience of those aspects of state and society that support the non-violent resolution of conflict and the redress of grievances. Analysis of resilience can include institutions and mechanisms in society that directly facilitate the management of social conflicts. See USAID [Conflict Assessment Framework Version 2.0](#).

establishment of a trained network of community mediators who include men and women, youth, and those from various ethnic, religious, and socioeconomic backgrounds that apply skills in negotiation and dialogue to local conflicts.

- Increased levels of trust among community members, and within and between communities and, where appropriate, municipalities.
- Increased levels of trust between civil society and statutory and traditional authorities.

Illustrative Indicators:

- Number of community plans developed in an inclusive and participatory manner to address identified sources of conflict;
- Percentage and diversity of citizens engaged in cooperative community dialogue and plan development;
- Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance;
- Number of instances where youth leaders of community service and civil society organizations act as catalysts to prevent or reduce violence and/or promote social development;
- Percentage of community members who say that youth and women play an important role in promoting a culture of peace in the community;
- Percentage of community members reporting domestic violence as unacceptable under any circumstances;
- Change in perception of trust among community members, and within and between communities and, where appropriate, municipalities;
- Change in perception of trust between civil society and statutory and traditional authorities; and
- Perceptions of community dialogue processes as a method to reduce conflict and strengthen social cohesion within and between communities and, where appropriate, municipalities.

2. Build partnerships between communities and external entities to implement plans prioritized by communities.

Activities under this objective will be tailored to the most salient issues identified by the social conflict mapping and planning, and will likely differ from community to community. Based on appropriate analysis and due diligence, the Recipient will support existing and build new partnerships with governmental and traditional authorities, the private sector, CSOs, and religious leaders to provide financial, in-kind, and public support for the implementation of plans and other opportunities to address the drivers of social conflict, reinforce resilience, and increase social cohesion. The Recipient should also support interventions and opportunities to address

drivers of conflict beyond those specific to targeted communities and that trend across communities, municipalities, and/or at present at the national level.

Expected Results:

- Community action plans implemented in at least 200 communities with engagement from a combination of stakeholders to address drivers of social conflict and promote cohesion within and between communities.
- Community, government, private sector, and other stakeholders' contributions to the implementation of community action plans, including labor, cash, and in-kind support, identified and mobilized. Increased participation of women and women-led organizations in the implementation of community action plans.
- Increased capacity of communities and local governance entities (including traditional authorities) to engage effectively with the private sector, local governments, and national GOG agencies²⁵ in the management and mitigation of social conflict.
- Increased capacity of women to have a role in conflict resolution at the local and national levels.
- Increased interaction and opportunities for communication, positive working relationships, and joint programming between traditional and statutory authorities at the local level.
- Increased interaction and opportunities for communication, positive working relationships, and joint programming between men and women.
- Decreased perception of an intergenerational gap in target communities.²⁶
- Increased engagement with and support of key external actors—including the private sector—to advance conflict transformation.

Illustrative Indicators:

- Change in levels of conflict and violence in target communities;
- Number of approaches developed that prevent and/or disrupt social conflict from resulting in violence or dividing the community;
- Number and quality of community plans implemented to address identified sources of conflict and reinforce resilience to conflict;
- Percentage of youth in target communities engaged in violent activities;
- Number of conflict mitigation plans jointly developed with private sector input;
- Percentage of financial and in-kind funds out of total budget for action plan implementation leveraged from communities, government, and the private sector;
- Change in the number of violent incidents in target communities;

²⁵ National agencies with important conflict mitigation responsibilities are listed in Objective 3.

²⁶ Intergenerational differences resulting from shifts away from agriculture and the influence of technology, migration, and gangs make it harder for parents to guide, influence, and monitor their children. The alienation of parents from youth leaves the latter without mentors, stimulates intra-household strife, and triggers adult fears. In some instances, this is resulting in the criminalization of youth as “gang members” by local law enforcement entities and security commissions with potentially serious consequences for both the youth and the community. See [Legacies of Exclusion](#).

- Change in perception of intergenerational conflict following project activities; and
- Change in perception of the role of women in conflict resolution engagement.

3. Strengthen GOG and non-governmental capacity to participate in managing, responding, and resolving local conflicts.

The GOG institutional framework includes several entities that have a mandate to address conflict from different perspectives. The Coordinating Presidential Commission for Executive Policy on Human Rights (COPREDEH in Spanish) and the Presidential Commission for Dialogue (CPD in Spanish) have a broad mandate to respond to and address conflicts of diverse types and sources. Other entities with important conflict responsibilities or involvement include the Secretariat for Agrarian Affairs (SAA), the Ministry of Energy and Mines, the Ministry of Environment and Natural Resources, the Cadastre Information Registry (*Registro de Información Catastral* (RIC) in Spanish), the Land Fund (*Fondo de Tierras* in Spanish), and the Ministry of Labor as it relates to ILO Convention 169.²⁷ The Human Rights Ombudsman (*Procuraduría de los Derechos Humanos* (PDH) in Spanish) has a Constitutional mandate to ensure the protection of human rights and mediate conflicts. These GOG entities have overlapping roles, while the CPD is still without a budget or significant staff. Municipalities also participate in conflict resolution, particularly in municipal inter-institutional agrarian commissions and municipal agricultural offices.

However, institutionalizing central GOG and municipal roles in conflict mitigation and resolution remains difficult, and some entities depend on donor funding. The development and application of a coordinated policy for conflict mitigation and resolution faces two main challenges: first, the change in focus with each governmental administration and second, the lack of understanding of the dynamics that generate conflict.²⁸ In addition, GOG institutions are at times not seen as effective or even legitimate, and may come into conflict with traditional governance structures.

Guatemalan NGOs, such as faith-based and women-led organizations, working in the Western Highlands, may play a supporting or advocacy role with communities. Indigenous and rural organizations are also important actors in conflicts involving the private sector and/or government actors. NGOs cannot substitute for government's responsibilities to mediate conflicts and enforce compliance with agreements. But NGOs can develop the capacity to advocate and negotiate more effectively, without resorting to violence. They can also serve as important bridges between communities and external actors by maintaining open lines of communication and making use of existing laws and GOG institutional channels.

Expected Results:

- Governmental and non-governmental actors at the national and local levels have increased capacity to identify conflict triggers and manage and/or mediate conflicts,

²⁷ For an analysis of the GOG's institutional arrangements for conflict prevention, see [Resiliencia y Construcción de Paz](#). Interpeace. March 2016. pp. 146-152.

²⁸ For analysis, see [Mas allá del conflicto](#), Chapter 4.

based on a thorough understanding of the multi-cultural, multi-generational, gendered, and local context of communities, municipalities or departments.

- The GOG, local government authorities, traditional authorities, and non-governmental actors have increased institutional capacity to address conflicts between and within communities and with other key stakeholders, including the private sector, in a legitimate and transparent manner.
- Increased knowledge flows and information sharing among key stakeholders (i.e., GOG entities, local governance authorities, communities, and the private sector) regarding community consultations²⁹ as per International Labor Organization (ILO) Convention 169 on indigenous rights.
- Process for conducting community consultations, including the establishment of national standards, as per ILO Convention 169 supported in order to be credible, recognized, and effective.
- Sustainable, legitimate, and effective mechanisms and processes for addressing and solving conflicts are established and recognized.

Illustrative Indicators:

- Perception among community members and civil society organizations of the role of the government in local conflict resolution;
- Increased capacity of national and local governmental (statutory and traditional) and non-governmental actors to respond to and resolve conflicts at the local, municipal, and/or national levels;
- Proportion of statutory authorities that referred one or more appropriate conflicts to traditional and/or customary mechanisms for dispute resolution;
- Number of times over the past year local council officials have worked in coalition with other local councils, civil society, and/or private sector to engage higher-level authorities on matters of local governance or national policy; and
- Proportion of conflicts that have a credible, recognized, and effective process and mechanism to reach resolution.

b. Core Implementation Principles

The Recipient will incorporate practices that USAID/Guatemala identifies as Core Implementation Principles (CIP). USAID/Guatemala will not prescribe how to achieve the project's objectives, but has identified principles believed to be necessary for success and for a more sustainable approach. The Recipient will be expected to implement an approach that aligns with the following principles:

²⁹ Community consultations (known in Guatemala as *consultas*) are based upon ILO Convention 169, which provides for the right of indigenous and tribal communities to exercise control over their own development, and establishes their right to participate in development plans which may directly affect them. However, this right is inadequately regulated in Guatemala. Most consultations have taken the form of non-binding votes. Violent conflict in response to mining and other extractive industry projects often arises when the will of these votes is not respected, and no effort is made to mediate opposing interests. See the [Legacies of Exclusion](#), pp. 29-31.

1. **Continuous collaboration, systematic learning, and adaptation of implementation approach.** The Recipient should employ a project management strategy that allows adaptation of approaches based on learning, experience, and inputs from both internal and regular assessments and evaluations and external researchers and evaluators.

2. **Use of local systems and building of local capacity.** As a long-term strategy for sustainability, the Recipient should identify opportunities to strengthen Guatemalan public institutions and systems and build local civil society capacity, including of women, youth, vulnerable and marginalized persons, to engage in conflict transformation.

3. **Promotion of equity.** Inequity has served as a historic source of tension and conflict in Guatemala. As a result, the Recipient should incorporate approaches for promoting equity and encouraging dialogue and mutual understanding across various economic, social, gender, and political divides.

4. **Scale-up and sustainability of successful approaches.** The Recipient is expected to identify, build on, scale, and sustain approaches that have demonstrated success in addressing diverse sources of conflict, increasing social cohesion, and building peace in the Western Highlands. USAID expects that there will be cross-learning between the project's target communities, and adaptation based on lessons learned during development and implementation of interventions in different communities.

5. **Maintain objectivity and credibility.** Given the potential sensitivities and complexities surrounding the CBPT Project, the Recipient is expected to maintain objectivity and credibility among conflicting parties so as not to be perceived as being partial to one side or the other.

6. **Development and use of strategic communications.** The Recipient is expected to develop and use a strategic communications strategy³⁰ that includes and distinguishes between social marketing and/or Social and Behavior Change Communications (SBCC) and institutional communications, as well considers expected synergies between the two disciplines of communication. USAID expects that the Recipient will integrate the strategy throughout the life of the project—from design to implementation, monitoring, evaluation, and learning—and dedicate appropriate staffing and resources.

c. Geographic Focus

The Recipient will help develop and implement action plans to address social conflict in at least 200 communities in at least 20 municipalities of the five Western Highlands departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán, which are currently prioritized by USAID/Guatemala for reducing poverty and chronic malnutrition. The Recipient may consider working in and outside the 30 municipalities under USAID's Western Highlands Integrated Program (WHIP).³¹ The Recipient should seriously consider targeting communities

³⁰ See Annex 5 for additional information on Strategic Communication.

³¹ See Annex 1 for a list of the WHIP municipalities.

within the municipalities prioritized by the GOG under the Plan of the Alliance for Prosperity in the Northern Triangle (A4P).³²

USAID anticipates direct activities in communities selected based on objective criteria proposed by the Recipient. The Recipient is expected to finalize a targeting strategy to identify communities based on a balance of factors that capture the need to reduce acute social conflict, potential and opportunities for interventions to make an impact, political and social will to address the identified conflict, and community development needs. USAID also expects the Recipient to strike a balance between 1) expanding current USAID reach in the Western Highlands by working in communities that do not have a strong USAID presence, and 2) building upon existing USAID partner experience and coordination to efficiently move project implementation forward.

d. Collaborating, Learning, and Adapting (CLA) Approach

The CBPT Project is expected to incorporate a systematic CLA approach that involves strategic collaboration, continuous learning, and adaptive management.³³ The CLA approach is based on the understanding that development efforts yield more effective results when coordinated and collaborative; test promising, new approaches in a continuous manner to identify improvements and efficiencies; and build on what works and eliminate what does not. CLA creates the conditions for fostering broader development success by:

- **Collaborating:** Facilitating collaboration internally and with external stakeholders to understand local systems, context, and relationships, as well as to strengthen locally-led socio-economic development. This will also facilitate learning and knowledge sharing among projects that are related and complementary to the CBPT Project and the institutions it seeks to strengthen.
- **Learning:** Generating and incorporating new learning, innovations, and performance information into the project strategy to inform management and design. USAID expects the Recipient to use innovative methodologies for learning and data collection. In addition, the Recipient should define and execute a monitoring, evaluation and learning (MEL) Plan as a tool to support CLA and capture project progress and performance to ensure objectives are being met and learning captured.
- **Adapting:** Translating learning from implementation experience or external sources into strategic and programmatic adjustments, considering changing conditions and emerging risks and game changers. This is achieved by adjusting work plans, interventions, management structures, and operational approaches to account for contextual shifts or

³² See Annex 2 for a list of the GOG's priority A4P municipalities and Annex 3 for a map of WHIP and A4P municipalities. The GOG has selected 51 priority municipalities for A4P—some of which are outside the CBPT's five target Western Highlands departments. The Project's geographic strategy must be restricted to the five departments.

³³ See [USAID's Learning Lab](#) for additional information on CLA.

learning from a team's experience, while explicitly sharing a clear, well-articulated rationale for adjustments along the way.

In addition to the overall CLA approach, the project will apply two separate, but inter-related elements for monitoring, evaluation, and learning (MEL). Each of these elements of CLA will be applied in conjunction with USAID to ensure optimal collaboration and solid understanding of the roles and responsibilities of different partners. Each element is described in more detail below:

1. Internal MEL Systems and Practices. The Recipient will develop and apply strong internal MEL systems. As part of the project's implementation, the Recipient, working closely with USAID/Guatemala, should develop dynamic MEL practices that contribute to CLA. Performance monitoring will continue throughout project implementation, while learning phases will provide opportunities for intensive analysis, reflection, and evaluation. An external research partner will conduct an evaluation to assess the impact of different interventions and will therefore be involved in developing the project's learning agenda.

As an integral part of the MEL systems and practices, the Recipient will be expected to integrate gender considerations, including indicators, to monitor and evaluate if the project is having a differentiated impact on women, men, and vulnerable groups in the targeted communities.

The Recipient is expected to use different methods of monitoring (including emerging and innovative monitoring strategies applicable to complex projects); ensure learning continues throughout the project life cycle; demonstrate how results at the local level relate to broader system changes; and engage communities to the maximum extent possible in the learning process. Wherever possible, community members should be engaged in monitoring project activities, co-designing the research and learning agenda, collecting and analyzing data, formulating conclusions, and disseminating results as part of a collaborative learning model.

2. Role of External Evaluation Partner. USAID intends to separately procure an independent impact evaluation of the CBPT Project. The impact evaluation will measure different interventions within the project and contribute to USAID's understanding of conflict programming.³⁴ As part of the impact evaluation, the external partner will conduct randomized control trials on specific interventions within CBPT. The Recipient will therefore be required to work with USAID and the evaluators to ensure the successful implementation of the impact evaluation. Consultation with USAID and the evaluation partner on plans for implementation will be required before implementation begins, so that the most rigorous impact evaluation can be implemented. USAID and the evaluation partner will need to be consulted on the nature of the proposed intervention activities, implementation protocols or standard operating procedures, and the plan for roll-out and full-scale implementation of interventions. USAID expects that the external evaluation partner will provide input into the Recipient's process for site selection prior to and during implementation. This is to ensure that intervention implementation does not restrict the options for impact evaluation methods. USAID also expects that the Recipient will review and provide input on the impact evaluation design, tools, and reports.

³⁴ Refer to Annex 4 for additional information on the impact evaluation.

4. CROSS-CUTTING PRINCIPLES

a. Gender

USAID's commitment to advance gender equality and pursue gender as a key development issue must be fully reflected in this project. Gender considerations must be integrated into the activities, ensuring that men and women, as well as vulnerable groups, benefit from USAID support and that gender awareness is a built-in component of the activities. The history of exclusion and isolation of women in the Western Highlands, as well as their limited experience engaging with national institutions, means that particular measures must be taken to provide them with the tools to participate in project activities and opportunities. The Recipient must ensure all interventions comply with the USAID Gender Equality and Female Empowerment Strategy Policy to enhance women's empowerment and reduce gender gaps.³⁵

b. Empowering Indigenous and other Marginalized Populations

Forty-one percent of Guatemala's population identified themselves as indigenous in the 2002 Census. Social conditions for the indigenous population, especially women, have been slow to improve. Income inequality remains high, and two-thirds of the indigenous rural population remains poor. The active participation of indigenous groups in design and implementation of local initiatives, as well as national and local policy-making processes, is a core component of the CBPT Project.

c. Coordination

Linkages to other USAID/Guatemala Projects

The Recipient will be expected to coordinate activities with other USAID partners, particularly those working in the Western Highlands. USAID and its implementing partners collaborate with GOG officials and leaders at the community, municipal, departmental and regional levels to achieve shared goals of reducing poverty and chronic malnutrition. The Recipient will actively participate in all coordination activities and collaborate on approaches, such as social behavior change communications (SBCC), among others, with other USAID and U.S. Government-funded partners.

USAID projects currently implemented in the Western Highlands and their respective implementing partners are:

- Nexos Locales (Development Alternatives Inc.): <http://www.usaidnexos.org>
- *Clima, Naturaleza y Comunidades en Guatemala* (CNCG) (Rainforest Alliance): www.usaid-cncg.org
- *Leer y Aprender* (Juarez Associates): www.usaidlea.org

³⁵ See [USAID's Gender Equality and Female Empowerment Policy](#). United States Agency for International Development. March 2012.

- Rural Value Chains Quetzaltenango, Totonicapán, and Quiché (Guatemala Exporters Association-AGEXPORT)
- Rural Value Chains San Marcos and Huehuetenango (National Coffee Association-ANACAFE)
- Cooperative and Food Security Development in Guatemala (National Cooperative Business Association-NCBA/Cooperative League USA-CLUSA)
- *MasFrijol* – Greater consumption, better health (Michigan State University)
- CGIAR Fund - *Buena Milpa* (World Bank)
- Monitoring and Evaluation Program (DevTech)
- Maternal and Child Survival Program (Save the Children)
- Health and Education Policy Project (Futures Group)
- Food Security Focused on the First Thousand Days/*Seguridad Alimentaria en los Primeros Mil Días* – SEGAMIL (Catholic Relief Services)
- Western Highlands Program of Integrated Actions for Food Security and Nutrition/*Programa de Acciones Integrales de Seguridad Alimentaria y Nutricional de Occidente* (PAISANO) (Save the Children Federation, Inc.)
- Communities Leading Development (Catholic Relief Services)
- Community Roots (World Vision)
- Urban Municipal Governance (Tetra Tech ARD)
- Puentes Project (World Vision)
- Creating Economic Opportunities for Youth (implementer TBD)
- Harnessing Emerging Political Leadership for an Accountable Guatemala (implementer TBD)

Two projects implemented in the Western Highlands are of particular relevance to CBPT: Nexos Locales and the recently awarded Communities Leading Development. The Nexos Locales Project, which is implemented by DAI Global LLC, works with 29 municipalities to foster more responsive, inclusive, and effective socio-economic development, while reducing local vulnerabilities such as food insecurity and natural disasters.³⁶ To achieve this goal, the project works at the intersection—or nexos—of good governance and economic development. Nexos Locales aims to increase the capacity of municipal governments to raise revenue; respond to citizen concerns about violence and security, food insecurity, and global climate change; and improve public financial management. Nexos Locales work with the municipalities to improve basic service delivery and security plans, as well as increase civil society participation in decision-making.

The Communities Leading Development Project, which is implemented by Catholic Relief Services (CRS), will empower citizens of Guatemala’s Western Highlands to identify and address their own development needs. Using a community-based development approach, the project will strengthen the voices of underrepresented groups and engage community members as participants and leaders in the design and implementation of development projects. The project will support cross-sectoral development to address the underlying determinants of community well-being.

³⁶ For additional information, refer to [Nexos Locales Project](#) website.

The CBPT Project must also closely coordinate with the following projects that will be implemented inside and outside the Western Highlands: the recently awarded Community Roots³⁷ and Urban Municipal Governance (UMG); and Creating Economic Opportunities (CEO)—the latter does not yet have a determined implementing partner at the time of this solicitation. The Community Roots Project, which is implemented by World Vision, is a violence and crime prevention project with the overall goal of supporting efforts by the GOG, civil society and community actors to address the causes and consequences of violence and migration through holistic prevention approaches. As such, the Community Roots Project is an initiative intended to support national, municipal, and community-level authorities and civil society stakeholders to institutionalize proven, integrated violence prevention approaches in targeted areas that address both the structural and trigger factors associated with violence, crime and migration. The project will be implemented in communities not served by USAID’s CONVIVIMOS Project—a violence prevention initiative that focuses on six municipalities of Guatemala Department.

The UMG Project, which is implemented by Tetra Tech, is designed to reduce levels of violence in municipalities most at risk of violent crime through enhanced municipal governance, increased coverage and quality of municipal services, and greater citizen participation and oversight. The project complements the CONVIVIMOS and Community Roots Projects by improving the ability of municipal governments to work with citizens to design, fund, implement, and sustain crime and violence prevention activities. For this reason, the UMG Project will share a geographic focus with the two projects and will be implemented in 21 urban municipalities, including in Guatemala Department and the Western Highlands and Eastern regions.

Through a market-led approach, the Creating Economic Opportunities Project will seek to grow and expand formal businesses and employment to create income-generating opportunities for Guatemalans, primarily in non-agricultural sectors. The project will work in Guatemala Department and the five Western Highlands departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán. The project’s three components are: 1) trade and investment promoted; 2) financial services mobilized; and 3) productive infrastructure upgraded.

Coordination with Local, Municipal, and National Government Entities

Coordination and support from local, municipal, and national GOG entities will be vital for the achievement of CBPT objectives. Local governments (municipal authorities, municipal and community development councils) hold significant potential to coordinate and deliver sustainable civil society engagement on issues related to local development. It is important that the Recipient engages municipal level governments and councils to support their violence and migration prevention efforts, as well as share lessons learned and success stories with national GOG entities and other municipalities implementing similar projects and programs.

Coordination with Other Donors and Programs/Projects

The Recipient will ensure close collaboration and coordination with other actors including: other USG agency-funded programs/projects; the Government of Guatemala; municipal governments; local and international universities and other training institutions; the technical ministries of the

³⁷ For additional information, refer to the [Notice of Funding Opportunity](#) for the Community Roots Project.

Government of Guatemala; non-governmental organizations (NGOs) and community groups; private firms and associations; and other donor partners and agencies.

To avoid the duplication of efforts and to maximize donor output, the Recipient will coordinate work with other USG efforts and donors in the field and leverage complementary donor funding. Examples of these donors include, but are not limited to: the European Union, Spanish Agency for International Development Cooperation (AECID), German Agency for International Cooperation (GIZ), Inter-American Development Bank (IDB), and World Bank.

d. Integrated Conflict Sensitivity Approach³⁸

USAID/Guatemala requires that partners take into account the social conflict dynamics in all projects in order to support the overarching goal of a more secure Guatemala that fosters greater socio-economic development and sustainably manages its natural resources. Conflict sensitivity encourages organizations to understand and track the conflict dynamics in the contexts in which they are working. As changes arise, organizations must adapt their projects to minimize potential negative effects on conflict and build upon positive effects. The application of conflict sensitivity usually does not require a major restructuring of a project or an explicit focus on peacebuilding; adjusting small project details can have significant impacts on the project's interaction with the conflict context. Thus, conflict sensitivity is the ability of an organization engaged in any kind of intervention to:

1. Understand the conflict dynamics in the context in which it operates, particularly with respect to inter-group relations;
2. Understand the interaction between their intervention and the conflict dynamics in the context; and
3. Act upon this understanding in order to minimize unintended negative impacts and maximize positive impacts of their interventions on the context of conflict.

In an effort to ensure interventions are conflict-sensitive, projects' design and implementation must ensure that: a) they do not inadvertently create or exacerbate social conflict; b) they factor in the possible impact of existing or potential conflict on staff, implementing partners, beneficiaries, and the activities themselves; c) they seek appropriate opportunities to mitigate tensions and sources of conflict; and d) they support constructive collaboration between communities in conflict when possible. To better understand conflict dynamics in the Western Highlands, refer to USAID/Guatemala's conflict vulnerability assessment.

END OF SECTION A – PROGRAM DESCRIPTION

³⁸ Applicants are encouraged to use resources available on Peace Exchange. Peace Exchange is an open, online platform with a focus on conflict sensitivity hosted on [DME for Peace](#), which offers resources on conflict sensitive practices, tools, and literature. Further information on *do no harm* can also be found in the following handbook: [The Do No Harm Project. The "Do No Harm" Framework for Analyzing the Impact of Assistance on Conflict: A Handbook](#). CDA Collaborative Learning Projects. Cambridge, MA: 2004.

ANNEXES

Annex 1: List of Priority Municipalities under USAID/Guatemala's Western Highlands Integrated Program (WHIP)

Annex 2: List of GOG's Priority Municipalities for the Plan of the Alliance for Prosperity in the Northern Triangle (A4P)

Annex 3: Map of WHIP and A4P Municipalities

Annex 4: Additional Information on External Impact Evaluation

Annex 5: Strategic Communication to Augment Program Results and Impact

Annex 6: References and Resources

Annex 7: Gender Analysis for USAID's Citizen Security Development Objective

Annex 1: List of Priority Municipalities under USAID/Guatemala's Western Highlands Integrated Program (WHIP)

Department	Municipality	2013 Population ³⁹
Huehuetenango		
	1. Todos Santos Cuchumatanes	36,009
	2. San Sebastian Huehuetenango	29,930
	3. Santa Cruz Barillas	147,314
	4. Concepción Huista	19,154
	5. San Antonio Huista	18,641
	6. La Democracia	45,201
	7. Jacaltenango	45,458
	8. La Libertad	39,048
	9. Chiantla	95,986
	10. Cuilco	60,306

Quetzaltenango		
	11. San Juan Ostuncalco	53,687
	12. Concepción Chiquirichapa	18,437

Quiché		
	13. Uspantán	69,462
	14. Cunén	37,473
	15. Sacapulas	48,428
	16. Chichicastenango	152,833
	17. Nebaj	88,542
	18. San Juan Cotzal	28,692
	19. Chajul	55,438
	20. Zacualpa	49,258

San Marcos		
	21. San Miguel Ixtahuacán	37,303
	22. San Rafael Pie de la Cuesta	15,978
	23. Sibinal	16,585
	24. Tajumulco	58,409
	25. Nuevo Progreso	37,954
	26. San Jose El Rodeo	17,295
	27. San Pablo	54,659

³⁹ Population estimates from Guatemala's National Statistics Institute (*Instituto Nacional de Estadística – INE*) Retrieved from: https://www.academia.edu/16852013/Estimaciones_de_poblacion_guatemala_poblacion-total-por-municipio1. Although the GOG has not conducted a national census since 2002, INE periodically prepares population projections for the country.

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Communities Building Peace Together (CBPT)

	28. San Lorenzo	12,198
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Totonicapán		
	29. Momostenango	132,854
	30. Santa Lucia la Reforma	23,231

Annex 2: List of GOG's priority municipalities for the Plan of the Alliance for Prosperity in the Northern Triangle (A4P)

Department	Municipality
Alta Verapaz	
	1. Cobán
	2. Tamahú
	3. Tukurú
	4. Panzós
	5. Senahú
	6. San Pedro Carchá
	7. Chisec
	8. Chahal
	9. Fray Bartolomé de las Casas
	10. Santa Catarina La Tina
	11. Raxruhá

Chiquimula	
	12. Jocotán
	13. Camotán

Huehuetenango	
	14. Chiantla
	15. La Libertad
	16. Todos Santos Cuchumatanes
	17. San Sebastián Huehuetenango
	18. Huehuetenango
	19. Malacatancito
	20. Nentón
	21. San Pedro Necta
	22. Santa Bárbara
	23. San Idelfonso Ixtahuacán
	24. Santa Bárbara
	25. San Miguel Acatán
	26. San Sebastián Coatán
	27. Santa Cruz Barillas

Quiché	
	28. Nebaj
	29. Zacualpa
	30. Chajul
	31. Chichicastenango
	32. Cunén
	33. San Juan Cotzal

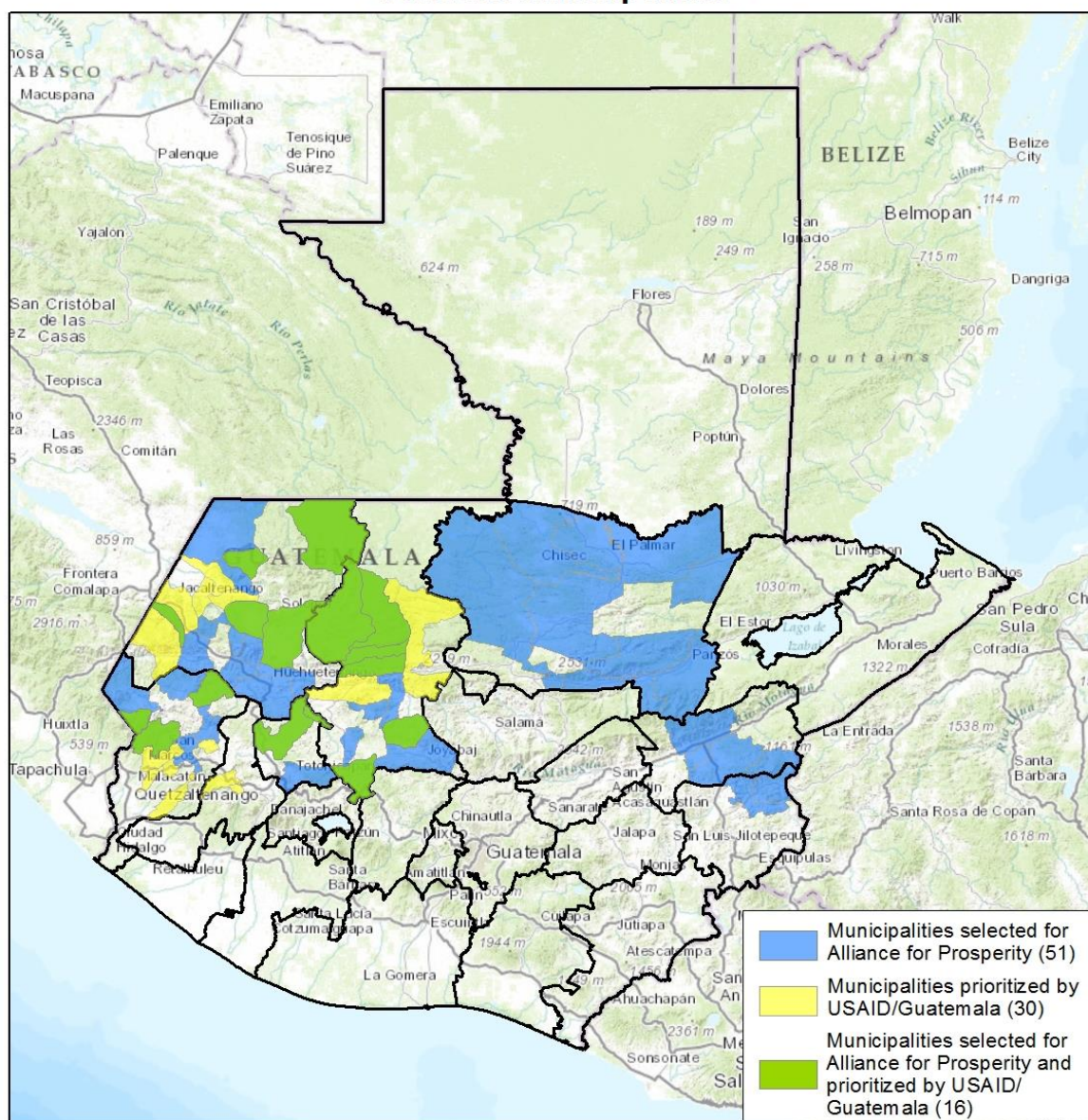
	34. Santa Cruz del Quiché
	35. Joyobaj
	36. San Andrés Sajcabajá
	37. San Bartolomé Jocotenango

San Marcos	
	38. San Miguel Ixtahuacán
	39. Sibinal
	40. Tajumulco
	41. San Marcos
	42. Concepción Tutuapa
	43. Tacaná
	44. Comintacillo

Totonicapán	
	45. Momostenango
	46. Santa Lucía la Reforma
	47. Totonicapán

Zacapa	
	48. Zacapa
	49. Estanzuela
	50. Río Hondo
	51. La Unión

GUATEMALA
ALLIANCE FOR PROSPERITY IN THE NORTHERN TRIANGLE
- Selected Municipalities -



Annex 4: Additional Information on External Impact Evaluation

a. Brief Description of the Impact Evaluation

Consistent with objective one of the CBPT Project, the evaluation partner will conduct an impact evaluation that investigates how specific community involvement and engagement shape the forms of programming identified by communities; the types of interaction with statutory and traditional institutions that result from this programming; and, most importantly, how specific forms of community engagement cause eventual reductions in social conflict.

The Recipient will be expected to work closely with USAID and the evaluation partner to ensure the successful implementation of the impact evaluation. The evaluation will examine the impacts of a low-cost intervention that will be added to the CBPT Project envisioned by the Recipient. This intervention will be designed by the evaluation partner in coordination with USAID and the Recipient. The Recipient will be responsible for implementing the intervention within CBPT's budget. The evaluation will also evaluate the impact of the CBPT Project as envisioned by the Recipient.

To allow for a rigorous impact evaluation, the evaluation partner will coordinate with the Recipient to develop a scheme whereby communities eligible to benefit from the CBPT Project are assigned to the following three conditions:

1. Core CBPT programming as designed by the Recipient in line with section 3;
2. Core CBPT programming with an additional intervention; and
3. No programming, which will serve as the control condition.

An equal number of communities eligible to receive the CBPT Project will be assigned to these three conditions: 100 shall receive condition one; 100 shall receive condition two; and another 100 shall be assigned to the control condition. Thus, the Recipient will be required to identify at least 300 communities in the same municipalities eligible to receive the CBPT Project, but to implement project interventions in a target of at least 200 communities. The evaluation partner will then select which communities will be assigned to each of the three conditions.

Impact evaluation data collection activities will occur at least three times: before project rollout; at one or more points during project implementation; and after project completion. The evaluation partner will be responsible for these impact evaluation data collection activities. These might be accompanied by periodic monitoring activities also under the responsibility of the evaluation partner.

b. Requirements for the Impact Evaluation

Consistent with section 3 (PROJECT DESCRIPTION – Role of the External Evaluation Partner), the evaluation partner and Recipient will work in close coordination throughout the life of the project. Specific collaboration will exist with regard to the identification of communities eligible for CBPT programming; design of the roll-out to communities as the project scales-up;

design and planning of programming (including monitoring, evaluation, and learning activities); and the assignment of communities to evaluation arms.

1. Prior to beginning community contact, the Recipient will coordinate with the evaluation partner to identify the 300 communities eligible for CBPT programming. This collaboration should result in the development of a list of communities and an instrument to carry out a rapid conflict assessment exercise in all of these communities. The information gathered during this assessment will inform the process of assigning communities to the different treatment conditions. The Recipient will be responsible for carrying out the rapid conflict assessment exercise.

2. Prior to beginning intervention activities, the Recipient will coordinate with the evaluation partner to provide inputs for the design and planning of CBPT programming. At the same time, the evaluation team will work with the Recipient and USAID to design and program the complementary intervention. This collaboration should result in the production of implementation protocols and standard operating procedures.

3. The Recipient will coordinate with the evaluation partner before commencing implementation of primary project interventions. The evaluation partner will randomly assign communities eligible to receive CBPT programming to the three treatment conditions—CBPT, CBPT plus complementary intervention, or control—with the Recipient’s advice. This collaboration should result in a full implementation schedule for community intervention.

4. The Recipient will respect the assignment of communities to the three treatment conditions. The Recipient will make a good-faith effort to not engage communities assigned to the control condition with either CBPT or other conflict-related programming. For communities assigned to receive particular treatment programming, the Recipient will likewise make a good-faith effort to maintain active programming consistent with treatment.

Annex 5: Strategic Communication to Augment Program Results and Impact

The cornerstone of sustained development is behavior change. To date, most programs to achieve these changes have relied upon disseminating information in top down style. Research demonstrates, however, that simply providing information has little or no effect on what individuals or businesses do and how they act.

For a development program to be successful, it must be based on an understanding of the needs, perceptions, aspirations and existing resources of the audiences most affected and those who influence them, rather than by programmers and development experts' assumptions of their needs.⁴⁰ A state-of-the-art approach to planning audience-driven programs will create “win-win” situations that expand and deepen the impact of development programs.

Studies show that the determining factors for development program success or failure are: 1) effective communication and 2) active participation from the people who can and want to change their behavior to achieve personal aspirations and reach mutual development goals.⁴¹ The World Bank reminds us of the value-added that social and behavior change communication (SBCC) brings to development programs in sectors as diverse as rule of law, reproductive health and environment conservation. Using SBCC as a program building block will take an important step towards more effective programs that significantly move the needle on behavior change.

1. Strategic Communication in USAID/Guatemala

USAID/Guatemala Communication Strategy:

USAID/Guatemala implements a Communication Strategy designed to tell the story of results and impact achieved under the Country Development Coordination Strategy (CDCS). The Communication Strategy was developed by staff in 2012 and has a Results Framework whose overarching objective is to achieve: *Greater social and behavior change among Guatemala target audiences and enhanced awareness and understanding among target audiences of the USAID development partnership with Guatemala.*

The three key Communications Results are:

- 1: **Citizen Input:** Increased citizen/participant voice is incorporated into communications
- 2: **Social and Behavior Change:** Increased design and implementation of full SBCC strategies in programs
- 3: **Institutional Visibility Communications:** More effective, consistent messages and information on the impact of USAID development partnership resonate with target audiences⁴²

⁴⁰ U.S. Department of Health and Human Services, National Institutes of Health, National Cancer Institute. Making health communication programs work: A planner's guide, 2008.

⁴¹ World Bank. [Development Communication Sourcebook: Broadening the boundaries of communication](#), 2008.

⁴² USAID/Guatemala's [Audience Research for Development Communication](#) study aimed at listening to the opinions and observations of USAID audiences in Guatemala. The study is a pioneering effort at conducting

All USAID implementing partners contribute to achieving these Results.

What USAID/Guatemala expects to achieve with Strategic Communication:

The USAID/Guatemala CDCS's Communication Strategy states that: "With SBCC we get better results and with institutional communication we share results."

Strategic communication for development is a theory of change that USAID/Guatemala embraces and encourages in programs and projects in all development sectors. Strategic communication has been proven to generate and enhance the structural and social support that people need to be empowered to become actors and adopters of behavior change that is sustained beyond the life of project assistance.

Imagine how engagement in development would grow if program staff, especially community-based partners wore vests, boots, backpacks and pads that communicate their role in supporting family well-being and community development.

USAID/Guatemala seeks to include SBCC and/or social marketing as technical approaches to establish a foundational base for program design, planning and implementation. These technical approaches are particularly essential for community-led development projects that discover and incorporate local systems and solutions into program design, planning, implementation, monitoring and evaluation.

USAID/Guatemala also seeks to include institutional (corporate) communications to tell the story of change to stakeholder audiences so as to engage them in the development process, through their support and/or active participation.

A robust communications strategy and appropriate staffing and resources to ensure strong, effective development communications are particularly important to the success of the CBPT Project. The project's Branding Strategy and Marking Plan will contemplate verbal, textual, and visual branding/marketing for events, materials, and messages for both social marketing/SBCC and institutional communication. Refer to ADS 320 and USAID's 2016 Graphic Standards Manual for additional guidance and information.

2. Theory of Change: Communication is an Essential Ingredient of Sustained Development

Development is generally understood as change in a positive direction that is sustained over time. To have lasting impact, development requires behavior change which, in turn, requires active participation from those who want the change to happen. Because behavior change is closely associated with social norms, beliefs, attitudes, policy and practice, human beings tend to participate actively when they perceive they have social support for their behavior.

primary research that combines quantitative and qualitative methodologies to collect data and information about respondents' understanding of development, communications, and USAID.

Communication, in its myriad forms, conveys this needed social support and acts to generate trust in the desired change; this is how communication engenders sustained behavior change.

“Meaningful participation cannot occur without communication. Unfortunately, too many development programs, including community-driven ones, seem to overlook this aspect and, while paying attention to participation, do not pay similar attention to communication, intended as the professional use of dialogic methods and tools to promote change. To be truly significant and meaningful, participation needs to be based on the application of genuine two-way communication principles and practices.”⁴³

Experience shows that behavior change interventions are most effective when designed and managed by the target audiences themselves, either through their direct participation in research, program activity design and implementation or through formative research conducted on the audiences.

“...Communication is increasingly considered essential in facilitating stakeholders’ engagement in problem analysis and resolution. ... Many past project and program failures can be attributed directly or indirectly to the limited involvement of the affected people in the decision-making process. The horizontal use of communication, which opens up dialog, assess risks, identifies solutions [and existing systems and resources], and seeks consensus for action came to be seen as a key to the success and sustainability of development efforts.”⁴⁴

“When not involved from the beginning, stakeholders tend to be more suspicious of project activities and less prone to support them. Conversely, when communication is used to involve them in the definition of an initiative, their motivation and commitment grow stronger.....The involvement of stakeholders in defining development priorities has advantages other than just gaining their support. It gives outside experts and managers valuable insights into local reality and knowledge that ultimately lead to more relevant, effective and sustainable project design.”⁴⁵

“The adoption of two-way communication [i.e. community-led design] to involve stakeholders as partners in the problem-analysis and problem-solving processes of development initiatives, rather than treating them as mere receivers of information, is fundamental for making changes effective and sustainable.”⁴⁶

3. Methodologies for Communication for Development:

⁴³ [Development Communication Sourcebook: Broadening the Boundaries of Communication. PMefalopulos, World Bank, 2008. Pg. 7](#)

⁴⁴ Ibid.

⁴⁵ Ibid, pg. 10.

⁴⁶ Ibid, pg. 16.

Social marketing and SBCC have been shown to deepen and expand the impact of development initiatives by generating behavior change above and beyond the traditional program activities of information dissemination, education, and awareness-raising. The methodologies are both based on an intimate understanding of target audiences.

Both methodologies are most effective when they underwrite or form the basis for the overall strategy design and implementation activity planning and tracking. Both social marketing and SBCC approaches to sustained development are based on applied formative research to understand target audiences from all perspectives: social, emotive, political, economic, historical, and aspirational. Ideally the formative research is a complement of qualitative and quantitative research from a variety of primary and secondary sources.

Social Marketing

Social marketing is part science, part art. It studies what influences and motivates given behaviors among groups of people; it includes the concept of exchange and competition—the assumption that people do things in exchange for benefits they hope and expect they can receive. Social marketing strategies are designed and implemented to either change or sustain the behaviors over time. Strategies are constructed around four traditional “P”s: Product (and/or Service and/or Idea), Place, Price (or cost), and Promotion (Communication).

Social marketing applies market research, strategic planning, advertising, public relations and other marketing tools to motivate and support the adoption and consistent use of ideas, services and/or products that lead to desired behavior change. It is most effective when it draws upon various technical skills and resources—audience research, behavioral science, creative communications, media and message development—to design and implement programs that offer meaningful benefits and reduce perceived and real barriers for the people it aims to reach. These technical tools and their strategic management are best complemented by solid community mobilization and services, as well as supportive and responsive local and national policies. Often the most powerful channels for engaging a target audience are the least obvious. Integrating these many voices to achieve common objectives is the cornerstone of an effective social marketing based program.⁴⁷ An essential component of social marketing is the development of effective communication campaigns.

USAID uses social marketing around the world in integrated and single sector program efforts in environment, reproductive health, maternal and child health, malaria control and HIV/AIDS.

⁴⁷ “Why Social Marketing,” U.S. Department of Health and Human Services and Centers for Disease Control and Prevention.

Social and Behavior Change Communication (SBCC)

USAID considers social and behavior change to be a product of multiple overlapping levels of influence, including individual, interpersonal, community and organizational, as well as political and environmental factors. As such, social and behavior change communication is a best practice in development organizations; an essential basis for effective programming that deepens and expands the impact and sustainability of development programs.

USAID defines SBCC as the systematic application of interactive, theory-based, and research-driven communication processes and strategies to create/enhance ‘tipping points’ and social support/mobilization for change at the levels of individual, community and society (the enabling environment). SBCC employs communications strategies in three areas of action: interpersonal, social mobilization, and advocacy.

High-quality SBCC is characterized by grounding in behavior change theory; use of a proven programmatic process; attention to both individual behaviors and interpersonal and social influences; and bi-directional, interactive communication. SBCC is based on formative research among audiences to develop and distribute coordinated messages, materials and activities through a range of different communication channels, including but not limited to traditional mass media and social media; community-level activities; interpersonal communication; and non-traditional media. USAID uses SBCC in integrated and single sector programs in reproductive health, nutrition, maternal and child health, and infectious disease control.

Annex 6: References and Resources

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USAID/Guatemala

Gender Analysis for USAID's Citizen Security Development Objective

In response to agency guidelines regarding gender analysis as well as guidance received from the Office of Gender Equality and Women Empowerment, the Community Strengthening Project Design Team generated a series of questions to identify gender gaps related to citizen security. Based on the potential gaps, the design team gathered the relevant information about gender-based constraints and opportunities across three critical areas of citizen security: violence and crime, resilience to violence, and access to and interaction with the justice system. Data was collected during January and February 2013 from published reports and from key informant interviews held in Guatemala City during February 2013. A full list of key informants is attached at the end of this document. The following analysis describes the relevant gender gaps and identifies programmatic responses to those gaps critical to achieving the Community Strengthening Project's objective.

I. Violence and Crime

1. How does violence affect women and men differently as victims?

Gender-based violence (GBV) both reflects and reinforces inequities between men and women and compromises the health, dignity, security and autonomy of its victims. It encompasses a wide range of human rights violations, including sexual abuse of children, rape, domestic violence, sexual assault and harassment, trafficking of women and girls, targeting LGBT for assault and rape, and several harmful traditional practices. Any one of these abuses can leave deep psychological scars, damage the individual's health of in general, including their reproductive and sexual health, and in some instances, may results in the death of the victim. According to the United Nations Population Fund (UNFPA), gender-based violence is the most pervasive yet least recognized human rights abuse in the world¹.

Women and men are affected differently by crime and violence in Guatemala. Figure 1 below shows the distribution of crimes by sex. As can be seen, men make up the majority of the victims of most crimes, particularly robbery and assault. However, women make up the overwhelming majority of victims of domestic violence and rape. Data are not available by sexual orientation, as police record the victim's sex according to his/her identity card only and not according to sexual orientation. Machismo, economic inequality between men and women, and the role of culture in perpetuating the cycle of violence are key factors that contribute to GBV, including domestic violence and femicide, in Guatemala. Unfortunately in Guatemala, in general, physical abuse is widely considered an appropriate way for a man to discipline his wife, lover or other female relation, as well as for parents to discipline their children. Homophobia is common and used as a justification for violence against LGBT. And key informants reported that the low regard for women's and girls' lives also is reflected in gang-related femicide in Guatemala City, where gang members may "punish" a rival by murdering his girlfriend, sister or mother.

¹ UNFPA, Gender Equality.

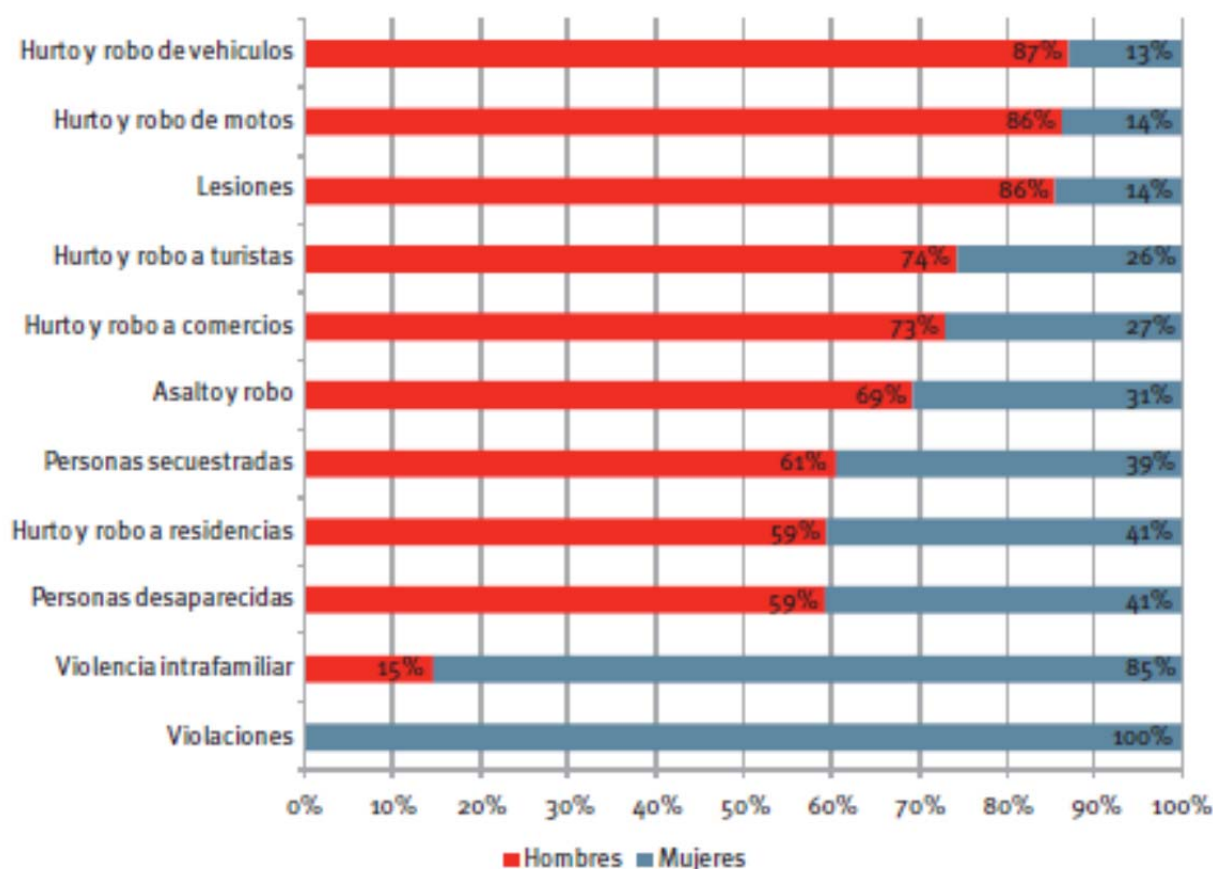


Figure 1: Distribution of Crime Victimization by Sex. Source: Restrepo and Tobon Garcia, page 60.

Guatemala and its neighbors in the Northern Triangle are known for extremely high homicide rates. Table 1, below, shows the total homicide rate, and the rates for men and women. The table demonstrates that over the past six years, there have been approximately 8.5 male homicide victims for every one female victim. However, as homicide rates have declined over the past four years, the rate of decline of homicides of women has been slightly lower than for that of men.

Year	Homicide Rate (per 100,000)			Ratio
	Total	Men	Women	
2012	34	62	7	8.42
2011	39	70	8	8.38
2010	41	75	9	8.33
2009	46	85	10	8.50
2008	46	84	10	8.40
2007	43	80	9	8.89

Table 1: Homicide Rate by Sex. Source: CABI

A report² on homicides of women in the department of Guatemala (data estimated to be from 2007-2008) put forth the following estimates regarding the proportion of homicides related to different causes:

- 28% related to a criminal action, such as robbery or assault
- 25% were related to the woman's relationships, including domestic violence, jealousy or disputes within a relationship over money or other issues
- 21% were circumstantial, the woman was not an intended target of crime or murder
- 18% were related to *maras* (the perpetrator was claimed to be a gang member)

Key informants consulted during February 2013 reported that, in Guatemala City, approximately half of the violent deaths of women are related to gang/cartel activity, while the other half are due to intra-familial violence (also known as domestic violence). They noted that women are increasingly exposed to violence by virtue of more of them having relationships with gang members and cartel members (and even corrupt police), who can be considered "high-risk partners." In rural areas, however, the vast majority of femicides are due to intra-familial violence with no relation to gangs/cartels. Throughout the country, guns are the weapon of choice for killing women: 54 of the 75 women murdered during January 2013 were killed with a firearm.

Guatemala has one of the highest female murder rates in the world. From 2000 to 2010, 5,200 women were killed in Guatemala, according to police figures. According to information from the Presidential Commission against Racism, 705 Guatemalan women lost their lives to gender-related violence in 2011, up from 675 deaths in 2010.³ During 2012, the number of women killed dropped to 668. The majority of the victims are young, poor women between the ages of thirteen and thirty. While most of the murdered men in Guatemala were killed "with no intimate physical contact between the victim and the perpetrator," the majority of murders of women were marked by rape, torture, and mutilation. According to Angélica González of Guatemala's Network to Oppose Violence Against Women, "sexual aggression, the mutilation of body parts like breasts, torture, and the dumping of victims in empty lots."

Out of those 5,200 murders, Guatemalan courts have only produced 30 sentences, including both convictions and acquittals.⁴ While impunity prevails across the majority of crimes in Guatemala, gender bias and acceptance of violence against women as the norm characterizes impunity in the specifics of cases of violence against women.⁵

Reporting indicates that much of Guatemala's violence today can be attributed to drug trafficking, gang violence, and general street violence that occurs in a culture of impunity.⁶ In

² El Centro de Análisis Forense y Ciencias Aplicadas. *Análisis Criminalístico de los Homicidios de Mujeres en Guatemala*. (no date, estimated 2007 or 2008).

³ <http://www.ipsnews.net/2012/01/guatemala-heeds-the-cries-of-femicide-victims/>

⁴ "For Women's Right to Live Program," Guatemala Human Rights Commission-USA.

⁵ Musalo, Karen, Elisabeth Pellegrin, and S. Shawn Roberts. "Crime Without Punishment: Violence Against Women in Guatemala." *Hastings Womens Law Journal*. April 19, 2010.

⁶ "2011 Global Study on Homicide," United Nations Office on Drugs and Crime, 2011. http://www.unodc.org/documents/data-and-analysis/statistics/Homicide/Globa_study_on_homicide_2011_web.pdf.

regards to violence against women, femicide is a perfect storm that is unfolding from specific military strategies used against women and children that reached genocidal proportions during Guatemala's civil war combined with the culture of impunity that has developed over the course of Guatemalan history.⁷ Additionally, a 2007 report done by PUND, Guatemala's Program on Citizens Security and Prevention of Violence, argues that violence against women exists for two reasons: social exclusion and the lack of application of the existing laws. The report also argues that both of these issues are related because inequality and poverty only increases social exclusion.⁸

In more general terms, analysts agree on numerous factors underlying the violent deaths of women over the past decade⁹:

- Legacy of violence from internal armed conflict
- Patriarchal and *machista* culture which enforces gender inequality and acceptance of gender-based violence
- Social, cultural and religious beliefs that preserve and perpetuate domestic violence as they are passed from fathers and mothers, but especially mothers, to children
- Pervasive impunity of those committing crimes against women, reflecting in part the lax approach that police generally take to investigating crimes against women, in the absence of public pressure to do so in any particular case
- Proliferation of gangs and organized criminal actors

Additionally, porous borders, widespread poverty and discrimination, and organized crime's increasing penetration into the political, judicial, and security spheres all generate a climate conducive to human trafficking. The chief victims are children, adolescents, women, and migrants trafficked for the purposes of sexual exploitation, forced labor, and illegal adoption. The low value assigned to women's and girls' lives is considered a significant factor contributing to the various forms of violence they face.

Gender Gap? Yes. Men are clearly the principle victims of homicide as well as robbery and assault. However, women make up the overwhelming majority of victims of domestic violence, rape and human trafficking. The general decline in homicides over the past several years has lowered the murder rate for both men and women approximately equally. Men's higher risk for violence partially reflects their higher rate of involvement in criminal activity (gangs/narcotrafficking) and subsequent exposure to violent situations, whereas women are more likely to be victims because they have been targeted for the crime.

Relevant to PAD? Yes. Gender-based violence and human trafficking disproportionately affects women and girls.

Potential Program Responses:

- Integrate GBV prevention into Community Resilience programs. Support GBV prevention programs among youth --starting with schoolchildren and extending to out-of-

⁷ http://www.monitor.upeace.org/innerpg.cfm?id_article=893

⁸ Secretaria Presidencial de la Mujer, Op. Cit., No page numbers

⁹ Musalo, Karen; Pellegrin, Elisabeth; Roberts, S. Shawn. *Crimes without Punishment: Violence against Women in Guatemala*. Hastings Women's Law Journal. 2010.

school youth at risk of joining gangs/organized crime-- to change the norm that intra-familial and gender-based violence is acceptable, “normal” behavior, to reduce the prevalence of “machismo” and associated low valuation of women, and to promote healthy, non-violent sexual relationships and respect for women and girls.

- Continue efforts to educate the population about the Law on Femicide and Trafficking in Persons. In addition, the Law on Social Communication (2002) requires the Presidency to undertake programs that promote respect for human beings, which provides an additional opportunity to link violence/GBV prevention programs with the legal framework.
- Promote policy and programming that increases legal and psychosocial services for victims of violence, including women and children and LGBT who have left violent homes. While there are a limited number of shelters, many of these have restrictions that exclude boys from accompanying their mothers and sisters into the shelter, leaving the boys alone on the street at night.
- Promote policy and programming that expands economic opportunities/support for individuals who have left violent homes. Indigenous women, youth and LGBT in particular may have few resources and few skills and find themselves drawn into sex work for lack of other ways to support themselves and any dependents. DEMI provides some of these support services to indigenous women who have left abusive situations, but they are limited by a lack of funds.
- Investigate potential collaboration with SVET (Secretaria Contra la Violencia y Trata) to help implement new regulations that accompany the law on trafficking – including monitoring trafficking patterns at the local level, establishing department-level offices on trafficking and networks of civil society and local authorities to monitor the implementation of the law.

2. What are the differences between men and women as violence and crime perpetrators?

Men are the perpetrators of the vast majority of violent and criminal acts in Guatemala. A survey carried out in Guatemala City between 2004 and 2007 found that crime victims identified men as perpetrators of between 74.6% and 77.9% of crimes (women between 3.6% and 5.4%, the balance both sexes or unidentified)¹⁰. A 2012 survey found that 94% of crime victims reported the perpetrator to be male¹¹.

a. What are women’s roles in crime organizations?

Gang membership is overwhelmingly male. However, there are women who are affiliated with gangs and some few who become members. Female gang members actively participate in the criminal activity of such groups, though in most cases men dominate leadership positions and decision-making¹². They are particularly involved in actions that must not arouse suspicion, such as hiding weapons, tracking victims, and gathering and passing information. A report from *Prensa Libre* in October 2012 highlighted the key role that women play in gang-related extortion

¹⁰ UNDP. *Informe Estadístico de la Violencia en Guatemala*. 2006.

¹¹ Restrepo, Jorge and Alonso Tobon Garcia (Eds.). *Guatemala en la Encrucijada: Panorama de una Violencia Transformada*. Small Arms Survey/Conflict Analysis Resource Center. 2012.

¹² Aguilar-Umana, Isabel and Jeanne Rikkers. *Violent Women and Violence against Women Gender Relations in the Maras and other Street Gangs of Central America’s Northern Triangle Region*. Interpeace. 2012.

in Guatemala, carrying out recruitment and gathering intelligence on victims, with the advantage that they are less likely to attract the attention of the police. According to the newspaper, of the 532 people arrested between January and October 2012 by the Special Anti-Extortion Task Force, 150 were women.¹³ Interior Minister Mauricio Lopez Bonilla noted that women are often drawn into the extortion gangs because of family or romantic ties with male members

Nevertheless, women in gangs are still subject to threats and actions of sexual violence and are generally treated as objects and possessions of male gang members. Women who do leave gangs face significant challenges in reintegrating with society, and generally find a lack of support from society and public institutions, although some find assistance through church membership.

Gender Gap? Yes. Men are clearly the perpetrators of the vast majority of criminal and violent acts. Women, however, have specific and subservient roles in *maras* and *pandillas* and are involved in the criminal activities and violence of these groups.

Relevant to PAD? No (outside of manageable interest)

Potential Program Responses: N/A

3. What are the different impacts of violence and crime on men and women?

Key informants reported that the biggest impact of the rising, generalized violence in the Guatemala City area is stress. For women, the stress and fear has led them to restrict their movements after sundown, reducing their involvement in social and community activities that otherwise would have engaged them in the evenings. Key informants did not comment on this issue for men, but it is reasonable to assume that men also feel increased stress from the increased insecurity in their environment.

a. What are the differences between men and women in perception of insecurity/fear?

Table 2 below demonstrates that women feel slightly less secure than men in their communities. However, both men and women are equally pessimistic about their future security, with nearly half believing it will decline over the next five years

Feeling of Security			Expectation of Security in five Years		
	Men	Women		Men	Women
Very secure	25.9%	22.6%	More Secure	46.6%	47.8%
Secure	43.4%	44.2%	No Change	45.2%	43.3%
Insecure	23.2%	22.8%	Less Secure	7.4%	7.3%
Very Insecure	7.2%	9.3%			

Table 2: Perception of Insecurity. Source: LAPOP, 2012

b. What are the impacts of intra-familial violence?

¹³ <http://www.insightcrime.org/news-briefs/women-role-guatemala-extortion>

Domestic violence is a widespread problem in Guatemala. According to the 2012 National Maternal and Child Health Survey, approximately a quarter of Guatemalan women of reproductive age had been the victims of domestic violence over the past 12 months. The UNDP Guatemala Human Development Report 2009/2010 notes that 45% of women of reproductive age reported experiencing domestic violence at some point in their life, with rates for urban residents and ladina women being higher than those of rural residents and indigenous women.

Another report¹⁴ on domestic violence, with data from 2008-2009, demonstrates somewhat lower incidences of intra-familial violence for women ages 15-49 who had ever been married or cohabitating: 7.8% reported experiencing domestic violence during past 12 months and 24.5% in their lifetime; nearly 75% of those reporting violence had experienced severe violence¹⁵. The same report stated that the two most influential triggers in domestic violence were partners' alcohol or drug use and partner jealousy. Other relevant factors were women complaining or disobeying partner, refusal to have sex, and money problems (especially lack of food in house and partners' unemployment).

Guatemalan society contributes to domestic violence by not taking it seriously enough and by treating it as expected, normal, and/or deserved. For example, society perpetuates domestic abuse when:

- A community fails to denounce domestic abusers
- The church or counselors view domestic violence as a relationship challenge that can be improved with time and effort, rather than a crime being perpetrated
- Society blames abuse victims or expects that abuse is a normal part of marriage or domestic partnerships
- Gender-role socialization and stereotypes tolerate abusive behavior by men

Despite the increasing number of complaints regarding violence against women received by the Public Prosecutor's Office, the National Plan for the Prevention of Domestic Violence and Violence against Women (PANOVI) has not been fully implemented, as public funding for prevention and attention to victims is insufficient. In this regard, the limited number of care centers that provide survivors of violence can assist only a minimum number of victims, leaving many women, especially in rural areas, with no support. Indicative of the Guatemalan government's failure to prioritize gender-based violence was the closure of the Unit for the Defense of Indigenous Women in the department with the highest incidence of violence in August 2011, due to lack of funding.¹⁶

Intra-familial violence has numerous impacts. The most obvious is physical injury to the victim. One study found that of women reporting domestic violence, approximately 8% reported severe injury as a result¹⁷. In the most extreme circumstances, domestic violence leads to the

¹⁴ Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

¹⁵ Severe violence includes striking with fist or object, kicking or dragging, choking, threatening or wounding with a weapon.

¹⁶ Freedom House Countries at the Crossroads, 2012.

¹⁷ Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

death of the victim. As noted above, a quarter of homicides of women in the department of Guatemala were related to the victim's relationship.

Other serious impacts of intra-familial violence are psychological and emotional. Over half of women who reported that they had experienced domestic violence over the last 12 months claimed to have felt high levels of depression and anxiety and over a quarter had contemplated or attempted suicide¹⁸. Nearly 40% of women experiencing domestic violence over the past 12 months reported not having told anyone or sought help from any institution, generally due to a lack of persons they could trust or shame.

A recent report by UNICEF¹⁹ notes that experiencing domestic violence (not necessarily as victims) can have serious detrimental impacts on children. Among the detrimental results are higher risk of learning and personality problems, greater likelihood of substance abuse later on in life, violent and risky behavior, and continuing the cycle of domestic violence as adults. As discussed below, exposure to domestic violence can also be a factor leading young people of both sexes to become involved in gang activity.

Finally, domestic violence is very much related to prevailing cultural norms about gender relations. In Guatemala, nearly 2/3 of women agreed that a wife should obey her husband even if she does not agree with him and over a quarter believed the wives are obligated to have sex with their husbands even if they don't want to²⁰. Clearly, many Guatemalan women hold conservative attitudes about gender norms and roles, which contribute to a culture more accepting of domestic violence.

Key informants noted that local school children (in Guatemala City) increasingly are asking for skills workshops/training on conflict resolution and management, to help them handle intra-familial violence in their own home or that of a friend.

Gender Gap? Yes. While men have a higher expectation of being the victim of a crime (and make up the majority of crime victims), women generally feel more insecure than men. Women in Guatemala are extremely vulnerable to domestic violence (85% of the victims of intra-family violence are women), and a significant share of homicides of women are related to violent relationships. Children of both sexes are demonstrably affected by the presence of domestic violence in their homes and are likely to repeat cycles of violence as adults.

Relevant to PAD? Yes – need to focus on preventing GBV, including domestic/intra-familial violence.

Potential Program Responses:

- Educate the next generation of Guatemalans – norm change is easiest to accomplish with young children and adolescents.

¹⁸ Ibid.

¹⁹ UNICEF. *Behind Closed Doors: The Impact of Domestic Violence on Children*. 2006.

²⁰ Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

- Use mass media to demonstrate that there are repercussions/punishment for perpetrators of GBV, including domestic/intra-familial violence (i.e., widely publicize cases that get prosecuted).
- Integrate attention to NINIs (not in school, not employed youth of both sexes) and young single mothers in community-level programs, as they are especially vulnerable to abusive/high risk situations.
- Pilot test programs for youth on conflict resolution and management, to give them some basic skills to deal with violence in the home, in relationships and in schools/other settings.
- Integrate GBV prevention strategies into community policing training curriculum. Work with police training academy to change the mentality of new investigators/detectives, so they take GBV and domestic violence seriously and do a thorough, unbiased investigation that protects the victim and potential witnesses.
- Promote policy and programming that increases legal and psychosocial services for victims of violence, including women and children and LGBT who have left violent homes. While there are a limited number of shelters, many of these have restrictions that exclude boys from accompanying their mothers and sisters into the shelter, leaving the boys alone on the street at night.
- Promote policy and programming that expands economic opportunities/support for individuals who have left violent homes. Indigenous women, youth and LGBT in particular may have few resources and few skills and find themselves drawn into sex work for lack of other ways to support themselves and any dependents. DEMI provides some of these support services to indigenous women who have left abusive situations, but they are limited by a lack of funds.
- Collaborate with the PNC's program, "Territorios Libre de Violencia" which promote violence prevention using a peer counseling approach and identifying local men who are willing to speak out against violence in their community.

4. How does violence affect Lesbian, Gay, Bisexual, and Transgender (LGBT) community differently?

The LGBT community is particularly vulnerable in Guatemala and subject to discrimination and violence because of their sexual orientation or gender identity. A 2012 report by the Myrna Mack Foundation identifies at least 35 cases of individuals murdered because of their sexual orientation or gender identity between 1996 and 2006. The report notes that members of the LGBT community accuse officers of the PNC of perpetrating many of the acts of violence against this population, and that there has been very little effort by the state to protect the rights, and bodily integrity, of LGBT individuals.

There are continuous reports from local institutions formed by LGBT on physical aggressions against their community both within their family and outside their family circle. Perpetrators vary from those acting alone to groups of three to five men, as well as PNC officers as indicated above. Aggressions usually include beatings, kicking and in some cases, gunshot wounds, and knife cuts. Transgender attacks often ends with death. The Government of Guatemala does not have an effective system to prevent violence against, monitor violence episodes against, and effectively prosecute crimes committed against LGBT. Cities with high

levels of trade and tourism are particularly affected by this type of violence including Guatemala, Quetzaltenango, Cobán, Mazatenango, Escuintla, Puerto Barrios, Coatepeque.

Since 2007, 29 violent hate crimes against homosexual and transgender individuals have been reported, including 13 murders in which the corpses were also mutilated. However, the real numbers are undoubtedly much higher, as members of the gay, lesbian, and transgender communities avoid reporting crimes and generally live in the shadows, fearful for their own safety at the hands of a homophobic police force.²¹

The Organización Trans Reinas de la Noche (OTRANS), Red Latinoamericana y del Caribe de Personas Trans (RED LACTRANS), the International Gay and Lesbian Human Rights Committee (IGLHRC), the Heartland Alliance for Human Needs and Human Rights, and the George Washington University Law School International Human Rights Clinic submitted a shadow report to the UNHRC in March 2012 on the human rights violations of the LGBT community in Guatemala.²² The report delves into certain breaches of the International Covenant on Civil and Political Rights:

- Individuals in Guatemala are subject to discrimination on the basis of their sexual orientation and/or gender identity by both State and non-State actors, including in access to healthcare and education services.
- Though inadequate reporting makes exact numbers uncertain, it is clear that there are persistent violations of the right to life of LGBT persons in Guatemala on the basis of their sexual orientation and/or gender identity. Transgender women may be particularly at risk. In some instances, the State has been responsible for the extrajudicial killings of LGBT individuals.
- The Guatemalan State fails to adequately prevent, to investigate and/or to prosecute incidents of gender-based violence and killings, including against LGBT individuals.
- LGBT persons suffer cruel, inhuman and degrading treatment, including a constant threat of violence that amounts to torture, forced disappearances, sexual violence in detention centers and non-consensual medical testing.
- LGBT people in Guatemala are denied the right to a fair trial. Judges may refuse to hear controversial cases concerning rights violations based on sexual orientation and gender identity because they fear public reprisal.
- The Guatemalan State refuses to recognize the gender identity of transgender persons. By denying transgender individuals appropriate identity documents, the State withholds from them the status of legal personhood.
- Human rights defenders who advocate for the rights of LGBT persons in Guatemala are subject to threats, harassment, abuse, and, in extreme cases, physical violence by both state and non-state actors.
- Guatemalan law violates the rights of existing LGBT families and prevents other LGBT persons from founding a family because of their sexual orientation and/or gender identity

²¹ Freedom House Countries at the Crossroads, 2012

²² <http://www.iglhrc.org/cgi-bin/iowa/article/publications/reportsandpublications/1511.html>

Gender Gap? Yes. The LGBT community is highly vulnerable and specifically targeted for violence, including murder.

Relevant to PAD? Yes. Violence against LGBT persons is disproportionate to their share of the population, reflects stigma and discrimination based on sexual orientation and gender, exposes them to constant feeling of personal insecurity, and requires a response from USAID.

Potential Project Responses:

- Programming to reduce discrimination against LGBT in the police and related institutions, including following the recent judicial decision to allow LGBT to dress/show up in court according to their gender identity (rather than what is shown as their sex on their identity card).
- Use LGBT trainers/facilitators to conduct sensitization training with police and justice sector officials, to help reduce stigma and discrimination by putting a human face on LGBT.
- Parallel efforts to encourage LGBT to report to the authorities any violence perpetrated against them, e.g., promoting links/building trust between LGBT organizations and PNC Office of Assistance to Victims, to encourage LGBT to report assaults, not just murders.
- Coordinate with USAID/Central America Program HIV project to identify areas of overlap with stigma and discrimination reduction programs targeting LGBT-specific violence.
- Collaborate with advocacy organizations dedicated to LGBT rights violations in Guatemala (e.g., OASIS)

5. What are the different risk factors for young men and young women?

Risk factors and motivations that lead to gang membership or affiliation for young women are similar to those of young men, and include²³:

Risk Factors

- Poverty, particularly high economic and social inequality
- Sexual violence
- Child abuse
- Dropping out of school
- Unemployment
- Drug use
- Exposure to violence

Motivation Factors

- Need to feel inclusion and belonging
- Need for protection and affection
- Need for money
- Desire for recognition

²³ Aguilar-Umana, Isabel and Jeanne Rikkens. *Violent Women and Violence against Women Gender Relations in the Maras and other Street Gangs of Central America's Northern Triangle Region*. Interpeace. 2012.

- And especially, desire to escape negative family environment
- Also, relationship with a current gang member

The absence of a stable male role model in many families has created identity problems for young men and boys. Gangs, with their emphasis on tough masculinity, male bonding, and macho values, in essence has taken the place of fathers in providing a model of male identity for boys raised primarily by women. In addition, low salaries in Guatemala often force both parents to work in order to meet their family's basic needs, leaving children and women without parental supervision for numerous hours each day. The absence of strong and positive ties within the family increases the vulnerability of youth to gang recruitment.

Finally, experts from USAID's Violence Prevention Project (VPP) emphasized that women and girls often have less access to resources, services and decision-making, and that they have a high degree of vulnerability, particularly to sexual abuse. The children of both sexes are also highly vulnerable and at risk of abuse.

Gender Gap? Yes. With the absence of a stable male role in many families, gang membership plays a role in learning and practicing the characteristics and attitudes of "manhood." In this context, *machismo* is promoted as the norm. Women and girls are at increased risk of violence, including sexual abuse, from men and boys who are gang members.

Relevant to PAD? Yes. Need to more carefully define "at risk" for young men compared to young women and develop interventions accordingly.

Potential Program Responses:

- Pilot test and/or adapt proven programs (Promundo's positive deviance program, Puntos de Encuentro/Nicaragua, Sonke Gender Justice programs, IMAGES survey, MENCare Campaign) to promote alternative concepts of masculinity among young men and boys (and their female partners) who are vulnerable to joining gangs.
- Support government interventions in high-risk communities that target children (in mixed sex groups) in primary school – victims are younger each year, and perpetrators are too. For consistency and sustainability concerns, government is viewed as the best option to undertake this kind of work.
- Target interventions to young single mothers, who are highly vulnerable and whose children face high levels of risk.
- Integrate training and sensitization programs (using mixed sex groups) on healthy, non-violent relationships, reproductive rights and sexual education into youth livelihoods/youth community center interventions. Include training for young men on the violence against women law – to address low awareness of the law and what constitutes a violation of it.

II. Resilience to Violence

1. What are the different roles of men and women in leadership and participation in the community?

A study²⁴ of women's participation in local groups and organizations found that the poorest women in communities face barriers to involvement. Groups tend to ignore such women and the women themselves expect fewer benefits from participation, and thus opt for non-involvement. The investigation also found that working women face real time constraints that often preclude group membership. Finally, the study reported that prior experiences with participation and formal or informal membership in other groups or organizations made women more likely to participate.

Table 3 shows that women are both somewhat less likely to be involved in community improvement efforts and demonstrate somewhat less trust in their neighbors than men.

Trust in Neighbors			Contributed to Community Improvement		
	Men	Women		Men	Women
Very Trustworthy	29.3%	22.7%	Once a week	6.2%	4.0%
Somewhat Trustworthy	41.7%	39.7%	1-2 times per month	22.2%	15.7%
Little Trustworthy	22.7%	29.5%	1-2 times per year	17.9%	14.1%
Not Trustworthy	5.4%	7.2%	Never	50.6%	63.5%

Table 3: Community Involvement. Source: LAPOP, 2012

Interviews with key informants in one low-income urban area in Villa Nueva found significant participation by women in community organizations and leadership, including a local organization of women devoted to advancing women's leadership and participation in the community. Women who did not work or worked locally in the community had more time and opportunity to participate in community organizations and leadership. However, the study found that men were overrepresented in leadership positions.

- Experts from USAID's VPP note that women's leadership and participation varies with the context of each locality. In some communities, few women participate meaningfully in community actions and decision-making, in others there is more equity. In a few communities, women play the predominant role. They note that formal membership in a community organization or attendance in a meeting does not signify active participation or influence on decision-making. Finally, the experts noted that some local governments are actively promoting women's participation, but in some cases the motivation for doing so may be political. The Vital Voice/AGEXPORT baseline study²⁵ found that women devoted slightly more time each month to community participation: men spent 2.8 hours, women 3.2 hours. Overall, women participate in civic/social/economic groups less than men, but the biggest gap appears to be in rates of participation on leadership committees (boards of

²⁴ Weinberger, Katinka and Johannes Jutting. *Women's Participation in Local Organizations: Conditions and Constraints*. World Development 29(8). 2001.

²⁵ Estudio línea base: Promoción de la Equidad de Género y Liderazgo Empresarial de la Mujer Rural en 45 Encadenamientos Empresariales de los Departamentos de Alta Verapaz, Chiquimula, Chimaltenango, Guatemala, Huehuetenango, Petén, Quetzaltenango, Quiché, Sacatepéquez, Sololá, San Marcos y Totonicapán: USAID, AGEXPORT, DANIDA y Voces Vitales. Programa de Acceso a Mercados Dinámicos para PYMES Rurales Convenio de Cooperación 520-A-00-05-00009-00.

directors). Participation rates (of respondents in the Vital Voices survey): 48% of men, 31% of women participate in community groups.²⁶

- In board of directors: 21% of men, 8% of women
- In associations: 15% of men, 14% of women
- In committees: 6% of men, 5% of women
- In COCODES/COMUDES: 5% of men, 3% of women

Key Informants report (for interventions in the Western Highlands) that even in situations where similar numbers of women and men are participating, women often attend only because project officials said women must come to the meetings, so their husbands make them attend. Rarely do they participate actively in these activities in mixed sex groups – men dominate decisions in groups, including producer associations. There are very few women-only groups; married women follow custom and defer to husbands, do not often see themselves as capable of such activities.

Exceptions to this trend included widows and women heads of households, as they become association members in their own right, even end up on COCODEs, become role models for others. Sometimes a male migrant returning to community and association will be a positive role model, more open to active participation of women in the public realm (not always the case, as some come home and want comfort of traditional machismo culture).

Finally, the reactions of men and women to violence often differ. In the case of the brutal slaying of two children in Tactic, Alta Verapaz, women of the community hid and called their husbands who then killed at least one of the suspects, burning and lynching him.

Key informants noted that young men and young women tend to participate in different kinds of community organizations, with young women participating more frequently in church organizations (youth groups, other programs) while young men are most likely to participate in sports-related organizations.

Gender Gap? Yes, depending on context. Although women play active leadership and participation roles in some communities, in others they have less access to such opportunities. Women face specific obstacles to participation, but also are potentially more available to participate if the majority of men work outside the community.

Relevant to PAD? Yes – Project interventions will seek balanced participation and representation, and will facilitate the active involvement of under-represented groups, including women.

Potential Project Responses:

- Take advantage of church organization's access to young woman, to help get them engaged in community resilience programs. Similarly for young men, reach them through sports organizations to ensure they have a voice and participate in project activities.
- Seek out vocal women and encourage them to serve as role models on community groups. Collaborate with programs working to build young women's leadership skills

²⁶ Ibid 2.

(e.g., Population Council), to take advantage of the leaders they have already fostered and engage these in project activities.

2. What are the differences between men's and women's perceptions of and relationship with police?

Table 4 shows that men and women share the same distrust of the PNC as an institution as well as the police in their community, although men were somewhat more likely to believe that local police are involved in crime.

	Trust in PNC (0 = none; 7 = fully)	Opinion of Police in community		
		Police are involved in crime	Police protect community from crime	Neither or both
Men	3.1	59.5%	19.5%	15.0%
Women	3.1	55.5%	23.2%	13.1%

Table 4: Perceptions of police. Source: LAPOP, 2012

Key informants reported that men and women have similar low levels of confidence in the police and judicial system. See the police as corrupt – both women and men police officers.

Gender Gap? No. Both men and women share the same distrust of the PNC.

Relevant to PAD? No

Potential Program Responses: N/A

3. What are the experiences and role of female police officers?

According to VPP experts, teams involving both a male and a female police officer are more effective at community policing, due to the reluctance of many women to interact with male police officers. Additionally, women are more likely to report crimes to female officers, and female officers are more active in pursuing violence and crime against women than male officers. However, the experts reported extensive abuse and discrimination of women within the police force, though they noted the lack of documentation of these cases due to reluctance by female officers to make official complaints. Interviews with two female police officers revealed pervasive *machismo* in the institution. The officers reported that male colleagues saw them as weak and unfit for police work. The officers reported that the climate has improved somewhat over the past decade, but that female officers still face significant barriers to acceptance and respect by their male colleagues and society in general.

Key informants confirmed that barriers are significant for women police officers and reported that studies showing anything to the contrary are biased in their interpretation of the data.

Informants pointed to lower wages for women officers, difficult workplace conditions (old facilities without separate quarters/bathrooms for women), particularly difficult conditions for pregnant officers. Corruption is seen as equal opportunity: women officers are just as vulnerable to corruption as men officers, as they all face the same poor conditions, accept corruption as routine and demonstrate lack of respect for human rights. Nevertheless, while the situation is bad for all police officers, it is compounded for many women officers because they often are single mothers, have children by multiple male partners (often fellow police officers) and are in poor financial situations. They often will have worse uniforms, no time for personal hygiene, etc. If they complain to their superiors, they are transferred out to a remote station where they typically are the only female officer and are away from their family for extended periods. Police work is a difficult job for women, but increasing numbers of women are joining the police force because they need the work, particularly single mothers.

Key informants discussed the lack of respect for women, a culture of acceptance of violence, particularly within state institutions. Drew parallels between “men with guns” in gangs/cartels and in police force – being part of any sort of institution, whether it is legal or illegal and involves guns, it usually is associated with some form of abuse of women as well, even against fellow police officers (women).

Gender Gap?: Yes. Women police officers are vital for effective policing, yet these officers face a very challenging work environment with significant discrimination, abuse, and fear to report.

Relevant to PAD?: Yes. Women police officers have been identified as more effective dealing with victims of assault and rape, as well as in community policing roles.

Potential Program Responses:

- Increase support for police career reform: with an increasing number of women joining the police force each year, they need to be assured of a career path that offers them equal opportunities to advance and to receive equal pay.
- Consider whether whistleblower programs for police force would offer partial solution to gender bias and discrimination in the workplace.
- Mandatory course at police academy on gender-based violence, respectful interactions, sexual harassment in the workplace, etcetera.
- Peer-to-peer programs/continuing education for existing police force, to address gender bias and discrimination, sexual harassment and violence against female police officers.

4. *What are the different roles, perceptions and linkages to municipal government by men and women?*

According to VPP experts, men often have more access to municipal governments. Most Municipal Development Councils (a public investment and planning system to identify and prioritize municipal problems and to create development plans and projects to resolve them) are made up of men and do not focus on women’s issues. However, in a number of municipalities the mayor’s wife is taking on a significant role in prioritizing women’s issues. Most

municipalities also have a municipal women's office, which serves as a space that women can access, although these offices lack decision-making influence in most municipal governments.

According to the table below, it is clear that although men and women demonstrate equal levels of trust in their municipal governments, men are significantly more likely to have made requests and petitions to municipal authorities and attended municipal government sessions.

	Made a Request to Municipal Authority	Attended Municipal Session	Petitioned Municipal Government	Trust in Municipal Government (0 = none; 7 = fully)
Men	25.5%	17.9%	18.6%	4.3
Women	19.7%	12.0%	9.8%	4.2

Table 5: Perceptions and linkages to municipal government. Source: LAPOP, 2012

Gender Gap? Yes, depending on the context. Men are more likely to have contact with the municipal government and be represented on municipal council. However, municipal women's offices and certain wives of mayors are playing a potentially important role in addressing women's issues at the municipal level.

Relevant to PAD? Yes – important to ensure that both men and women have input to and participate in community resilience programs, which are done in close coordination with municipal authorities and community representative councils (e.g. COCODEs).

Potential Program Responses:

- Strengthen capacity of municipal women's offices role in COMUDE as well as facilitation of the active participation of women in COCODEs and other community governing bodies and to accurately represent women's concerns.
- Work with church-based women's groups, where women may be more actively involved and/or more used to speaking out about their concerns.
- Encourage participation of youth leaders (of both sexes) in community resilience interventions, including creating spaces for them to interact with COCODEs and other municipal officials.

5. What are the roles and impacts of CSOs working on women's issues at the local level?

At the national level, women's organizations and movements are strong and well organized. They have worked to institute significant changes, including passing of key laws such as the Law Against Femicide and Other Forms of Violence Against Women, and establishing new state entities to address women's issues.

Some national women's organizations, such as the *Union Nacional de Mujeres Guatemaltecas (UNAMG)*, support local women's cooperatives working to advance women's issues at the community level. One example is the *Colectivo Nazaret*, a women's cooperative in Ciudad Peronia, Villa Nueva that is supported by UNAMG. The *Colectivo* holds monthly workshops on

topics including health, political participation, women's rights, etc., and also promotes productive projects to increase women's earning capacity. Other organizations support victims of domestic violence with research, legal aid, shelter, and accompaniment including Fundación Sobrevivientes, Guatemala Group of Women (GGM), the Network of No Violence Against Women (REDNOVI), Human Rights Legal Action Center (CALDH) and the Women's Sector (*Sector de Mujeres*). There are also several organizations that work at the local level promoting active community participation in decision-making such as SERJUS (Social and Legal Services).

Key informants reported a lack of engagement on the part of civil society to monitor the implementation of the Femicide Law, pointing out the government has good intentions but without public pressure, there will never be enough programming to follow through. The protocol exists to protect women from such violence, but the implementation is lacking. Women's NGOs were identified as suffering from a lack of cohesion and strategic vision, getting easily distracted by the "donor flavor of the day" and adapting their programming to follow the funds, rather than strategically pursuing an objective over a sustained period of time. Key informants also suggested that many Municipal Offices of Women's Affairs too frequently focus on self-esteem or other theoretical issues and do not engage in practical needs like sensitizing authorities about the laws that exist to protect women.

Gender Gap? Yes. There is a network of national and local organizations working on women's issues in Guatemala. There is no equivalent working on men's issues.

Relevant to PAD? Yes. Given gap in influence of women in political and decision-making roles in Guatemala, working with and strengthening women's organizations is a critical way to get women's input to inform and advise on community interventions.

Potential Program Responses:

- Strengthen and link existing women's organizations. Encourage collaboration with young women's leadership training programs where they exist to foster cross-generational engagement which can encourage more rapid norm change (e.g., about participating).
- Strengthen capacity of municipal women's offices, in coordination with SEPREM.
- Work with youth organizations – explore possible link with CONJUVE's new departmental delegates, being deployed in March to the departments and charged initially with a political mapping/stakeholder analysis of youth organizations in each department

III. Access to and interaction with the justice system

1. What has the impact been of the new legislation on violence against women?

In 2008, Guatemala passed the new Law against Femicide and Other forms of Violence against Women. The Law to Prevent, Sanction, and Eradicate Domestic Violence (Decree 97-96) and the Law for the Dignity and Comprehensive Promotion of Women (Decree 7-99) proceeded and prepared the way for the Femicide Law. Prior to the passage of the Femicide Law, impunity was rampant in crimes against women. For example, only 20 sentences were handed down out of more than 2,500 murders of women, and 40% of those killings were never

investigated²⁷. The 2010 UNDP Guatemalan Human Development Report cites statistics from the Guatemalan Judicial system that during the first two years of the implementation of the law, nearly 18,000 cases were registered, the vast majority for domestic violence.

Key informants report that although the law has resulted in more investigations of violence against women, these investigations may be cursory in nature, due to bias on the part of the investigating officer and/or unwillingness on the part of family members or other witnesses to identify or speak out against the perpetrator. They also reported that while criminal investigation rates have increased dramatically in the last 5-6 years, the rate of increase in crime has outpaced it, so there are not nearly enough investigators to handle the case load. Many cases are only lightly investigated because of lack of human resources. Further, for women with little income (or control over household income), as is the case for many rural, poor indigenous women, the fees required to proceed with a *denuncia* can be prohibitive and lead the women to drop the charge after the initial filing. Key informants also reported that some judges and police in remote areas of the country are not aware of the law, or not familiar at all with its contents, and do not necessarily consider violence against women, or consensual sex (even non-consensual sex) with an adolescent girl to be a crime. Additionally, there are reports of cases where women have taken advantage of the law to falsely accuse men of abuse (i.e, to get rid of a male partner they no longer wanted) – no information on whether these are isolated cases or not. General lack of knowledge of the law was cited as a factor that allowed its misuse. In 2009, the Guatemala's Law Against Sexual Exploitation and Human Trafficking was approved and has contributed to prosecution of human trafficking cases. Yet the new investigative units within the PNC and Public Ministry dedicated to human trafficking are severely understaffed, with just eight specialized agents serving in the PNC and 16 in the Public Ministry. Of the 1,283 reported cases of human trafficking between 2000 and February 2010, only 116 resulted in the arrest and convictions of perpetrators, with 42 remaining behind bars.²⁸

Gender Gap? In spite of the law, access to justice for women victims of violence remains constrained in practice, by lack of awareness of the law and potentially by economic barriers to its application.

Relevant to PAD? Yes.

Potential Program Responses:

- Monitor the data on number of violence against women complaints filed versus those that actually continue to be pursued through the system. Investigate whether fees associated with filing and following through on a complaint are a barrier to access for women or girls – disaggregated if possible by age of complainant, rural/urban location, ethnicity, income status.
- Support the full implementation of the law by the GoG, by assisting with dissemination efforts by the GoG and in particular to raise awareness of the laws outside of the Guatemala City area.

²⁷ Beltran, Adriana and Laurie Freeman. *Hidden in Plain Sight: Violence against Women in Mexico and Guatemala*. Washington Office on Latin America. 2007.

²⁸ FreedExpom House Countries at the Crossroads

- Increase efforts to sensitize and educate state actors (judges, police, others, including in rural areas) about women's and LGBT rights as human rights, and the law and penalties for GBV-related crimes and human trafficking -- to change the culture of acceptance of violence against women and LGBT.
- Expand the availability of the 24-hour courts throughout the country.
- Support training and deployment of additional criminal investigators to increase the chances of GBV cases being properly investigated.

2. *What differences are there in the investigation and prosecution of crimes against women and men?*

USAID Security and Justice Sector Reform Project (SJSRP) experts note that the new law led to an expansion of the justice-sector infrastructure to address violence against women. This includes special prosecutors and courts for crimes against women. Within the Prosecutor for Crimes against Life office, there is a special unit dedicated to femicides. Thus there are now resources dedicated exclusively to the investigation and prosecution of crimes against women, particularly gender-based violence.

The SJSRP experts pointed out the new 24-hour court that focuses on violence against women and trafficking that can serve as a model for integrated attention. However, the experts noted that the 24-hour court still has some deficiencies, including a lack of a justice of the peace, absence of some elements of victim's assistance, some conflicts in jurisdiction, and a shortage of capacity to handle the case load. The 24-hour courts need to be expanded and decentralized throughout the country in order to provide adequate coverage and services.

Despite improvements, impunity in cases of violence against women is still very high, 97-98%²⁹. Furthermore, table 6 demonstrates that both men and women have little trust that the justice system would work if they were the victim of a crime.

Confidence in Justice System		
	Men	Women
Much	13.1%	12.4%
Some	29.0%	31.7%
Little	34.4%	31.6%
None	22.6%	19.8%

Table 6: Confidence in Justice System. Source: LAPOP, 2012

Key informants report that although GBV crimes now are getting more high profile attention, have a legal framework, and special courts (although only in limited areas), investigations of intra-familial violence are often only cursory, due to bias on the part of the investigating officer and/or unwillingness on the part of family members or other witnesses to identify or speak out against the perpetrator. They also reported that while criminal investigation rates have increased dramatically in the last 5-6 years, the rate of increase in crime has outpaced it, so there are not

²⁹ Centro de Estudios de Guatemala, "*Situación en Seguridad y Derechos Humanos. Guatemala*", Power Point Presentation. September, 2012.

nearly enough investigators to handle the case load. Many cases are only lightly investigated because of lack of human resources. Further, for women with little income (or control over household income), as is the case for many rural, poor indigenous women, the fees required to proceed with a *denuncia* can be prohibitive and lead the women to drop the charge after the initial filing. Key informants also reported that some judges and police in remote areas of the country are not aware of the law, or not familiar at all with its contents, and do not necessarily consider violence against women, or consensual sex (even non-consensual sex) with an adolescent girl to be a crime.

Key informants reported that little research has been done to thoroughly identify the nature and impact of gender bias in investigation and prosecution of crimes in Guatemala; whether that bias favors women or men seems to be mostly anecdotal (i.e., public pressure to investigate crimes against women, while most of victims of crime are men).

Gender Gap? Yes. There is now a justice infrastructure to specifically address violence against women. However, impunity in cases of violence against women and LGBT remains high.

Relevant to PAD? Yes.

Potential Program Responses:

- Expand availability of 24-hour courts throughout the country.
- Research to provide evidence on extent and impact of gender bias in investigation and prosecution of crimes (to determine whether men or women are unfairly favored in this regard)
- Support sensitization and training programs to educate state actors (judges, police, others, including in rural areas) about women's and LGBT rights as human rights, the law and penalties for GBV-related crimes, to change the culture of acceptance of violence against women and LGBT.
- Encourage responsible journalism, training for journalists on how to report/cover violence, free from gender bias
- Promote increased reporting of crimes and the availability of shelters for those victims needing protection in the aftermath of violence.

3. *What differences are there in the victims assistance services offered to women and men?*

Assistance to victims is provided by the Public Ministry Office of Attention to Victims as well as a network of state and civil society institutions, 50 separate networks involving over 300 entities, providing a variety of services to victims across the country. The Office of Free Legal Assistance has provided services to over 70,000 individuals since its opening in 2008³⁰.

The vast majority of users of victim's assistance services are women. According to an evaluation of USAID's recent Project against Violence and Impunity, assistance for victims has remaining deficits:

³⁰ USAID/Guatemala Final Performance Evaluation for the Project Against Violence and Impunity (PAVI). 2012.

- There are only five shelters for victims of violence in the entire country; they are run by an NGO
- Legal assistance is still limited
- Government support is limited, most services provided by NGOs

Key informants at the National Police reported that all persons, regardless of age, sex or sexual orientation, are welcomed at the Office of Attention to Victims and their complaints are handled exactly the same way. They have both male and female police officers available on their staff. Typically, victims of rape, especially young women and girls, will only speak with a female officer, although male and female officers in the unit receive the same special training to handle such cases. They noted that LGBT persons do not come to their office – in fact, may never once have come - until after a person was killed, at which point they were more willing to come and file a complaint that the motive was based on sexual orientation or gender identity (for transgender persons).

Gender Gap? Yes. There is a growing network of organizations providing victim's assistance services to women; however, assistance for victims has remaining deficits like scarce shelters for victims of violence, limited legal assistance and limited GOG support. Most services are provided by NGOs.

Relevant to PAD? Yes.

Potential Program Responses:

- Support expansion/scaling up of shelters and associated programs (psychosocial support and health services, education/training/economic opportunities) for women, as well as their children (both male and female children).
- Address lack of shelters for male victims of violence
- Expand availability of mixed sex support groups that meet on weekends, as these allow families to attend together without missing work.
- Programming to reduce discrimination against LGBT in the police and related institutions, including following the recent judicial decision to allow LGBT to dress/show up in court according to their gender identity (rather than what is shown as their sex on their identity card). Use LGBT trainers/facilitators to conduct sensitization training with police and justice sector officials, to help reduce stigma and discrimination by putting a human face on LGBT. Parallel efforts to encourage LGBT to report to the authorities any violence perpetrated against them.

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide \$30,000,000 in total USAID funding over a five-year period. The ceiling for this project is \$30,000,000. Actual funding amounts are subject to availability of funds.

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity.

USAID reserves the right to fund any one or none of the applications submitted.

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is five years from the signature of the award.

3. Substantial Involvement

USAID will be substantially involved in this Cooperative Agreement to help the Recipient achieve the agreement objectives in the following manner:

1. Approval of the Recipient's Annual Work Plans: The Agreement Officer's Representative (AOR) will review and approve all annual work plans and any modifications to the plan.
2. Approval of Specified Key Personnel: The Agreement Officer (AO) will approve key personnel.
3. Agency and Recipient Collaboration or Joint Participation:
 - The AOR will approve the Monitoring, Evaluation, and Learning (MEL) Plan and any modifications to the Plan;
 - *Direction and Redirection of Activities:* Certain sensitivities may arise while working to address and mitigate social conflict. Should safety and security conditions deteriorate and become a concern for project staff or beneficiaries, the AOR will communicate, outside of the annual work plan period, any changes in technical guidance that may impact CBPT Project implementation. In addition, the AOR will provide technical concurrence and approval on activities under Objective 3 and those related to and/or involving extractive industries and natural resource exploitation.
 - *Geographic Selection:* As part of the planned impact evaluation, the AOR will approve the CBPT Project's geographic selection criteria, target

communities, implementation schedule, and proposed intervention activities before implementation begins.

- *Establishment of Consultative Committee:* The Recipient will establish a consultative committee composed of representatives of key Government of Guatemala entities with a mandate to address conflict, as per Objective 3. The consultative committee will provide technical advice on issues related to peacebuilding and reduction of social conflict and violence. The AOR will have a collaborative involvement in the development of the consultative committee and will provide technical concurrence in the committee's structure and membership. The AOR will participate as a member of this committee.
4. **Agency Authority to Immediately Halt a Construction Activity:** The AO may immediately halt a construction activity if identified specifications are not met.

4. Title to Property

Property title for all property other than vehicles under the resultant agreement shall vest with the recipient in accordance with the Requirements of **2 CFR 200**.

The title to property of the vehicles purchased with USAID funds must vest with USAID/Guatemala.

5. Authorized Geographic Code

The geographic code for this program is **937**.

6. Purpose of the Award

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the Communities Building Peace Together Project which is authorized by Federal statute.

The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

U.S. and non-US organizations may participate under this NFO.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant will be subject to a responsibility determination assessment by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills—or ability to obtain them—in order to achieve the objectives of the project and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

The required cost sharing under this RFA is 10% of the USAID contribution to the CBPT Project. This amount is required for the applicant to be eligible for award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. Cost sharing is closely related to the success of the Project's Objective 2: Build partnerships between communities and external entities to implement plans prioritized by communities. This objective focuses on supporting partnerships to implement prioritized community action plans. As such, it will require that the recipient build new partnerships with governmental and traditional authorities, private sector, civil society organizations, and religious leaders to provide financial, in-kind, and public support for the implementation of plans and other opportunities to address drivers of social conflict and increase social cohesion.

Proposed costs under cost sharing must be consistent with 2 CFR 200.306 and 2 CFR 700.10.



SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Indyra González
Acquisition Specialist
igonzalez@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to Ms. Indyra Gonzalez at guatemalaproposals@usaid.gov.

Questions regarding this NFO should be submitted electronically to guatemalaproposals@usaid.gov no later than the date and time indicated on the cover letter to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation.

Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

No questions will be accepted after this date.

2. Content and Form of Concept Paper Submission – Phase I

a. **Concept Paper Format**

All concept papers must comply with the following requirements to be considered by USAID:

- i. Font – **Times New Roman** and 12-point
- ii. No less than 0.75” margins (left, right, top, and bottom).
- iii. Letter Size (8.5” x 11”)
- iv. Cover Page
- v. **Acronyms**
- vi. Document must be in a recent Windows-compatible version of MS Word (version 2000 or later) or PDF

b. Concept Paper Content

Applicants will submit a concept paper not to exceed six pages outlining the proposed technical approach. USAID is interested in understanding applicants' proposed technical approach, rationale, and implementation plans. USAID discourages applicants from using the limited space in the concept paper to provide background information about the Western Highlands and advertise.

The cover page and acronym list is not included in the six-page limit.

c. Concept Paper Budget

In a separate e-mail message, applicants must submit two copies of a general budget (one in MS Word and one as a PDF) including a total estimated amount and the following line items:

Personnel
Fringe Benefits
Travel
Equipment
Supplies
Contractual
Construction
Other
Indirect Charges
Total proposed cost share amount

This budget should not be broken down by year. It is intended to be a summary budget. Do not submit the SF-424 form at this stage.

3. Content and Form of Application Submission – Phase II

Applicants should only submit a full application upon receipt of a letter from the Agreement Officer or A&A Specialist inviting a full application.

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Each Applicant shall furnish the information required by this NFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by

evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed—in whole or in part—for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of or in connection with the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

a. Application Format

All applications must comply with the following requirements to be considered by USAID:

- i. Font – Times New Roman and 12-point
- ii. No less than 0.75" margins (left, right, top, and bottom).
- iii. Letter Size (8.5" x 11")
- iv. Single-spaced
- v. Cover Page
- vi. Document must be in a recent Windows-compatible version of MS Word (version 2000 or later), Excel and PDF

b. Application Content

The technical application must contain the following sections:

- i. Table of Contents listing all page numbers and attachments
- ii. List of Acronyms used throughout the application
- iii. Technical Approach Narrative describing the project's technical approach and expected accomplishments during the period of the proposed Cooperative Agreement.
- iv. Annexes

4. Application Submission Procedures – Phase II

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

The Applications must be submitted electronically to guatemalaproposals@usaid.gov. If the Applicant is experiencing difficulty with submission, the Point of Contact is Ms. Indyra González (igonzalez@usaid.gov).

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments. For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "RFA-520-17-00003 -organization name-, Cost Application, Part 1 of 2".

Electronic technical and cost applications must be submitted by the established date and time on the RFA cover page. Technical and Cost Applications must be kept separate from each other. Technical Applications must not make reference to cost data in order that the technical evaluation may be made strictly on the basis of technical merit.

Electronic submissions must not exceed the **20MB limit per e-mail compatible with MS Word, Excel and PDF**. **Every e-mail must not include more than three attachments which in total must not add up to more than 20MB limit per e-mail**, and must not be zipped files. Each Application, either technical or cost, should consist of only one file in Microsoft Word comprising the complete application, plus one file in PDF comprising the complete application. **In the case of the Cost Application, in addition to the MS Word and PDF files, the electronic submission must also include a budget in a non-protected MS Excel file. Identify proposals with the NFO number, the name of the firm submitting the application, and the project name (CBPT) in the subject of the e-mails.**

All applications received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No additions or modifications will be accepted after the submission date and time.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

5. Technical Application Format – Phase II

The application must not exceed **30** pages, excluding the annexes, cover page, table of contents, and acronym list. **Any pages in excess of 30 pages will not be reviewed by USAID.**

The technical application shall include the following sections:

(i) *Cover Page*

The Cover Page should include the following:

- a. Project title;
- b. Request for Applications reference number;
- c. Name of organization (s) applying for the agreement;
- d. Any partnerships; and
- e. Contact person, telephone number, fax number, address, and types name(s) and title(s) of person(s) who prepared the application, and corresponding signatures.

(ii) *Table of contents* that follows the technical application format outlined herein.

(iii) *Technical Narrative* - Applicants will submit a comprehensive technical approach that must: (a) focus on how applicants will achieve the objectives and expected results described in the Program Description; (b) demonstrate a clear understanding of the challenges and opportunities that exist to address social conflict, improve social cohesion, and support peacebuilding in Guatemala; (c) include a description of how applicants will pursue innovative ways to sustain activities and expected results beyond the end of the project; and (d) describe the approach to strategically collaborate with various stakeholders, continuously learn, and adapt implementation as needed.

The narrative must include the following elements:

- Context and conflict analysis;
- A theory of change;
- A logical framework that outlines results, objectives, verifiable indicators, and assumptions and that captures the entire picture of the project;
- A detailed description of how expected results for each project objective are to be achieved, how the core implementation and cross-cutting principles will be integrated, and how the project will ensure sustainability and institutionalization of activities after the life of the project. Applicants must clearly indicate and show how gender issues will be identified and addressed; how expected results will be attained taking gender into account; and what resources will be provided;
- Rationale for why the proposed approach is appropriate and realistic for the Guatemalan context, taking into consideration current Government of Guatemala (GOG), key stakeholders, and civil society-led initiatives at the national, municipal, and community levels; and
- Potential constraints to implementation and strategies to overcome them.
- Strategies for a CLA approach that ensures it is integrated throughout the project's implementation, monitoring, research, and evaluation processes, while maintaining the focus on results; and
- How the focus on adaptive management will be expressed through staffing skills, management structure, project organizational culture, business

processes, and stakeholder engagement throughout project implementation.

As part of the technical narrative, applicants must also submit a Management and Staffing Plan that includes the following:

- A clear description of roles and responsibilities of the prime and any proposed sub-partners along with the rationale for the proposed division of labor;
- A clear description of roles and responsibilities of the prime's headquarters and office(s) in Guatemala;
- Staffing skills, structure, culture, business processes, and stakeholder engagement demonstrate and support the CLA approach;
- Approach to staffing and recruitment;
- **As an annex**, an organizational chart clearly describing lines of reporting and decision making between the prime, sub-partners, headquarters, and office(s) in Guatemala, in addition to proposed key and non-key positions; and
- Timeframe and plan for mobilization.

The applicant is encouraged to make every effort to recruit Guatemalans for key leadership and technical positions and for other long-term positions as warranted by its application, to contribute to strengthening local capacity.

(iv) *Monitoring, Evaluation, and Learning (MEL) Plan* - Applicants must provide a draft five-page Monitoring, Evaluation, and Learning (MEL) Plan as an annex. Key components of the MEL Plan include:

- Approach for monitoring indicators during implementation;
- Relevant impact and outcome indicators that will be used to objectively measure progress towards achieving each of the project's objectives, include life-of-project targets;
- Conflict sensitivity considerations and strategies to understand and track conflict dynamics related to the project;
- Plans for collaborating with the external impact evaluation partner;
- Brief description of any proposed internal evaluations (i.e., those to be managed by the Recipient);
- Learning activities, including an overall learning agenda that proposes key research objectives and questions around critical knowledge gaps at the project level. The Plan must provide a clear rationale for how the learning agenda was developed and how it will enhance project activities to reach the objectives more effectively and efficiently; and
- Roles and responsibilities of staff and sub-partners for all proposed monitoring, evaluation, and learning actions.

(v) *Geographic Approach* – In a two-page annex, applicants must clearly articulate how communities in the Western Highlands will be selected to participate in the project. The

selection process should follow an established and transparent methodology, use objective criteria, and be based on a balance of factors that capture the need to reduce acute social conflict, potential and opportunities for interventions to make an impact, political and social will to address the identified conflict and related violence, and community development needs.

(vi) *Mobilization Plan* – Applicants must submit a three-page Mobilization Plan as an annex that describes a rapid start-up plan for the first 30 days of the award, in addition to planned activities for the project’s first 90 days. The plan must describe activities to set up office(s), mobilize staff, identify equipment requiring AO approval, and undertake logistical and administrative activities to begin project implementation.

(vii) *Key Personnel Annex* – 14 **calendar** days prior to the due date of the full application, applicants must submit a key personnel annex proposing no more than five key personnel positions to be included in the award and describe how the proposed personnel will contribute holistically to both the technical and administrative needs of this project. Applicants must include a one-page position description with minimum requirements for each key personnel, CVs not to exceed three pages per candidate, a list of references (at least one superior, subordinate, and peer) not associated with the applicant organization, and signed commitment letters from the proposed candidates indicating date of availability and period of commitment in the annex.

(viii) *Oral Presentations* – In addition to submitting a written technical application, each Applicant will be required to present their technical and CLA approaches to the Selection Committee. The Applicant must send two of the proposed key personnel candidates and up to one member of the Applicant’s home office team (optional) to make the oral presentation to USAID. Applicants must submit a PowerPoint presentation to the guatemalaproposals@usaid.gov mailbox at least 48 hours prior to the individually scheduled presentation. Applicants must prepare a 60-90 minute presentation and can expect USAID to ask questions for up to 30 minutes following the presentation. USAID will provide specific instructions regarding required presentation content along with the invitation to submit a full application.

6. Cost Application Format – Phase II

The Cost/Business Application must be submitted separately from the Technical Application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

The Cost/Business application must contain the following sections:

- a) Cover page
- b) Signed SF 424 Forms
- c) Budget

- d) Budget Narrative
- e) A copy of personnel and travel policies
- f) A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization or any sub partner that has such an agreement with the U.S. Government
- g) Commitment letters from all proposed sub-awardees.

The following sections describe the documentation that applicants for Assistance awards must submit to USAID. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- a. **Cover Page:** The Cost/Business Application cover page must contain the same information as the Technical application Cover Page.
- b. **SF 424 Forms:** The Applicant shall submit the application using the SF-424 series, as applicable:
 - SF-424 Application for Federal Assistance
http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf
Instructions: <http://www.grants.gov/web/grants/form-instructions/sf-424-instructions.html>
 - SF-424A Budget Information – Non-construction Programs
<http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>
Instructions: <http://www.grants.gov/web/grants/form-instructions/sf-424a-instructions.html>
 - SF-424B Budget Information – Construction Programs
<https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>
- c. **Budget:** A detailed/itemized budget in an unprotected MS Excel file (MS Office 2000 or later version) with all formulas included. Applicants must clearly identify all proposed cost share contributions for specific line items in the itemized budget. Applicants must include each line item listed below and include additional line items as applicable to your technical application:
 - o Personnel
 - o Fringe Benefits
 - o Travel, Transportation, and Per Diem
 - o Equipment
 - o Supplies
 - o Contractual
 - o Participant Training
 - o Other Direct Costs

The budget must include a breakdown of all costs associated with the project according to the costs of headquarters, regional and/or country offices, as applicable.

The budget must include costs to ensure appropriate coordination, collaboration and information sharing with other USAID, U.S. Government Agencies, other international donors, the GOG, including municipal governments and private sector stakeholders and civil society organizations.

Note: Individual sub-awards with a value equal to more than \$1,000,000 proposed as part of application must include the same cost element break-downs in their budget as applicable. For proposed sub-awards valued at \$1,000,000 or less, the applicant must submit a separate summary addressing the following:

1. Description and justification for the technical work to be implemented by the sub-awardee outlining activities at a high level and geographic focus, and describing how the proposed grant fits within the applicant's technical approach.
2. Identification of and justification for the type of sub-award to be used.
3. Principal reasons for selecting the proposed sub-awardee
4. Identification of the proposed sub-awardee and determination of responsibility.
 - a. Results of Excluded Parties List System (sam.gov), UN Sanctions Committee for Al Qaida, and OFAC Specially Designated Nationals
 - b. Discuss the elements of responsibility mentioned below:
 - i. The recipient must determine that the sub-awardee possesses the ability to perform successfully under the terms and conditions of a proposed award, taking into consideration the sub-recipient's integrity, record of past performance, financial and technical resources, and accessibility to other necessary resources.
5. Proposed sub-award summary budget and period of performance
6. Principal cost elements of the proposed sub-award (e.g. the main cost elements that influenced the final proposed budget)
7. A list of standard provisions to be included in the award.

Illustrative description of cost elements are provided below:

Personnel: Direct salary and wages should be proposed in accordance with the applicant's personnel policies and meet the regulatory requirements. Costs of long-term and short-term personnel should be broken down by person years, months, days or hours.

Fringe Benefits: Allowances and services provided by the applicant to its employees as compensation in addition to regular wages and salaries are allowable. A detailed cost breakdown by benefit types should be provided.

Consultants: Services rendered by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the applicant are allowable costs. Costs of consultants should be broken down by person years, months, days or hours.

Travel, Transportation, and Per Diem: Cost principles in 2 CFR 200, Subpart E provide for costs for transportation, lodging, meals and incidental expenses. Costs should be broken down by the number of trips, domestic and international, cost per trip, per diem and other related travel costs.

Equipment and Supplies: Supplies includes all property except land or interest in land. Costs should be broken down by types and units.

Sub-awards: Per 2 CFR 200.92, a Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. A subaward may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract. A breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional and/or country offices. Applicants who intend to utilize contractors or sub-recipients should indicate the extent intended and provide a complete cost breakdown.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. All vehicles need to be purchased by the prime recipient.

Participant Training: ADS 253 provides for participant training and training in development. Costs should be broken down by types and participants.

Other Direct Costs: Various types of direct costs and many cost elements are allowable. Costs should be broken down by types and units.

Applicants must submit a budget that responds to the proposed technical approach and is flexible enough to accommodate opportunities that are likely to emerge, but cannot be described with specificity once a year during the annual implementation planning process. The proposed budget must account for these types of activities in accordance with 2 CFR 200.433.

Allowances: Allowances should be broken down by specific type and by person, and should be in accordance with applicant's policies and generally aligned with the Department of State Standard Regulations (DSSR).

USAID established a required cost share of 10% of the Award's projected value of \$30 million for the recipient of the award. Leveraged non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct

funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicants cost share contributions (e.g. categories or items) meet the standards set in 2CFR 200.

Indirect Costs: The Applicant must submit a Negotiated Indirect Cost Rate Agreement (NICRA) if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA exists, the Applicant should submit one of the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state that he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework).

If the applicant has never received a negotiated indirect cost rate, the applicant may choose to charge a de minimus rate of 10% of modified total direct costs (see 2 CFR 200.414(f)). If the prospective applicant chooses the de minimus rate, the AO must incorporate the 10% indirect cost rate in the award budget and the recipient must follow the requirements in 2 CFR 200.414(f).

In addition to the detailed budget, Applicants must create a separate worksheet to highlight and summarize all anticipated costs attributable to the implementation of community action plans. The detailed budget will not include separate line items for community action plans.

****Note: For the purposes of this solicitation, applicants illustrative costs for developing the EMMP and environmental compliance implementation and monitoring should be reflected in the cost applications – not as separate categories. USAID wants to ensure that applicants include costs associated with environmental compliance activities in all applicable categories.****

7. Additional Information

- Required certifications, assurances, and other statements. Applicants must submit all the required certifications described in ADS 303.3.8
<https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf> . **Proposed key personnel must sign the Individual Key Certification per ADS 206**
<https://www.usaid.gov/ads/policy/200/20657m1>
- **SF-424B Assurances – Non-construction Programs**
<http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>
Instructions: <http://www.grants.gov/web/grants/form-instructions/sf-424b-instructions.html>

USAID/Guatemala’s Agreement Officer will request the following information from the Apparently Successful Applicant:

- **Past Performance References (PPRs):** Past performance is defined as relevant information regarding applicants’ actions under a previous award. The Apparently Successful Applicant must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past three years.
- **Certificate of Compliance:** Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).
- **Branding Strategy and Marking Plan.** A Branding Strategy and Marking Plan shall be in accordance with the USAID Branding and Marking plan as required per ADS 320. Refer to ADS 320, (<http://www.usaid.gov/policy/ads/300/320>) specifically 320.3.3 for more information.
- **Environmental Compliance Requirements.** USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the NOFO shall include as part of their application their approach to achieving environmental compliance and management to include:
 - The respondents approach to developing and implementing an EMMP.
 - The respondents approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
 - The respondent’s illustrative budget for implementing the environmental compliance activities.
- **Pre-Award Risk Assessment:** Applicants should submit any additional evidence to facilitate USAID’s review of risk posed by applicants in accordance with the principles established by the Office of Management and Budget (OMB) (see 2 CFR 200.205) that it deems necessary. The information submitted should substantiate that the applicant:

1. Has financial stability;
2. Has quality of management systems and ability to meet the management standards prescribed in 2 CFR 200.205;
3. Has history of performance. The applicant's history of performance will serve as an indicator of the quality of its future performance.
4. Has reports and findings from audits performed under 2 CFR 200 Subpart F – Audit Requirements of this part or the reports and findings of any other available audits; and
5. Has the ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

An award shall be made only when the Agreement Officer makes a positive risk assessment that the applicant possesses, or has the ability to obtain, the necessary management competence to plan and carry out assistance program to be funded and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey.

8. Unique Entity Identifier and System for Award Management

Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. Each applicant is required to:

- (i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;
- (ii) Provide a valid unique entity identifier in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

9. Funding Restrictions

Awards to for-profit organizations

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

USAID does not anticipate to allow reimbursement of pre-Federal award costs under the resulting Cooperative Agreement.

Construction

Construction is allowed under this project. The recipient must include proposed costs as a separate line item in the budget. Consistent with the USAID Implementation of Construction Activities guidance, a mandatory reference for ADS 303, the following conditions apply to construction activities:

- i. The award is a cooperative agreement (CA), since greater oversight is possible through substantial involvement by USAID (see ADS 303.3.11). Construction must not be financed under a grant;
- ii. The construction activities are only a portion of all award activities and 1. The estimated cost of construction activities at a single project site is less than \$500,000 (see definition of single project site below); and 2. The total aggregate estimated cost of construction activities under the award is less than \$10,000,000.
- iii. The CA complies with the requirements of ADS 221, USAID's Procedures for Implementing International Agreements for Tied and Untied Aid;
- iv. Construction activities are explicitly stated in the budget;
- v. The CA expressly states that no construction activities other than those explicitly approved under the agreement may be performed as part of the cooperative agreement;
- vi. A term of substantial involvement provides the right of the Agreement Officer's Representative (AOR) to halt construction;

Definitions:

"Construction" means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

"Improvements, renovation, alteration and refurbishment" includes any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical,

or other building systems. “Improvements, renovation, alteration and refurbishment” does NOT include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.).

“Modifications or amendments” refer to changes in scope or refinements of work plans that include activities not previously carried out by an assistance recipient. “Single project site” for purposes of this policy means a single undertaking of construction within a contiguous geographic location, including but not limited to, a road, a building, a wastewater treatment facility, a power plant, a school, a clinic, etc., but also includes contiguous multiples of the same.

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SECTION E: APPLICATION REVIEW INFORMATION

a. Overview

Award will be made based on the ranking of applications according to the merit review criteria. Technical Applications and their associated Cost Application will be reviewed separately. Technical Applications will be reviewed using an adjectival rating against each merit review criteria and sub-criteria. Where sub-criteria exist, these will be used as elements to be considered when establishing the overall rating for the major criterion. Cost has not been assigned an adjectival rating; however, cost estimates will be analyzed as part of the application review process for realism, allocability, reasonableness and allowability.

The criteria presented below have been tailored to the requirements of this particular NFO. Applicants should note that these criteria serve to: (a) identify the significant matters that applicants should address in their applications, (b) set the standard against which all applications will be reviewed, and (c) inform an award decision. To facilitate the review of **full** applications, applicants must organize the narrative sections of their **full** applications with the same headings and in the same order as the merit review criteria. The technical narrative must follow the structure of the program description included in this NFO.

This NFO contains two merit review phases (evaluation phase I and II). A limited number of applicants will be invited to participate in phase II. During evaluation phase II, qualified applicants will be asked to submit written technical and cost applications and USAID will schedule oral presentations in Guatemala City, Guatemala with all applicants invited to participate in phase II. The Selection Committee will evaluate **criteria 1 (Technical Approach) and 2 (Management and Staffing Strategy)** based on both the written application and the oral presentation. **The final award will be given to the applicant selected from evaluation phase II.**

b. Merit Review Criteria for Concept Papers – Phase I

The Selection Committee will use a pass/fail methodology to review concept papers. Each concept paper will receive an overall rating of satisfactory or unsatisfactory based on the criteria below.

Acceptable:

- Presents a clear understanding of the conflict context in the Western Highlands.
- Presents a clear conceptual framework of how the project would address the problem statement (building upon the conflict context) and would achieve the three objectives and

expected results outlined in the Program Description in support of the project's purpose of reduced social conflict and violence and increased social cohesion and peacebuilding.

- Sufficiently presents an approach that is appropriate and realistic for the Guatemalan context and adaptable to the situation in communities and municipalities.
- Sufficiently states how the project would integrate the core implementation principles outlined in the Program Description.
- Clearly states how the project would include the cross-cutting principles of gender, empowerment of indigenous and other marginalized populations, coordination, and conflict sensitivity.
- Sufficiently states how the project will integrate strategic collaboration and adaptive management based upon continuous learning throughout project implementation.
- Proposed project is achievable given the funds available, and period of time allotted.

Unacceptable:

- Presents a one-size-fits-all technical approach.
- Presents an approach that does not sufficiently take into account communities' input in identifying and prioritizing their own drivers of social conflict and violence, and in developing action plans.
- Presents an approach that does not bring together community members and groups, local government, and traditional authorities.

The proposed total estimated amount will not be evaluated.

c. Merit Review Criteria for Full Applications – Phase II

The following evaluation factors and sub criteria are listed in order of importance starting with the most important factors listed first. Therefore, Criterion 1 (Technical Approach) is more important than Criterion 2 (Management and Staffing Strategy). Within Technical Approach, sub criterion 1.1 is the most important. Sub criteria 1.2 and 1.3 share equal importance. Within Criterion 2 (Management and Staffing Strategy), sub criteria 2.1 and 2.2 share equal importance.

3. Criterion 1: – Technical Approach

The Selection Committee will evaluate Criterion 1 (Technical Approach) based on both the written application and oral presentation.

Criterion 1.1 – Effective and innovative technical approach

Applications will be evaluated on the extent to which the application:

- Includes a context and conflict analysis that demonstrates an understanding of social conflict in the Western Highlands, as well as an understanding of the challenges and opportunities that exist to address social conflict, improve social cohesion, and support peacebuilding in Guatemala;

- Clearly explains the proposed theory of change and the assumed connections and logic between various actions and the goal of reducing social conflict and violence and improving social cohesion in Guatemala's Western Highlands;
- Reflects an effective and innovative approach based on a clear conceptual framework to address the problem statement and achieve the objectives and expected results outlined in the Program Description in the given timeframe that incorporate and/or build on best practices and evidence-based methods;
- Incorporates an approach that is adaptable to the situation in different communities and municipalities;
- Demonstrates a thorough knowledge and accurate assessment of governmental, private, and non-governmental sector efforts at national, municipal, and community levels;
- Will likely strengthen processes that are credible, recognized, and effective and ensure that the Recipient is seen as objective and credible; and
- Integrates the cross-cutting principles of gender, empowerment of indigenous and other marginalized populations, coordination, and conflict sensitivity.

Criterion 1.2 – Collaborating, Learning, and Adapting (CLA) Approach and Draft Monitoring, Evaluation, and Learning (MEL) Plan

The CLA approach will be evaluated on the extent to which:

- It effectively integrates strategic collaboration and adaptive management based upon continuous learning throughout project implementation, identifies critical learning needs, and proposes an effective approach for refining and testing the project's theory of change;
- Community members will be engaged in the CLA-related activities from co-design to results dissemination.

The MEL Plan will be evaluated on the following considerations:

- Supports the technical and CLA approaches, core implementation, and cross-cutting principles;
- Specifies a monitoring approach and includes key impact and outcome indicators that will accurately and completely gauge project progress;
- Appropriately and meaningfully includes conflict sensitivity considerations and strategies;
- Clearly articulates an understanding of the necessary collaboration with the external impact evaluation partner; and
- Defines learning activities, including an agenda that will enhance project activities to effectively and efficiently reach objectives and results

Criterion 1.3 – Geographic approach

Applicants will be evaluated on their geographic strategy based on the criteria detailed in the Program Description to identify communities. Applicants will also be evaluated on the rationale for identifying communities taking into consideration a balance between working in

communities that do not have a strong USAID presence and building upon existing USAID partner experience and coordination to efficiently move project implementation forward.

4. Criterion 2: – Management and Staffing Strategy

The Selection Committee will evaluate Criterion 2 (Management and Staffing Strategy) based on both the written application and oral presentation.

Criterion 2.1 – Management and Staffing Plan

The application will be evaluated on the extent to which the Management and Staffing Plan, including institutional partners, can successfully achieve the project's objectives, achieve expected results, and effectively manage and implement activities. The plan will be evaluated on the extent to which it:

- Comprehensively illustrates responsiveness to the objectives and expected results outlined in the program description;
- Demonstrates the applicant's ability to provide appropriate technical resources and expertise to realistically and efficiently meet the project's technical, coordination, communications, and CLA needs;
- Clearly demonstrates the comparative advantage of each organization—including proposed partners' ability to establish and maintain effective, positive relationships with communities and other stakeholders—and reflects an appropriate division of labor that ensures the highest quality coordination and collaboration with national, municipal, and community statutory and traditional authorities and other key stakeholders;
- Has the right number of people and complement of technical and administrative skills to effectively manage the project towards achievement of results;
- Proposes a personnel composition that achieves gender equity and includes the participation of indigenous and other marginalized populations in meaningful roles;
- Supports and integrates the core implementation and cross-cutting principles;
- Reflects a commitment to include and engage community members and groups in the identification and prioritization of the particular sources of conflict in their communities, as well as in the design, implementation, and monitoring of community action plans;
- Clearly articulates how local organizations will be meaningfully involved in the technical implementation; and
- Demonstrates the applicant's ability to manage and implement a rapid start-up.

Criterion 2.2 – Key Personnel

Key personnel will be evaluated on the extent to which their skills and experiences meet the minimum requirements outlined below and clearly demonstrate the ability to successfully and effectively ensure project implementation, as illustrated in their CVs and supported by reference checks conducted by USAID. Please note that USAID may seek reference information from individuals outside of those submitted with the application.

The proposed key personnel team must have appropriate technical area experience; relevant management experience for a complex, multifaceted project of this size; experience in the Central America and/or Latin America region; experience working with national and municipal government officials; and fluency, as needed, in English and Spanish.

Minimum required attributes for the mix of key personnel are:

Leadership: Key personnel must be able to publicly represent the project and oversee coordination with key stakeholders, including USAID, the Government of Guatemala, civil society, the private sector, and others.

Peacebuilding and Conflict Expertise: Key personnel must demonstrate the ability to lead and manage peacebuilding and conflict resolution activities. Key personnel must have experience in applying technical approaches to conflict analysis, peacebuilding, and overall conflict sensitivity, particularly at the community level. Key personnel must demonstrate an understanding of peacebuilding issues specific to Guatemala. Experience working in Guatemala is preferable.

Community Development: Key personnel must demonstrate the ability to include and engage community members and groups in the design, implementation, and monitoring of community development activities. Key personnel must demonstrate the ability to play a lead role in identifying constraints and gaps impeding engagement and inclusion of community members and developing effective strategies to address them.

Monitoring, Evaluation, and Learning (MEL): Key personnel must demonstrate the ability to lead and manage MEL strategies for large, complex projects. Key personnel must have experience in leading Collaborating, Learning, and Adapting (CLA) activities. Key personnel must demonstrate the ability to take critical inputs feedback, and assessments from within the project and from external partners to inform changes in project approaches and scale-up.

d. Cost Evaluation Criteria for Full Applications - Phase II

The cost application of the **apparently successful applicant** will be evaluated for cost effectiveness including the level of proposed cost share. Proposed costs shall be evaluated for cost realism, completeness, reasonableness, allowability, and allocability. This analysis is intended to determine the degree to which the costs included in the cost application are fair and reasonable. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

e. Review and Selection Process

Technical applications will be reviewed in accordance with the merit review criteria set forth above by a Selection Committee (SC) composed of USAID employees and technical experts.

The Cost application for the apparently successful applicant will be evaluated by the Agreement Officer on cost effectiveness, reasonableness, and fairness. A Member of the Selection Committee will evaluate the cost application for cost realism. An award will be made to the responsible applicant whose application best responds to the criteria specified above and proposes fair and reasonable costs. The final award decision is made, while considering the recommendations of the SC, by the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

f. Anticipated Announcement and Federal Award Dates

An award is anticipated at the end of November 2017.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Notice of Award signed by an Agreement Officer is the authorizing document, which shall be transmitted to the individual with the authority to enter agreements on behalf of the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution. USAID will submit letters electronically to unsuccessful applicants after reviewing concept papers and full applications; unsuccessful applicants may request additional feedback on their full applications by sending an e-mail message to guatemalaproposals@usaid.gov. USAID will not provide additional feedback to applicants that are not invited to submit full applications.

2. Administrative & National Policy Requirements

For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.

2.1 Standard Provisions for U.S. Non-Governmental Organizations

<https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf>

PROVISION NO.	PROVISION TITLE
RAA1	NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
RAA2	NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
RAA3	NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
RAA4	EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
RAA9	COST SHARING (MATCHING) (FEBRUARY 2012)
RAA10	PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
RAA12	REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
RAA13	FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)

RAA17	USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
RAA18	STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
RAA22	UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
RAA23	REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
RAA26	CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
RAA27	AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)

2.2 Standard Provisions for Non-U.S. Non-Governmental Organizations

For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.

Standard Provisions for Non-U.S. Non-Governmental Organizations

<https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

PROVISION NO.	PROVISION TITLE
RAA1	ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
RAA3	INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
RAA4	INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
RAA5	UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
RAA6	REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
RAA7	SUBAWARDS (DECEMBER 2014)
RAA10	REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
RAA12	EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
RAA14	COST SHARE (JUNE 2012)
RAA16	FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
RAA17	STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS

	INVOLVING CONSTRUCTION (SEPTEMBER 2004)
RAA27	CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
RAA28	AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)

2.3 Special Provisions

Furthermore, USAID anticipates including the following special provisions in the resulting Cooperative Agreement:

1. Participant Training: For all training activities financed under this instrument and conducted in-country, in the United States, or in a third country, the recipient must comply with Automated Directives system (ADS) Chapter 253 and other USAID/Guatemala specific policies and procedures (i.e., Mission Order 253.1) governing the effective, efficient planning, design, and implementation of such training programs. The Recipient shall also be responsible for entering training information into the TraiNet database on a quarterly basis. Each quarterly report will include a confirmation that this requirement has been met.

For all project-funded trips to the United States, the recipient shall follow the guidelines included in ADS 252.

3. Value Added Tax: Use of EXENIVA form is authorized only for official project related procurement.

Use of IVA exemption form is authorized for project related procurement. USAID will support the customs clearance of official project vehicles. These vehicles will be cleared free of duty and IVA and will be titled to USAID/Guatemala with MI license plates.

Upon award of the Cooperative Agreement, the Recipient must appoint two individuals to be trained and provided access to EXENIVA. The names of the appointed persons must be provided to the AOR.

4. Use of Project Vehicles: In accordance with USAID policy, all vehicles must be used only for the purpose of work concerning project objectives. Use of vehicles acquired under this cooperative agreement for private use is not authorized. At no time will a

project vehicle be used for home-office transportation and all project vehicles must be parked in a secure area overnight, preferably at field office sites.

Recipient agrees that, in the event any vehicle financed by USAID for use by Recipient in conducting activities under this instrument is registered in the name of the U.S. Government, it will be the responsibility of Recipient to indemnify and hold the U.S. Government harmless from any damages or liability assessed against it because of the negligence of Recipient or its agents or employees.

The Recipient must be responsible to follow USAID/Guatemala requirements to return MI plates of project vehicles as part of the closeout process.

5. Legal Registration in the Cooperating Country: The Recipient is responsible for complying with all applicable local laws regarding fringe benefits for its local employees, local business operations, including but not limited to the registration of its offices in the local country, etc.

6. Project's Website: Should the Recipient decide to establish and operate a stand-alone public website to provide information and reporting on project's activities, it should contain a link to the USAID and USAID Guatemala web pages. The website shall comply with the approved Branding Strategy and Marking Plan and must be approved in advance by the Website Governance Board in USAID/Washington.

7. Climate Risk Management: All USAID projects and activities approved after October 1, 2016 are required to be assessed for climate risks, and the results of that analysis will be documented in the Activity's Initial Environmental Examination (IEE) (see Climate Risk Management for USAID Projects and Activities, a Mandatory Reference for ADS Chapter 201). This process of assessing, addressing, and adaptively managing climate risks is known as climate risk management (CRM). For USAID's purposes, climate risks are potential negative consequences on projects or activities due to changing climatic conditions. The goal of CRM is to both render USAID's work more climate resilient (i.e., better able to anticipate, prepare for and adapt to changing climate conditions and withstand, respond to and recover rapidly from disruptions) and to avoid maladaptation (i.e., development efforts that inadvertently increase climate risks). By using climate risk assessments to inform decision-making at the strategy, project and

activity levels, USAID is better able to manage climate risks and more effectively pursue its mission to end extreme poverty and to promote resilient, democratic societies while advancing our security and prosperity.

The goal of climate risk assessment at the activity level is to identify ways in which to integrate measures to address climate risks into activity design and/or to provide instructions to implementers to ensure that they adequately assess and address climate risks throughout implementation. To comply with this requirement, the IEE must include a summary of the approach to activity-level CRM and major results, as well as a completed Climate Risk Management Summary Table. For the **Communities Building Peace Together** project, USAID/Guatemala will conduct the climate risk assessment and present results to the Recipient during the Post Award Orientation Meeting. If the assessment indicates moderate or high climate risks, each risk must be addressed by integrating risk management measures into activity implementation. This will be done through an environmental mitigation and monitoring plan (EMMP), where the Recipient will describe specifically how it will implement all IEE conditions and mitigation measures that result from the CRM that apply to proposed activities within the scope of the award, including identified climate risks.

8. Electronic Payment System: Definitions:

“Cash Payment System” means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

“Electronic Payment System” means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument, that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, sub recipients, or contractors.

Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.

Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.

Cash payments to vendors below \$3000, when payment through an electronic payment system is not reasonably available.

The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

More information about how to establish, implement, and manage electronic payment methods is available to recipients at <http://solutionscenter.nethope.org/programs/c2e-toolkit>

3. Reporting, Monitoring, Evaluation and Learning

The Recipient must adhere to all reporting requirements listed below. All plans and reports must be submitted in English with an Executive Summary in Spanish unless otherwise specified. Documents must be submitted in electronic copy sent by email (one version in the original software program and one version in PDF) and the final approved version in hard copy. All reports must be submitted by the due date for approval by the USAID Agreement Officer's Representative (AOR) designated by the Agreement Officer. The Agreement Officer and designated Acquisition & Assistance Specialist must be copied on each submission. The Recipient will consult the AOR on the format and expected content of reports prior to submission.

3.1 Financial Reporting:

1.1.1 Quarterly Financial Reports

In accordance with 2 CFR 200.327, the SF 425 must be submitted on a quarterly basis. The recipient must submit these forms in the following manner:

- (1) If the Recipient has a Letter of Credit with the U.S. Government then, on a quarterly basis, report expenditures/liquidations to DHHS electronically on the Federal Financial Report (FFR/SF-425), lines 10a – 10c and the FFR Attachment (SF-425A) using the [DHHS Payment Management System](#).

- (2) The SF 425 (and SF 425a if necessary) must be submitted via electronic format to the Agreement Officer's Representative (AOR) and the Agreement Officer (AO). The Federal Financial Report (FFR/SF-425) is available in PDF at the GSA website: <https://www.gsa.gov/portal/forms/download/149786>. Guidance and instructions for completing the SF-425 can be found at: <https://www.usaid.gov/sites/default/files/documents/1868/636mab.pdf>
- (3) The financial reports are due 30 days after the end of each fiscal year quarter on October 31, January 31, April 30, and July 31.
- (4) If the Recipient has a Letter of Credit with the US government then, a copy of the "Final" Federal Financial Report (FFR/SF-425) report for this award is to be submitted to the USAID LOC Team at locfinalreport@usaid.gov.
- (5) Supplemental Information – The Recipient will be required to provide back-up documentation that provides information regarding expenditures associated with various funding sources obligated into the agreement (i.e., Development Assistance (DA) and Central America Regional Security Initiative (CARSI)). In order to provide this information, the AOR will provide the Recipient with a breakdown of the type and amount of funds by funding source in each obligation.

3.2 Technical Reporting

3.2.1 Annual Work Plans

Within 60 calendar days of the effective date of the award, the Recipient will submit the first annual work plan to cover the period of time from the effective date of the Cooperative Agreement to September 30, 2018. Subsequent implementation plans will cover the period October 1 to September 30 of the following year and must be submitted by August 15 of each year. Plans may be revised with AOR written approval on an as needed basis to reflect unforeseen adjustments in implementation.

Presentation of Annual Work Plan: In addition to the submission of the electronic copy of the annual work plans described above, the Recipient must present the plan to the AOR and other interested USAID staff on an annual basis. This presentation will be held in or around October of each year and organized in collaboration with the AOR.

All annual work plans must include the following sections:

- Introduction
- Background Section that includes the problem statement and analysis.

- Project Approach that includes the development hypothesis, **logical** framework, implementation strategy, and any possible obstacles hindering achievement of objectives. The project approach must highlight plans to engage with a diverse range of participants, including marginalized groups, women, vulnerable populations, indigenous persons, youth, the private sector, civil society organizations, non-governmental organizations, and local and national government entities. The project approach section must also indicate how the project is applying and incorporating the core implementation principles of collaborating, learning, and adapting (CLA), use of local systems and building of local capacity, promotion of equity, scale-up and sustainability of successful approaches, ability to maintain objectivity and credibility, and development and use of strategic communications.
- Implementation Plan Matrix, organized according to project objectives, that identifies proposed accomplishments for the fiscal year, tasks, activities, timeframe, and expected outputs or progress to achieve the project's expected results and targets.
- Coordination and collaboration with other USAID and USG partners and other stakeholders that describes a comprehensive approach that the Recipient will use to ensure coordination, collaboration, and information sharing with other USAID and USG partners, international donors, GOG institutions, local statutory and traditional government entities, civil society organizations, and any other relevant stakeholders.
- Update to Gender Integration Plan that summarizes plans to integrate gender equality throughout project implementation during the year, and, if needed, that describes revisions to the gender integration strategy, based on lessons learned, identified risks, and the project's adaptive ability.
- Update to Sustainability Plan that summarizes plans to address barriers and maximize sustainability of project results during the year.
- Update to Conflict Sensitivity Plan that summarizes plans to integrate conflict sensitivity throughout project implementation during the year, and, if needed, that describes revisions to the conflict sensitivity strategy, based on lessons learned, identified risks, and the project's adaptive ability.
- Training Plan that describes all planned local and international training events and expected results (a format for the preparation of this plan will be provided by USAID upon signature of the award).
- Updated Project Fact Sheet in English and Spanish (as an annex) that summarizes project's purpose, objectives, and progress and that can be used to prepare media kits and dissemination activities to broad audiences.
- Procurement Plan, as an annex, that describes the following:

- i. Specifications and the estimated cost of all non-expendable supplies and equipment expected to be purchased in the coming fiscal year;
- ii. An explanation of the intended use of each item; and
- iii. The source of the commodities to be purchased.

The procurement plan will include purchases made by the Recipient and its sub-recipients. The final determinations for procurement at the community level will depend on the action plans and projects prioritized by communities.

- Detailed Budget, as an annex, by principal activities, funding source, and by line item, broken down by quarters. The Annual Work Plan must show planned expenditures and actual expenditures to date.

The first Work Plan must also include:

- A Geographic Plan that clearly describes how the Recipient will select and launch activities in at least 200 communities in at least 20 municipalities in the five Western Highlands departments of Huehuetenango, Quetzaltenango, Quiché, San Marcos, and Totonicapán. The Geographic Plan should be based on a balance of factors that capture the following:
 - i. need to reduce acute social conflict;
 - ii. potential and opportunities for interventions to make an impact;
 - iii. political and social will to address the identified conflict;
 - iv. community development needs;
 - v. expanding current USAID reach in the Western Highlands; and
 - vi. building upon existing USAID partner experience and coordination in the Western Highlands.

The Geographic Plan should also describe how the Recipient will work and coordinate with the impact evaluation partner in the identification of at least 300 communities eligible to receive the project and the roll-out of activities to target communities.

- A Gender Integration Plan that responds to the findings and recommendations from Gender Analysis for USAID's Citizen Security Development Objective (see Annex 7) and the conflict vulnerability assessment, and takes into account the Recipient's research on gender inequality in the Western Highlands. The Gender Integration Plan should also consider the following questions:
 - How will the anticipated results of the project affect women and men differently?
 - What impact will the project have on gender inequalities?
 - What are the policy, legal, and socio-cultural constraints to women and men becoming full beneficiaries of the project, and what design elements are required to remove or compensate for these constraints?
 - How will the different roles and status of women and men within the community, political sphere, workplace, and household (for example, roles in decision-making and different access to and control over resources and services) affect the work to be undertaken?

In addition, the Recipient must provide information on how gender equality issues will be integrated throughout project implementation in the annual work plan.

- A Sustainability Plan that identifies barriers to sustainability and how the Recipient will address such barriers, taking into consideration the political and social context. The Recipient must seek to maximize the sustainability of project results, demonstrating how project inputs and activities will contribute to impacts that will continue beyond the life of USAID funding. The Recipient must also include an analysis of the political and social context and any institutional capacity building that will be done to improve systems and processes, organizational attitudes/cultures, incentives, measurement of outcomes and impacts, institutional reforms, and coalition building.
- A Conflict Sensitivity Plan that describes the Recipient's strategy and actions to ensure all project interventions are conflict-sensitive, as per the Program Description. The plan should also describe the project's conflict sensitivity considerations and indicators to understand and track conflict dynamics throughout implementation.
- A Strategic Communications Plan that describes the strategy that will be used to inform project target communities, the GOG, USG, and other key audiences over the life of project implementation. The strategy will include and distinguish between social marketing and/or Social and Behavior Change Communications (SBCC) and institutional communications, as well consider expected synergies between the two disciplines of communication. The strategy should be designed to reach segmented audiences with a wide range messages to motivate community engagement and sustained behavior change that is in line with the program description.

3.2.2 Monitoring, Evaluation, and Learning (MEL) Plan

A comprehensive MEL Plan covering the complete agreement period must be submitted for approval to the AOR 90 days after mobilization of the award in conjunction with the first annual work plan. The MEL Plan must be prepared in English. Subsequent changes to the MEL Plan will require concurrence from the AOR. The MEL plan will be a living document that is responsive to community-defined priorities and plans as they emerge.

The MEL Plan will include indicators for all expected results. Annual targets (and quarterly benchmarks, as appropriate) for each indicator will also be included in the Plan. The MEL Plan must be rigorous; take into consideration the criteria of validity, integrity, precision, reliability, and timeliness for each indicator; and, in the case of at least one indicator per expected result, explain how these criteria are met. The MEL Plan must also include how learning will be captured and integrated into project activities as an iterative process.

The Recipient will be expected to develop and incorporate output, outcome, and impact indicators in the MEL Plan that will provide a clear vision of the impact of the USAID-funded

project. The Recipient must include the Standard Foreign Assistance Indicators,⁴⁸ which USAID is obliged to measure for various agency frameworks, as well as indicators for Development Objectives 1 and 2 under the USAID/Guatemala CDCS.

Key components of the MEL Plan⁴⁹ typically include:

- A logical framework that outlines results, objectives, and assumptions and that captures the entire picture of the project;
- The project's monitoring approach, including relevant performance indicators of outputs and outcomes and context indicators. Annual and life-of-project targets for each performance indicator must be indicated. As applicable, the plan will disaggregate indicators by sex, ethnic background, and members of vulnerable populations. Context indicators to track conflict dynamics related to the project should also be included. A Performance Indicator Reference Sheet (PIRS) and a Context Indicator Reference Sheet (CIRS) must be completed for all performance indicators and context indicators, respectively, reported to USAID.
- A plan for any internal evaluations that the Recipient intends to manage and conduct using its own staff or a contractor. The Recipient will provide a timeline and brief description of proposed evaluations;
- A plan for collaborating with external evaluations planned by the USAID/Guatemala;
- Learning activities, including an overall learning agenda that proposes key research objectives and questions around critical knowledge gaps at the project level and knowledge capture at activity close-out. The MEL Plan must provide a clear rationale for how the learning agenda was developed and how it can enhance project activities to reach the objectives more effectively and efficiently;
- A section on data management explaining how the Recipient intends to manage data at all stages—from collection to reporting. The Recipient's procedures for ensuring data quality of sub-recipients' reported data, if applicable.
- Estimated resources for monitoring, evaluation and learning activities that are a part of the Recipient's budget; and
- Roles and responsibilities of prime and sub-partner staff for all proposed monitoring, evaluation, and learning actions.

3.2.3 Security Plan

The Recipient must submit a detailed Security Plan that describes the Recipient's plan to safeguard all project operations. The plan is to be implemented and maintained by all sub-awardees as well. The Recipient must share the security plan with the Agreement Officer and AOR, but it will not be approved by USAID personnel. The plan must include the following:

- i. Procedures for reporting and addressing security threats;
- ii. Procedures for reporting any deaths related to the project;
- iii. Procedures for reporting and addressing any persons missing or kidnapping incidents;

⁴⁸ For additional information on standard indicators, refer to [Standard Foreign Assistance Indicators](#).

⁴⁹ For guidelines and practical advice on preparing and maintaining a MEL Plan, refer to [How-To Note: Activity Monitoring, Evaluation, and Learning Plan](#).

- iv. Name and contact information of security contact person for the head office and regional office(s);
- v. An internal cascade list for communicating with staff to be updated and maintained by the Recipient.

The Recipient must provide the name, address, and telephone numbers of the Chief of Party and their designee to USAID as principal contacts in case of security situations/emergencies. Recipients are responsible for sharing information with their staff.

3.2.4 Quarterly Performance Reports

The Recipient must submit quarterly performance reports 30 calendar days after the end of the reporting period (January 31, April 30, and July 31). These reports should describe activities undertaken, alliances established during the quarter, report on progress made toward achieving results, and any necessary adjustment of activities and timelines that will be undertaken in the following quarter.

Quarterly Performance Reports must include the following:

- Progress on major activities during the period;
- Any implementation problems and proposed remedial actions as appropriate;
- Planned activities for each expected result for the next quarter;
- Gender considerations in implementation and performance during the quarter;
- Progress on performance indicators in the MEL Plan;
- Description of efforts to ensure coordination, collaboration, and information sharing during the reporting period and any problems encountered, agreements reached, and/or actions taken to ensure coordination between partners.
- Brief description of security challenges faced during the reporting period and actions taken to mitigate the risk for project staff and beneficiaries and steps taken to report such incidents on a timely manner to the AO and AOR;
- Other pertinent information, including a statement of accrued expenditures, analysis or explanation of cost overruns or underruns;
- List of all documentation submitted to the Development Experience Clearinghouse (DEC);
- A certification that all training events have been entered in the TraiNet database; and
- At least one success story with information on the project's outcomes, results, and/or impact during the reporting period, beginning with the third quarterly reporting period.

The fourth quarterly report will be replaced by the Annual Performance Report and due on October 31 of each year.

3.2.5 Annual Performance Reports

Annual Performance Reports will be reviewed by USAID/Guatemala as part of the Annual Work Plan review and approval process. Annual Performance Reports are not to exceed 50 pages in length, including an Executive Summary that should not to exceed 5 pages in length. Additional supporting information may be included in Annexes to the report.

Annual Performance Reports must include the following:

- Extent to which objectives and results in the Annual Work Plan were achieved;
- Highlights of major achievements during the year;
- Significant implementation problems and challenges encountered during the year and mitigation measures taken to address these (if applicable);
- Description of efforts and progress achieved in applying and incorporating the core implementation principles of CLA, use of local systems and building of local capacity, promotion of equity, scale-up and sustainability of successful approaches, ability to maintain objectivity and credibility, and development and use of strategic communications;
- Description of efforts to ensure coordination, collaboration, and information sharing during the reporting period and any problems encountered, agreements reached, and/or actions taken to ensure coordination with relevant stakeholders;
- Description of efforts and progress achieved with activities to advance gender equality;
- Update on the implementation of the Sustainability Plan, including description of efforts and progress achieved with regards to sustainability of project activities;
- Description of efforts and progress achieved in the implementation of the Conflict Sensitivity Plan;
- Description of efforts and progress achieved in the implementation of the Strategic Communications Plan, including description of adjustments made based on lessons learned and/or additional audience information;
- Narratives on relevant key issues for the Annual Performance Plan and Report (PPR), which will be provided by the AOR;
- Progress achieved with regard to MEL Plan indicators and targets for the fourth quarter and entire fiscal year. If proposing changes to future year targets, include the new targets and justification for these changes;
- Updates on analysis related to project evaluation questions and the learning agenda in the MEL Plan;
- Lessons learned, observations, and recommendations that might be relevant to the design and implementation of other activities and projects to reduce social conflict and violence and improve social cohesion in Guatemala's Western Highlands;
- Environmental compliance information, as applicable; and
- Success stories for publication.

3.2.6 Semi-Annual Portfolio Reviews

The Recipient shall brief staff from the USAID/Guatemala Democracy and Governance Office and other offices in person twice each year. The briefing requires a PowerPoint presentation presenting all semi-annual and cumulative results against project targets, achievements in relation to the expected results for the previous six months, challenges, lessons learned, and projected activities for the following six months.

The Recipient must submit information described above—indicators, results, targets, performance narratives, geo-locations, and success stories—to a web-based database to be identified by USAID/Guatemala or, in case a database is not available, by email to the AOR.

This information must be submitted within 15 days of the semi-annual portfolio review presentations. In lieu of a briefing, the AOR may request the Recipient submit the information for the portfolio review by email.

3.2.7 Other Reports

1. Weekly Highlights

The Recipient must submit no more than one paragraph to USAID/Guatemala highlighting major activities or accomplishments. USAID/Guatemala will include this information in the Mission's Weekly Activity Report, which USAID will share with other USG stakeholders in Guatemala and Washington.

2. Calendar of events

The Recipient must submit during the first five days of each month a list of events that the project plans to carry out. USAID/Guatemala will provide a format to include the following information: date of the event; event name; event officer (i.e. AOR/COR); event organizer (i.e. project name); place and time; organization and/or person(s) responsible for event planning and materials; request for U.S. Mission speaker; key audiences; key event messages; and planned media coverage. The Recipient must update this information on a weekly basis if changes in the calendar occur.

3.2.8 Final Performance Report

A Final Performance Report in English is required within 90 days of the expiration of the Cooperative Agreement. A draft of the Final Report should be submitted to the AOR no later than the end date of the agreement. Financial and other reports are required as per the terms and conditions of the agreement.

The Final Performance Report should include the following:

- A four-page Executive Summary describing the project, overall accomplishments, lessons learned, and conclusions about future assistance needs;
- Overall description of the project and activities implemented;
- Description of overall achievements and results during the life of the project;
- Assessment of progress made in achieving the project's goal, objectives, and expected results;
- Any shortcomings or difficulties encountered, and reasons why expected results were not met, if applicable;
- Summary of MEL Plan indicator results and an assessment of indicators' relative usefulness in tracking project progress;
- Summary of key findings from internal evaluations and assessments;
- Summary of learning activities, including progress made in responding to key research questions around critical knowledge gaps in the learning agenda;
- Changes in the project environment over the course of implementation;
- Changes in project design and implementation, as well as summary of adaptive management approaches applied;

- Summary of lessons learned;
- Recommendations regarding unfinished work, if applicable; and
- Recommendations relevant to future project design and implementation.

The Final Performance Report must also include a list of all reports, publications, evaluations, and information and media products produced under this agreement, as well as confirmation that all products were submitted to the USAID Developmental Experience Clearinghouse (DEC).

3.2.9 Close-out/Demobilization Plan

Six months prior to the completion date of the Cooperative Agreement, a close-out/demobilization plan, including the proposed disposition of equipment, such as vehicles, will be submitted to the USAID Agreement Officer for approval, with copy to the AOR. The close-out plan shall include a list of actions that are typically required for close-out activities to ensure that all project activities are completed; conduct an analysis of progress to date and, if necessary, expedite timelines to ensure completion; conduct a thorough pipeline analysis to ensure that there are sufficient funds available to finalize activities and complete all requirements; ensure that all reports are submitted in accordance with the terms and conditions of the agreement. All subcontracts and/or sub-awards should be completed and payments settled, if applicable.

Submission of a final inventory of all residual non-expendable property that was acquired or furnished by the U.S. Government under the Cooperative Agreement and request disposition instructions for any property acquired or furnished by the Government under the program. Particular care should be taken regarding vehicles since their legal transfer may require a special procedure that would need to be completed before the completion date of the award. Ensure that all staff members are provided with severance and other payments, if applicable, in accordance with local labor law. Ensure that all audit requirements are addressed, if applicable. For U.S. organizations, demobilization plans need to include: closing of offices (including cancelation of phone, electricity, subscriptions, etc.), disposition of all equipment (including vehicles), disposition of residual supplies, repatriation of expatriate staff, household and POV shipments, etc. In particular, USAID requests submission of all electronic and hard copies of reports, documents, studies, photographs, video, and all other published and non-published intellectual property.

3.2.10 Environmental Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated

Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/who-weare/agency-policy/series-200>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Applicant environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Notice of Funding Opportunity (NOFO).

In addition, the applicant must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern. No activity funded under this Cooperative Agreement (CA) will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”).

An Initial Environmental Examination (IEE) LAC-IEE-12-60 and its amendments, LAC-IEE-17-06, and LAC-IEE-17-37, have been approved for DO1 Greater Security and Justice for Citizens funding this CA.

The IEE covers activities expected to be implemented under this CA. USAID has determined that a Negative Determination with Conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment.

The applicant shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award. As part of its initial Work Plan, and all Annual Work Plans thereafter, the applicant, in collaboration with the USAID AOR and MEO, REA or BEO, as appropriate, shall review all ongoing and planned activities under this CA to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the applicant plans any new activities outside the scope of the approved Regulation 216 environmental documentation, if the life of activity funding ceiling will be eclipsed, or if a time extension is required, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID. When the approved Regulation 216 documentation is an IEE that contains one or more Negative Determinations with Conditions, the applicant shall:

- Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M plan), the applicant shall prepare an EMMP describing how the applicant will, in specific terms, implement all IEE conditions that apply to proposed project activities within the

scope of the award. The EMMP format is attached. The EMMP shall include monitoring the implementation of the conditions and their effectiveness.

- Integrate a completed EMMP into the initial work plan.
- Prepare an Environmental Compliance Report (ECR) at the end of the year or as per reporting requirements of the contract. The ECR shall be based on the monitoring of mitigation measures using Table 3 of the EMMP.
- A revised EMMP must be completed and approved in subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

A provision for sub-awards is included under this award. Therefore, the applicant will be required to use an Environmental Review Form (ERF), an EMMP form (in LAC) or Environmental Review (ER) checklist (Table 1 of the EMMP for LAC) to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated.

Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. The applicant is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented. The applicant will also be responsible for periodic reporting to the USAID AOR, as specified in the Program Description of this award.

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SECTION G: FEDERAL AWARDING AGENCY CONTACT

The Point of contact (POC) for questions while the funding opportunity is open is as follows:
guatemalaproposals@usaid.gov with attention to Ms. Indyra González or igonzalez@usaid.gov

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SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

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