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FROM THE AMERICAN PEOPLE

Issue Date: May 12, 2016

Deadline for Questions: May 27, 2016

Closing Date: July 11, 2016

Closing Time: 10:00 hours (Guatemala time)

Subject: **Notice of Funding Opportunity (NOFO)**
Request for Applications (RFA) No. RFA-520-16-000003

Program Title: **Community Roots Project**

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified U.S. and Non-U.S. organizations to fund a program entitled "Community Roots Project. Eligibility for this award is not restricted; see Section C of this Notice of Funding Opportunity (NOFO) for eligibility requirements.

Subject to the availability of funds an award will be made to that responsible applicant whose application best meets the objectives of this funding opportunity and the selection criteria contained herein. While one (1) award is anticipated as a result of this NOFO, USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NOFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NOFO.

Please send any questions to the point of contact identified in section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

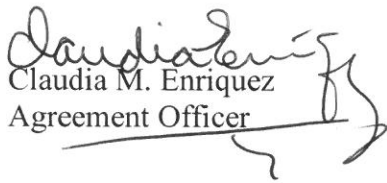

Claudia M. Enriquez
Agreement Officer

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Abbreviations and Accroynms used in this NOFO

ADS	Automated Directives System
AO	Agreements Officer
AOR	Agreements Officer Representative
CARSI	Central American Regional Security Initiative (CARSI)
CBD	Community-Based Development
CDCS	Country Development Cooperation Strategy
CFR	Code of Federal Regulation
COCODE	Community Development Committee
COMUDE	Municipal Development Committee
COP	Chief of Party
CPA	Certified Public Account
DO	Development Objective
DOAG	Development Objective Agreement
DEC	Development Experience Clearinghouse
DTO	Drug Trafficking Organization
EMMP	Environmental Mitigation and Monitoring Plan
ENSMI	Encuesta Nacional de Salud Materno Infantil
FGDC	Federal Geographic Data Committee
GAAS	Generally Accepted Auditing Standards
GBV	Gender Based Violence
GIZ	German Agency for International Cooperation
GOG	Government of Guatemala
IEE	Initial Environmental Examination
INL	International Narcotics and Law Enforcement
IOM	Organization for Migration
LAPOP	Latin American Public Opinion Project
M&E	Monitoring and Evaluation
MOPSIC	Modelo Policial de Seguridad Integral Comunitaria
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Agreement
NOFO	Notice of Funding Opportunity
OAA	Office of Acquisition and Assistance
PMT	Municipal Transit Police
PNC	National Civilian Police
REA	Regional Environmental Advisor
RFA	Request for Applications
RRF	Rapid Response Fund
SBCC	Social Behavior Change Communications
SJSRP	Security and Justice Sector Reform Project
TBD	To be determined
TCN	Third Country National

TOEFL	Test of English as a Foreign Language
UAC	Unaccompanied Alien Children
UNDP	United Nations Development Programme
USG	United States Government
VPP	Violence Prevention Project
WHIP	Western Highlands Integration Plan

SECTION A: PROGRAM DESCRIPTION

COMMUNITY ROOTS PROJECT

1. Introduction

The selected Recipient will implement the Community Roots Project as the Mission's principal project to address the key underlying causes of migration of under-aged Guatemalans through holistic violence prevention approaches, contributing to Government of Guatemala (GOG) and United States Government (USG) objectives of promoting development and decreasing violence in targeted areas.

Since October 2013, the U.S. Government recorded a dramatic rise in the number of Unaccompanied Alien Children (UAC) arriving to the United States from El Salvador, Guatemala, and Honduras. The total number of apprehensions of UAC from these countries by U.S. Customs and Border Protection jumped from 4,059 in FY 2011 to 10,443 in FY 2012 to 21,537 in FY 2013, and since the start of FY 2014 more than 47,000 children have been apprehended at the Mexican border, mostly from Central America.

According to the United Nations High Commissioner for Refugees' 2014 "Children on The Run" report¹, there appears to be five primary factors driving the increase in migration of UAC from Guatemala: 1) lack of economic opportunity, 2) family reunification, 3) poverty and deprivation, 4) domestic violence, and 5) high violence and crime. Improving economic conditions is by far the predominant driving factor. A total of 51.7 percent of children interviewed for the report indicated that the lack of economic opportunity was the main reason they decided to migrate.

2. Background

Over the past decade, Central America's Northern Triangle (El Salvador, Honduras and Guatemala) has become the most violent region in the world. According to the United Nations Office on Drugs and Crime's 2011 statistics, all three countries were among the top ten nations with the highest homicide rates. The onslaught of drug trafficking organizations (DTOs), combined with the rise of extremely violent *mara* youth gangs, threatens the already fragile stability and democratic governance of these countries.

Homicides have declined recently in Guatemala, but overall levels of criminal violence remain high and constitute a situation of chronic violence unlikely to abate in the near future. Recent surveys have found that 46% of Guatemalans believe that insecurity is the most significant problem facing the country,² victimization rates continue to hover around 30% (33% in urban

¹ http://www.unhcrwashington.org/sites/default/files/1_UAC_Children%20on%20the%20Run_Full%20Report.pdf

² LAPOP, Cultura Política en Guatemala, 2014.

areas) in 2014.³ The situation is especially critical for Guatemala's growing youth population. According to the 2011 National Youth Survey, the homicide rate for Guatemalan's ages 16 to 30 was nearly double the national average, peaking at 90 per 100,000 for ages 21-25. Other forms of violence are prevalent in the country as well. The 2012 National Survey on Maternal and Infant Health reported that one quarter of all women of reproductive age indicated that they have experienced domestic violence over the past 12 months.⁴ These levels of violence and crime have had economic impacts. In 2012, Guatemala was the highest out of 144 countries surveyed by the World Economic Forum in terms of business costs related to crime and violence and second highest in presence of organized crime.

A 2014 Vanderbilt University report using Latin American Public Opinion Project (LAPOP) data to analyze the relationship between violence and migration in Central America, found that crime victimization and perceptions of insecurity among Central Americans plays a significant role in determining whether an individual considers migration.⁵ According to Vanderbilt's analysis, being a victim of crime has a significant impact on the probability that an individual will plan to migrate in the near future. For example, David, a 16 year old Guatemalan UAC interviewed by the UNHCR for its report, indicated that crime was a very important push factor for leaving Guatemala. David said, "gangs in a nearby neighborhood wanted to kill me and some other people. They wanted me to give them money... They asked me if I knew who they were, if I could identify them. I said no, because I knew if I said yes they would kill me. They held my cousin and me for three hours, tied up." Once he escaped, David and his family quickly arranged for him to migrate to the U.S. via a human trafficker.

Similarly, a USAID implementing partner reported that the family of a seven year old girl, who lived with her maternal grandparents and whose parents lived legally in the U.S., decided to send her to the U.S. via human traffickers, after she had been abducted and raped. The rapist got in touch with the parents and demanded 1 million Quetzals (approximately US\$130,000) for the girl, but when he noticed the girl's excessive vaginal bleeding, he abandoned the girl in a garbage dump, leaving her to die. The girl was fortunately rescued by firemen who brought her to the hospital. After providing emergency care, the hospital referred the girl to a USAID implementing partner's facility for additional health and psychological care. The girl's family began the process to request a visa for the girl to migrate to the U.S., but the lengthy process and the parents' concern for the girl's life made them decide to pay a human trafficker to bring the girl to the U.S. The girl, however, was detected by U.S. Customs and Border Protection, and is now seeking asylum in the U.S as a victim of violence. The case is still in process.

³ Ibid.

⁴ Refer to the Encuesta Nacional de Salud Materno Infantil (ENSMI), www.ine.gob.gt/np/ensmi/

⁵ Ver, <http://www.vanderbilt.edu/lapop/insights/IO901en.pdf>

Equally significant, the World Bank ranked Guatemala as 138th for Gross National Income per capita in 2012, lower than many of its Latin American and Caribbean counterparts. An estimated 1.6 million Guatemalans reside in the United States and the \$5.1 billion sent in remittances in 2013 accounted for 9.5 percent of Guatemala's gross domestic product. The International Organization for Migration (IOM) estimates 1.3 million families in Guatemala receive remittances, benefitting over four million people - approximately 30 percent of the population. The number of households receiving remittances is significant, because it is indicative of the number of Guatemalans who are part of, or have access to, an active migration network, and thus, have greater ease and resources to migrate. According to a 2014 report by Guatemala's Rafael Landívar University, entitled "Aproximaciones de Política Migratoria para Guatemala" (Approaches to Immigration Policy in Guatemala), being part of an active migration network facilitates migration of youth; parents or grandparents who are in the U.S. want to provide economic and academic opportunities to their children, thus, they arrange for their children to migrate to the U.S.

Furthermore, according to the previously mentioned Vanderbilt report, children who have relatives already living abroad, and particularly those who receive remittances from those relatives, will be far more likely to migrate because ties to an active migration network reduce the costs of migration. This reduction in cost not only includes the financial help remittances provide potential migrants, but also the informational advantages a potential migrant may get from having relatives that have already established themselves in the destination country. Relatives living in the U.S. can share information with potential migrants on how to integrate into the host country, where to live, how to look for work, and so on.

Causes of Violence in Guatemala

The causes of chronic violence in Guatemala are complex and interrelated. Much of the Northern Triangle's violence is related to illegal trafficking, particularly of drugs, yet violence driven by other causes has exploded across Guatemala. There are individual, relational, community and societal issues including the legacy of the 36 year civil war that increase risks of interpersonal violence. In a series of roundtable discussions held in different parts of Guatemala, when asked why youth became engaged in crime, violence, and migration, all respondents—representatives from the municipalities, the private sector, local civil society organizations, teachers, youth, religious leaders, indigenous leaders— answered that lack of educational and employment opportunities and safe space for cultural and athletic activities were the main factors in pushing youth to gangs, drug cartels, and to try migrating. According to the respondents, the gangs and cartels offer youth "employment, structure, purpose, and something to do."

Municipal Guatemalan governments lack the resources, financial and technical, to effectively respond to the factors pushing youth to gangs, drug cartels, and to migrating. They also lack the proper tools to effectively engage with the private sector and local communities to help create community-level projects that would provide youth with skills-building and employment opportunities that would allow them to have an alternative to engaging in violence or joining gangs or cartels. In addition, there is low GOG investment infrastructure that creates incentives for private sector productive investment in the region. Thus, strengthening and working with/through municipalities is essential to reducing the factors that promote crime, violence and migration.

Progress to Date and Key Results

Declining Homicide Rate: Guatemala's homicide rate has declined nearly 25 percent between 2009 and 2013, falling from 46 to 34 per 100,000. According to official figures, the country's homicide rate hovered around 31 per 100,000 by the close of 2014.

Promotion of Prevention in Ministry of Governance and National Civilian Police: The GOG restructured the Ministry of Governance to elevate prevention within its portfolio by creating a Vice Ministry of Crime and Violence Prevention. The National Civilian Police also promoted prevention work by creating the new Sub-Directorate for Prevention. These structural changes provide opportunities to further consolidate and prioritize prevention approaches by the GOG. Similarly, in June 2014, the MOG launched the National Prevention Policy.⁶

Expanding Initiatives to Address Violence Prevention: There are a number of GOG-led and civil society initiatives designed to provide opportunities for at-risk youth and to reduce violence, i.e., *Barrio Seguro*. Similarly, USAID's Violence Prevention Project (VPP)—2011-2014—supported the establishment of a number of community violence prevention commissions to promote violence prevention activities.⁷ According to an independent Impact Evaluation, USAID's Violence Prevention Project achieved great successes in reducing crime and violence in treatment community: extortions decreased 43%, thefts decreased 27%, sale of drugs decreased 50%, and perception of insecurity decreased 22%.⁸ This empirical evidence points to the effectiveness of USAID's community-based violence prevention model.

⁶ http://mingob.gob.gt/index.php?option=com_k2&view=item&id=6703:politica-nacional-de-prevencion-un-aliado-contra-la-violencia-y-el-delito&Itemid=103

⁷ For an overview of the VPP project, please visit: <http://www.prevencionguatemala.org/usaidd/index.php/en/about-us/item/169-usaid-violence-prevention-project>, <http://www.rti.org/page.cfm?obj=ADAB4B41-EED7-A722-2C858AC38537DA48>

⁸ For the full Impact Evaluation Report, please visit the following link: <http://www.vanderbilt.edu/lapop/carsi-study.php>

3. Program Purpose and Objectives

3.1 Purpose

The overall goal of the Community Roots Project is to support efforts by Government of Guatemala (GOG), civil society, private sector and community actors to address the underlying causes of violence and migration in areas that are both a high source of migration of under-aged Guatemalans and characterized by a high level of violence in communities not served by USAID's CONVIVIMOS Project—a violence prevention initiative that focuses, primarily, in the Department of Guatemala. The intent of the Community Roots Project is to contribute to GOG and USG objectives of promoting development and decreasing violence and migration by creating educational, athletic, cultural, and employment opportunities for youth in targeted areas, thus addressing some of the underlying causes of migration.

The Community Roots Project has three complementary and mutually reinforcing objectives. These are to:

- Support community commissions to design, implement and promote evidence-based violence prevention activities to address some of the underlying causes of violence and migration in targeted areas;
- Strengthen and mobilize municipal and national stakeholders and resources to develop and implement municipal-level integrated violence and migration prevention plans to address some of the underlying causes of violence and migration in targeted areas; and
- Mobilize private sector involvement in violence and migration prevention activities that create educational, athletic, cultural, entrepreneurship and employment opportunities for youth in areas that are a high source of migration of under-aged Guatemalans.

Linkages to the Central America Regional Security Initiative⁹

In 2008, the U.S. Government introduced a special initiative to reduce crime rates and improve security in Central America called the Central American Regional Security Initiative (CARSI). The Community Roots Project will be funded by CARSI, and will contribute to four of the five pillars underlined below. The 5 pillars of CARSI are:

- Create safe streets for the citizens of the region;
- Disrupt the movement of criminals and contraband to, within, and between the nations of Central America;

⁹ *The Central American Regional Security Initiative: A Shared Partnership.* U. S. Department of State, Bureau of Public Affairs, see: <http://www.state.gov/p/wha/rt/carsi/fs/index.htm>

- Support the development of strong, capable, and accountable Central American governments;
- Re-establish effective state presence, services and security in communities at risk; and
- 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.

Linkages to USAID Guatemala Country Development Cooperation Strategy (CDCS)¹⁰

USAID Guatemala's CDCS was approved on March 16, 2012. The CDCS includes three Development Objectives (DOs). Community Roots is expected to contribute to DO1, which is defined as "Greater Security and Justice for Citizens." This DO will be achieved through USAID Guatemala's Citizen Security Project and advance the second Intermediate Result (IR2) "Reduced Levels of Violence and Conflict in Target Areas and Populations." By developing targeted community-level actions, with the participation of local governments, civil society and the police, the activity will lead to increased security and justice for citizens (DO 1). Community Roots and USAID Guatemala's Convivimos Project will be this Mission's main implementing mechanisms to achieve IR 2.

3.2 Objective and Components

The Community Roots Project 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. To that end, the Community Roots Project has four complementary and mutually reinforcing objectives:

- Support community commissions to design, implement and promote evidence-based violence prevention activities to address some of the underlying causes of violence and migration in targeted areas;
- Strengthen and mobilize municipal and national stakeholders and resources to develop

¹⁰ <http://www.usaid.gov/documents/1862/usaaid-guatemala-cdcs>

and implement municipal-level integrated violence and migration prevention plans to address some of the underlying causes of violence and migration in targeted areas;

- Mobilize private sector involvement in violence and migration prevention activities that create educational, athletic, cultural, entrepreneurship and employment opportunities for youth in areas that are high source of migration of under-aged Guatemalans; and
- Support secondary prevention projects in close coordination with municipal and local authorities.

This section provides a detailed description of the Community Roots Project's approach to violence and crime prevention, and its geographic focus, project objectives, results, and illustrative activities and indicators.

Approaches

The Community Roots Project will focus on a *Community-Based* approach to addressing violence, crime and migration. For the purposes of the project, these concepts are defined as follows:

- Community-Based approach focuses on promoting multi-disciplinary, participatory and inclusive working-groups made up of community, municipal, police, private sector, civil society and other stakeholders that can play a role in reducing the factors that promote violence, crime and migration in Guatemala.
- Primary Prevention involves broad-based interventions that seek to prevent violence, crime and migration before it occurs by reaching a large population with potential risk factors.
- Approaches should include the meaningful and safe participation of adolescents and youth in project planning, implementation, and monitoring. This should include their participation in working groups and commissions that are mentioned or at the very least, parallel but linked youth advisory groups should be established.

The Community Roots Project will complement its community-based primary prevention approach with capacity building activities with target municipalities, in order to strengthen municipalities' ability to work with communities and the private sector to implement violence and migration prevention initiatives. In other words, the Community Roots Project's community-based primary prevention approach aims to promote a multi-stakeholder, inter-institutional, municipal- and community-level prevention model where violence and migration prevention will focus on demand driven interventions, reinforced by municipal level support. To encourage active participation from communities, activities implemented under the Community Roots Project should seek co-financing from municipal and private sector partners. In addition, the Recipient will pursue innovative approaches to increase the impact and sustainability of the Community Roots Project.

Primary violence prevention is interpreted broadly so as to address both the underlying drivers of chronic violence, crime and migration as well as more immediate trigger factors, e.g., alcohol/drug use or interpersonal conflicts. This approach recognizes that although some individuals may be exposed to more risk factors than others, the root causes of violence, crime and migration are structural and systemic, and will continue to reproduce the conditions for chronic violence, crime and migration until they are meaningfully addressed. In Guatemala's urban areas, much of the violence and migration is concentrated in specific communities that are marked by long-term, structural exclusion: concentration of poverty, economic and political marginalization, and extreme disparities with wealthier areas. In rural areas, violence and migration are concentrated in areas that lack opportunities for the youth and that are plagued by the presence of gangs or cartels.

The Community Roots Project has a two part theory of change: by empowering communities, encouraging participation, and building cooperative relationships and fluid communication between municipal authorities, citizens, and the private sector through community-based, multi-stakeholder, violence and migration prevention commissions, then communities will be able to create educational, recreational, and employment opportunities for youth, thus reducing violence and migration in target areas.

The Community Roots Project thus calls for an integrated and holistic primary and secondary prevention approach with special emphasis on the following two guiding principles:

Building Community Resilience: Resilience entails communities' capacity to take proactive and adaptive collective action to address problems and needs, specifically the causes and consequences of violence. The core of resilience is strong community organizational capacity and social cohesion, along with collaborative and mutually accountable relationships between citizens and local government actors. Resilient communities are able to act as mutually-accountable partners to municipal governments, sharing responsibility for planning, decision-making and implementation of actions to address violence. Resilience is thus critical to the sustainability of violence prevention approaches.

As described below, to strengthen community resilience, the Community Roots Project calls for a community-based and community-led prevention model that will promote participatory, responsive and accountable governance in the municipalities in which the Community Roots Project will operate. Improved local governance will ensure that government investments and projects correspond to citizens' expressed needs, particularly the necessities of vulnerable groups and communities exposed to chronic violence. Additionally, inclusive governance will increase citizen trust in local authorities and facilitate citizen collaboration with government initiatives to prevent violence, which is the core of community resilience. Efforts to build resilience involve facilitating collaboration between citizens and state actors, within a framework for inclusive

citizen participation and accountable governance, as well as building communities' own capacities to take proactive steps to address violence. The Community Roots Project is expected to contribute to community resilience by strengthening participating communities' organizational capacity and promoting linkages between communities and municipalities through effective and inclusive mechanisms to promote citizen involvement in decision making, planning, implementation and social accountability with local government.

USAID anticipates implementing construction activities under this activity.

Construction activities will consist of small-scale construction or infrastructure refurbishment to improve existing spaces such as water collection systems, sports facilities, community centers, schools or health clinics. Construction activities are subject to the limitations specified in Automated Directives System (ADS) 303.3.30 "Limitation on Construction under Assistance." The selected Recipient must comply with the USAID environmental requirements.¹¹ Small scale construction refers to construction or repair of facilities where the total surface area of the disturbed environment is under 10,000 square feet and less than \$200,000 total cost.

Addressing Gender-Based Violence: Guatemala experiences extremely high rates of gender-based violence (GBV). Between 2000 and 2010, over 5,000 women were murdered in the country. As previously stated, according to the 2012 National Survey on Maternal and Infant Health, approximately a quarter of Guatemalan women of reproductive age had been the victims of domestic violence over the past 12 months. Also alarming, the United Nations Development Programme (UNDP) Guatemala Human Development Report 2009/2010 states that nearly half of women of reproductive age reported experiencing domestic violence at some point in their lives, with rates for urban residents and *ladina* women being higher than those of rural residents and indigenous women, likely due to greater awareness and opportunities to report in urban areas. GBV is pervasive in Guatemala and is transmitted intergenerationally through gender inequality, cultural norms and through exposure to domestic violence at an early age.

More generally, the inequality and exclusion that generate chronic violence in much of Guatemala affects women doubly, thus leaving them even more vulnerable to violence. Thus, to reduce GBV sustainably, and chronic violence more generally, women must have opportunities for empowerment and the realization of their full rights as humans and citizens.

The Community Roots Project will take into account the fact that men and women see and experience violence and crime differently, and may identify different factors and propose different solutions to address the factors that lead to crime and violence.

¹¹ Per Mandatory Reference for ADS 303 entitled "USAID Implementation of Construction Activities", the construction activities under this project 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; and 2) The aggregate estimated cost of construction activities under the resulting award is less than \$10,000,000.

For additional gender specific issues and recommendations, please consult the Gender Analysis for USAID's Citizen Security Development Objective, Annex 2 of this NOFO.

Project Objectives

All illustrative activities presented below are strictly illustrative and far from comprehensive. Recipients should endeavor to go well beyond the illustrative activities and indicators presented below.

Objective 1: Support community-based violence prevention commissions to promote proven, integrated violence and migration prevention initiatives in targeted areas.

Support for community prevention commissions and the implementation of the prevention plans developed by the commissions is the lynchpin of The Community Roots Project which is expected to establish community-based violence and migration prevention commissions, or strengthen commissions where they already exist, that would be able to develop and implement violence and migration prevention plans that will reduce factors that promote violence and migration.

While accounting for community resilience and GBV, USAID expects The Community Roots Project to support the organizational capacity strengthening of community-based prevention commissions¹² and support their efforts to identify factors that contribute to violence, crime and migration with the goal of developing a violence and migration prevention plan. This plan should provide an overall approach to violence, crime and migration prevention in a community that addresses key factors that lead to violence, crime and migration, and not just the symptoms. The Community Roots Project is then expected to assist the prevention commissions in the development of proposals that would reduce the factors that contribute to violence, crime and migration in their communities. The elaboration of the plan and the proposed activities should be done in a collaborative fashion that includes Municipal offices, local community organizations (i.e., Community Development Committees COCODE¹³, youth groups, and faith-based organizations), the police, and other relevant actors. Ideally, all these actors should be part of the community-based prevention commissions. The Community Roots Project will have a defined strategy to promote coordination among the relevant actors, linkages between community and municipal prevention strategies, incorporation of data from law enforcement or research institutions, in the elaboration and implementation of prevention plans that are reflective of municipal strategies, community priorities and best practices for violence and migration prevention.

¹² Community-based violence prevention commissions are citizen-led collectives that acting on behalf of the community and made up by local leaders, civil society representatives and other relevant local actors map and identify causes and effects of crime and violence in their territories. Community-based violence prevention commissions then search for holistic solutions to address crime and violence through prevention approaches focusing efforts on at-risk populations, particularly youth, developing community-based violence prevention plans that are implemented by the community with support from civil society organizations, the private sector, faith-based organizations and central and local government institutions.

¹³ COCODEs and COMUDES are community and municipal development committees that play a role in local development activities.

Community violence and migration prevention plans will vary according to the vulnerabilities that the commissions identify as well as their corresponding proposed interventions. As mentioned above, the prevention plans should be based on a mapping activity that identifies trouble spots and factors, as well as community assets. The Community Roots Project will have a strategy to build the prevention commissions' capacity for conducting such mappings. Further, the resulting prevention plans should be realistic and feasible, and, to the extent possible, should be developed within the framework of municipal prevention plans, and funding and investment priorities. This will include concrete assignment of responsibility for specific objectives of the plan and an implementation timeline. Plans will establish a framework for collaboration between municipal government, police, community-based organizations, and other relevant actors.

The Community Roots Project will provide some financial assistance for the implementation of the prevention plans in the new participating communities; however, support should be contingent upon municipal and/or private sector financing, and encourage the active participation from the community and local partners. An example of a successful partnership has been the refurbishing of a sports complex in Guatemala City (Proyecto 4/4) that received equal funding contributions from USAID, the Municipality of Guatemala and the private sector firm Cementos Progreso.¹⁴

Establishing or strengthening the 'prevention commission' in itself is not the desired end state, but an important input to achieve development and implementation of prevention plans. Commissions must be seen as credible, transparent, participatory and responsive to community violence and migration concerns. Therefore, promoting good governance within these commissions is a key objective to success and sustainability after the life of the project.

Illustrative Activities

- Establish/strengthen community-level violence and migration prevention commissions.
- Develop operating procedures for developing and implementing a violence and migration prevention plan.
- Establish clear guidelines for co-funding high-impact initiatives identified in the violence and migration prevention plans developed by the community prevention commissions.¹⁵

¹⁴ Similarly, USAID's Violence Prevention Program was also very successful in achieving co-financing from municipalities and the private sector for many of the infrastructure projects that the project co-supported.

¹⁵ The Community Roots Project is not requiring any leverage from the eventual recipient, however the recipient must ensure that the Community Roots Project funding for any one activity from a community prevention plan should be contingent on 1:1 leverage from in-kind or cash investment from the municipalities, private sector, community members or local civil society organization, or any other source, except contribution from Government of Guatemala national institutions since USAID and the GOG have a bilateral agreement that contemplates contributions from the GOG, which cannot be double counted. The recipient is expected to establish the necessary procedures to ensure that this requirement is met.

Intermediate Results

- Result 1.1: Treatment communities have developed and are implementing violence and migration prevention plans.
- Result 1.2: Strengthen communication and interaction between treatment communities and government officials, i.e., municipal authorities, COCODES, police.
- Result 1.3: Increased civic engagement in treatment communities
- Result 1.4: Reduction of citizen insecurity in treatment communities
- Result 1.5: Increased provision of prevention programming/services in treatment communities.
- Result 1.6: Decreased migration from targeted communities

Objective 2: Strengthen and mobilize municipal and national stakeholders and resources to develop and implement municipal-level violence and migration prevention plans through a multi-stakeholder, inter-institutional process.

While Objective 1 promotes the multi-stakeholder community-led and community-based prevention model, activities under Objective 2 target municipal- and certain national-level actors, organizations and institutions to complement the efforts outlined under Objective 1. In other words, Objective 2 will support, for the most part, municipal-level activities to promote an integrated and comprehensive approach to primary prevention, emphasizing community resilience and gender issues.

Municipalities affected by high levels of violence and crime have stepped up their efforts to provide citizen security in their jurisdictions. However, municipal projects and initiatives are often dispersed and isolated, lacking an overall strategic framework. The Community Roots Project is expected to establish and support municipal-level, multi-institutional/multi-stakeholder prevention commissions that bring together relevant institutions and actors to develop a municipal violence, crime and migration prevention strategy and subsequent prevention plans based on available data and evidence. The prevention strategies should present theories of change, identify risk factors to address, and propose mitigating activities, geographic strategy, delegation of responsibilities to key stakeholders, and a timeline for implementation and associated budget from the municipalities. In some cases, The Community Roots Project will support the updating of a current plan and in other cases it will support the municipality in the development of a new plan using a participatory approach and methodology that includes non-governmental actors, sub-national stakeholders, and relevant government institutions, i.e., the Vice Ministry for the Prevention of Crime and Violence¹⁶, the police, the Presidential Secretariat

¹⁶ The recipient may consider coordinating with the Vice Ministry for the Prevention of Crime and Violence on the implementation of the National Violence Prevention Policy, launched in May 2014--
http://mingob.gob.gt/downloads/POL%C3%8DTICA_NACIONAL_DE_PREVENCI%C3%93N_DE_LA_VIOLENCIA_Y_EL_DELITO_SEGURIDAD_CIUDADANA_Y_CONVIVENCIA_PAC%C3%8DFICA.pdf

of Women,¹⁷ the Ministries of Sports and Culture, Labor, Economy, Health, Education, Social Development and the Secretariat of Social Welfare among others.¹⁸ Similar to the community-level prevention commissions, the key idea of the municipal-level commissions is that it brings together a wide array of stakeholders to draft and help implement the violence and migration prevention strategies and plans. Finally, municipal-level prevention strategies and plans should provide a framework for the community-led prevention activities outlined in Objective 1.

Another key aspect of Objective 2 is community-based policing. Community-based policing is a concept not a project. The concept is to promote and support organizational strategies to address the causes and reduce the fear of crime and disorder through problem solving tactics and police-community partnerships. Community-based policing should build trust between target communities and the national civilian police (PNC), municipal transit police (PMT) and other municipal security stakeholders. This may be through joint planning, training, development of police crime prevention strategies among others.

USAID's Security and Justice Sector Reform Project (SJSRP) is providing technical assistance to the GOG on the development of a career path for police. Similarly, USAID's Community Strengthening Project will work with the PNC to incorporate community-based policing tools and practices. As well, the Guatemala office of the State Department's Bureau for International Narcotics and Law Enforcement (INL), works to promote community-based policing practices through the implementation of the Modelo Policial de Seguridad Integral Comunitaria (MOPSIC). The resulting Recipient, under the guidance of USAID's Agreement Officer's Representative (AOR), will coordinate activities with other USAID initiatives and USG agencies working on police reform, i.e., INL.

Illustrative Activities

- Establish/strengthen community-level violence and migration prevention commissions.
- Establish clear operating procedures to facilitate municipal and other government agencies' participation in municipal and community-level prevention commissions and initiatives.
- Establish institutional arrangements with relevant law enforcement and government organizations (i.e., PNC, PMT, Fire Department) to promote Community-based policing.
- Establish clear guidelines for co-funding high-impact initiatives identified in the violence and migration prevention plans developed by the municipal prevention commissions. The recipient is expected to establish the necessary procedures to ensure proper co-financing.

¹⁷ The recipient may also consider how it can incorporate SEPREM'S *Pacto Municipal de Seguridad con Equidad*, https://soloinnova.com/fb_app/seprem/index.php?option=com_k2&view=item&id=624:seprem-suscribe-pacto-municipal-por-la-seguridad-con-equidad-en-el-municipio-de-palencia&Itemid=218

¹⁸ In municipalities where there are other USAID projects, particularly the regional AMUPREV project, the eventual recipient must collaborate with these other USAID contractors and recipients to increase the impact of USAID-funded activities and avoid duplication of efforts.

Illustrative Intermediate Results

- Result 2.1: Establishment of inter-institutional violence and migration prevention commissions to manage prevention resources strategically in target municipalities.
- Result 2.2: Development and implementation of municipal violence and migration prevention strategies and plans
- Result 2.3: Promote and strengthen community-based policing.

Objective 3: Promote the involvement of the private sector (local, national, and/or international) in violence and migration prevention in target municipalities and communities.

Previous USAID projects have successfully partnered with the private sector in many development initiatives, including citizen security. The Community Roots Project requires active participation from the private sector in its community- and municipal-level violence and migration prevention activities in Objectives 1 and 2. The private sector's involvement in the Project's community-based and municipal-based prevention initiatives is essential to helping create sustainable employment, cultural, athletic, and educational opportunities for youth that will provide them with positive alternatives to engaging in violence, crime or migration.

Illustrative Activities

- Establish communication strategy to promote private sector investment in target municipalities and communities.
- Ensure private sector participation in community- and municipal-level violence and migration prevention commissions.

Illustrative Intermediate Results

- Result 3.1: Increased private sector investment in target municipalities
- Result 3.2: Increased job-creation programs with private sector participation.

Objective 4: Support secondary violence prevention projects in close coordination with municipal and local authorities.

Although the Community Roots Project's overall approach to violence and crime is predominantly primary prevention, this project will also pilot secondary prevention in a limited number of target communities characterized by high rates of youth violence and gang activity. The focus of secondary prevention will be directing tailored services to youth who have demonstrated a higher risk of involvement in violence and crime, and are deemed to be at the highest risk of participating in violent criminal activity. Numerous secondary prevention approaches and methodologies have been tested in the United States, Latin America, and other regions. Some of these approaches show promise, but must be piloted and evaluated in the Guatemalan context to understand their effectiveness, limitations and possibilities for scaling up.

The Community Roots Project is expected to implement secondary prevention approaches in a small number of target communities. The focus of secondary prevention would be directing tailored services to youth (Ages 8 – 17) who have demonstrated a higher risk of being recruited into gangs or organized crime, before they are recruited. Explicitly, USAID expects the Project to identify potential secondary service providers and build its/their capacity to offer comprehensive secondary prevention support to youth identified as highest risk of involvement in crime and violence.

Preventing violence by reducing individual risk factors requires a top down approach and a high quality of tracking data. This type of programming is almost exclusively focused on the individual and will depend on close coordination with municipal leadership, strengthening of local service providers focusing on secondary prevention activities/projects and proper follow up. One component of this Objective would be the development and testing of a metric to identify youth that are at the highest risk of joining a gang or engaging in violent criminal behavior.

The Project should map both risks and resources as they are related to secondary prevention. The mapping exercise should be to facilitate dialogue and collaboration among stakeholders at the local level to identify risks, needs and resources, available and not available, prioritize risks and needs, and identify possible responses to solve them. The main focus of this objective is to support coordinated interventions at the municipal level, based on the identification of problems, their related risks and possible responses in a participatory way, and on the basis of this initial mapping, support the development of a model that can be used in the community as an action plan for resilience.

Illustrative Activities

- Map risks and resources.
- Identify potential secondary prevention service providers.
- Build capacity for integrated secondary prevention services.
- Support delivery of secondary prevention services to identified youth.
- Develop and test a tool for identifying youth for secondary prevention services.
- Develop a concrete range of projects related to secondary prevention in the targeted community for short and medium-long term, respective costs, resources available and resources to be mobilized by stakeholders.

Illustrative Intermediate Results

- Result 4.1: Strengthened Secondary Prevention Service Providers in target communities.
- Result 4.2: Develop a secondary prevention model that can be utilized by target community stakeholders.

4. Geographic Focus

The Community Roots Project will support efforts by the Government of Guatemala (GOG), civil society, private sector and community actors to address the underlying causes of violence and migration in areas that are high source of migration of under-aged Guatemalans outside the Department of Guatemala. The primary unit of attention will be communities and municipalities in order to successfully implement a deep and integrated approach to violence and migration prevention. **USAID anticipates direct activities in 8 to 15 municipalities** that are selected based on objective criteria proposed by the recipient, and subject to USAID approval. USAID Guatemala is interested in targeting municipalities outside the department of Guatemala that are 1) a source of migration of under-aged Guatemalans and 2) characterized by high levels of violence. Particular attention shall be given to municipalities served by USAID's Violence Prevention Project (VPP) and not served by the Convivimos Project.¹⁹ Since the Community Roots Project is a demand-driven approach, interventions must be customized and targeted to those actors or entities that demonstrate the greatest potential for effective support. The actors/entities in targeted municipalities should be chosen based on need, potential, and opportunities for leveraging municipal, private sector and national-level investments, as appropriate.

5. Geospatial Information

Geospatial information technologies provide particularly powerful tools for visualizing and understanding the complex interactions between people and the environment. They are especially important in identifying where USAID activities are taking place. USAID is required to make non-proprietary geospatial data available to the public. Therefore the selected recipient that creates geospatial data under this Award will be required to electronically submit data layers to the USAID/Guatemala Agreement Officer's Representative (AOR). USAID/Guatemala under the Monitoring & Evaluation (M&E) Project implemented by DevTech is developing a mission-wide GIS system and the recipient will be required to input geospatial data into this new system.

Data must be consistent with US Federal Geographic Data Committee (FGDC) level 1 metadata standards. USAID is in the process of developing standards and protocols for geospatial related activities. The Recipient will be provided a copy of these once they are developed, and will be required to abide by them. All spatial and geographic information system (GIS) activities financed by USG federal funds must also comply with:

1. OMB Circular A-16, Executive Order 12906;
2. Automated Directives System (ADS) 507 (Freedom of Information Act);

¹⁹ The following municipalities were served by USAID's VPP: Guatemala City, Mixco, Palencia, and Villa Nueva (Department of Guatemala); Cobán, Tactic, and Tamahú (Department of Alta Vera Paz); Esquipulas, San Juan Ermita, San Jacinto, and San Jose la Arada (Department of Chiquimula).

3. ADS 551 (Data Administration); and
4. ADS 557 (Public Information).

All geospatial data must be submitted to the USAID AOR, complete with metadata, as well as applicable maps. Specific instructions to submit this information will be provided after award.

6. Cross-Cutting Principles

6.1 Gender

USAID's commitment to advance gender equality and pursue gender as a key development issue must be fully reflected in this project. In developing its projects, USAID/Guatemala seeks to ensure that gender considerations are incorporated into all aspects of its planned project. Gender considerations must be integrated into the activities, ensuring that men and women as well as Lesbians, Gay, Bisexual, Transgender and Intersex (LGBTI) benefit from USAID support and that gender awareness is a built-in component of the activities.

USAID will evaluate the appropriateness of the proposed activities, staff, and budget with regard to gender integration. Activities in which gender is relevant should be clearly indicated, and the application should specifically demonstrate: how gender issues will be addressed, how results will be determined taking gender into account, and what resources will be provided to do this.

6.2 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 have been slow to improve. Income inequality remains high, and two-thirds of the indigenous rural population remains poor. USAID encourages supporting active participation of indigenous groups in design and implementation of Community Roots initiatives, as well as in the national and local policy-making processes.

USAID is committed to achieving and maintaining a diverse and representative workplace free of discrimination. USAID prohibits discrimination in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity) national origin, disability, veteran's status, sexual orientation, genetic information, marital status, parental status, political affiliation and any other conduct that does not adversely affect the performance of the employee.

USAID strongly encourage recipients to establish comprehensive nondiscrimination policies for their workplaces and to take this information into account when formulating the application.

Recipients can also view USAID's Youth in Development Policy, which emphasizes the integration of youth in USAID programming.²⁰

6.3 Coordination

Linkage to the Western Highlands Integrated Program (WHIP)

As pertinent and depending on the selected municipalities, the recipient will be required to coordinate activities at the local level with other USAID partners, particularly those working on the Western Highlands Integrated Program (WHIP). The WHIP is a program which works to reduce chronic malnutrition and improve economic growth in more than 2,000 communities in 30 municipalities in the departments of San Marcos, Quiché, Huehuetenango, Totonicapán and Quetzaltenango. The WHIP is based on the actions defined in the GOG national plan to reduce chronic malnutrition, and achieves sustainable rural development through improvements in economic development, food utilization, health care, education, nutrition, adaptation to the impacts of climate change, and gender equity. USAID collaborates with Guatemalan officials and leaders at the community, municipal, departmental and regional levels in order to achieve shared goals.

WHIP recognizes the comparative advantages of U.S. Government –funded partners and seeks to harness and focus these resources and our partners' productive access to communities and understanding of the development context to address poverty and chronic malnutrition. The project will be one of the more than 20 existing USAID/Guatemala implementing mechanisms under WHIP. Partners are expected to coordinate to achieve overall goals, and the project will actively participate in the committees that spearhead integration through planning, implementation, and the monitoring and evaluation of activities. The resulting Recipient will actively participate in all coordination activities and will coordinate with other USAID and U.S. Government-funded partners' approaches such as social behavior change communications (SBCC), among others.

WHIP projects and their respective implementing partners include:

- Local Governance Project (Development Alternatives Inc.)
<https://www.facebook.com/pages/USAID-Nexos-Locales/749128925122389>
Webpage: <http://www.usaidnexus.org/>
- Climate, Nature and Communities (Rainforest Alliance): www.usaid-cncg.org/
- USAID Leer y Aprender (Juarez Associates): www.usaidlea.org
- Rural Value Chains Quetzaltenango, Totonicapán and Quiché (Guatemala Exporters Association-AGEXPORT)
- Rural Value Chains San Marcos and Huehuetenango (National Coffee Association-ANACAFE)

²⁰ http://www.usaid.gov/sites/default/files/documents/1870/Youth_in_Development_Policy_0.pdf

- Cooperative & 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)
- Food and Nutrition Technical Assistance III (FANTA-III) (FHI Development 360 LLC)
- PLANFAM (PSI)
- Community Nutrition and Health Care Project (University Research Corporation (LLC))
- 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 (implementer TBD)
- Creating Opportunities for Youth (implementer TBD)
- Other projects as they are awarded

Coordination with Local Government

Local coordination and support will be vital for the achievement of Community Roots objectives. Specifically, local governments (municipalities, Municipal Development Committees COMUDES, COCODES and CODESANs) 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 councils²¹ to support their violence and migration prevention efforts, as well as share lessons learned and success stories with 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 Government of Guatemala; Non-Government Organizations (NGOs) and community groups; private firms and associations; and other donor partners and agencies. The Recipient will primarily need to coordinate activities with other USAID/Guatemala offices and its implementing partners working on citizen security, local governance, education, health, rural development, and environmental projects.

²¹ COMUDES, COCODES, CODESAN, and others.

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

Engagement with Other Key Stakeholders

Engagement with academia and the private sector is crucial for the sustainability of the project. The Recipient must also support the engagement of civil society groups at the national and local levels. Ensuring that these civil society groups are engaged in the Community Roots Project as well as working to help the groups communicate with each other will help leverage the work of all the actors in the field.

6.4 Child Protection

It is important to consider child protection and the unintended consequences of participation in this project for children and families. Activities should comply with USAID's Child Safeguarding Policy: <https://www.usaid.gov/sites/default/files/documents/1864/200mbt.pdf>.

6.5 Integrated Conflict Sensitivity

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, the recipient can refer to USAID/Guatemala's conflict vulnerability assessment titled *Legacies of Exclusion: Social Conflict and Violence in Communities and Homes in Guatemala's Western Highlands* (2015).²²

END OF SECTION A - PROGRAM DESCRIPTION

²² U.S. Agency for International Development. (October 2015). *Legacies of Exclusion: Social Conflict and Violence in Communities and Homes in Guatemala's Western Highlands*. Retrieved from https://www.usaid.gov/sites/default/files/documents/1862/Guatemala_Conflict_Vulnerability_Assessment.pdf

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide \$40 million in total USAID funding over a five (5) year period. The ceiling for this program is \$40 million. Actual funding amounts are subject to availability of funds.

USAID intends to award one (1) 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 (5) years. The estimated start date will be upon the signature of the award, on or about TBD.

3. Substantial Involvement

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

- a. The AOR will review and approve the annual work plans.
- b. The Agreements Officer will approve key personnel.
- c. Agency and Recipient Collaboration or Joint Participation:
 1. The Rapid Response Fund Activities require AOR concurrence, in accordance with the requirements contained in the approved rapid Response Fund Manual;
 2. The AOR will review and approve the Monitoring and Evaluation Plan;
 3. The AOR will provide technical concurrence of sub-awards;
 4. In accordance with 2 Code of Federal Regulations (CFR) 200.308, the Agreement Officer will approve any sub award above the simplified acquisition threshold (sub awards identified in the application do not require additional USAID approval);
 5. The AOR will review the communication materials produced by the project and provide approval at key points of concept, design, development and reproduction.
 6. Agreement Officer approval is required for the Grant Manual, for all sub grants and for the Rapid Response Fund Manual; and

7. The Agreement Officer will provide approval to the construction activities (including specifications and materials) under the Community-Based Projects once they are identified.
- d. Agency Authority to Immediately Halt a Construction Activity: The Agreement Officer may immediately halt a construction activity if identified specifications are not met.

4. Title to Property

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of 2 CFR 200.310 through 2 CFR 200.316 regarding use, accountability, and disposition of such property.

5. Authorized Geographic Code

The geographic code for procurement of goods and services 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 Community Roots 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.

END OF SECTION B - FEDERAL AWARD INFORMATION

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

U.S. and non-US organizations may participate under this NOFO. USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

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 (Pre-award Survey) 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 program and comply with the terms and conditions of the award.

For-profit applicants must note that USAID policy prohibits the payment of fee/profit for recipients under assistance instruments. Forgone profit does not qualify as cost-share or leverage.

2. Cost Sharing

USAID has established a suggested cost share of 15% for the recipient of the 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. For guidance on cost sharing in grants and cooperative agreements refer to ADS 303 and 2 CFR 200.306.

3. Number of Applications

An applicant may submit only one application per organization; no individual investigator/program director application will be accepted.

4. Partner Vetting Pre-Award Requirements

(a) USAID has determined that any award resulting from this assistance solicitation is subject to vetting. An applicant that has not passed vetting is ineligible for award.

(b) The following are the vetting procedures for this solicitation:

(1) Prospective applicants review the USAID Partner Information Form, AID form 500-13 is being attached to this NOFO as Annex 4. Submit any questions about the USAID Partner Information Form or these procedures to the agreement officer by the deadline in the solicitation.

(2) The agreement officer notifies the applicant when to submit the USAID Partner Information Form. For this solicitation, USAID will vet the apparently successful applicant. Within the timeframe set by the agreement officer in the notification, the applicant must complete and submit the USAID Partner Information Form to the vetting official. The designated vetting official is:

Vetting official: Natalia Lehrer

Email: nlehrer@usaid.gov

(3) The applicants must notify proposed subrecipients and subcontractors of this requirement when the subrecipients or subcontractors are subject to vetting.

Note: Applicants who submit the required information using non-secure methods of transmission do so at their own risk.

(c) Selection proceeds separately from vetting. Vetting is conducted independently from any discussions the agreement officer may have with an applicant. The applicant and any proposed subrecipient or contractor subject to vetting must not provide vetting information to anyone other than the vetting official. The applicant and any proposed subrecipient or contractor subject to vetting will communicate only with the vetting official regarding their vetting submission(s) and not with any other USAID or USG personnel, including the agreement officer or the agreement officer's representatives. The agreement officer designates the vetting official as the only individual authorized to clarify the applicant's and proposed subrecipient's and contractor's vetting information.

(d)(1) The vetting official notifies the applicant that it: (i) Is eligible based on the vetting results, (ii) is ineligible based on the vetting results, or (iii) must provide additional information, and resubmit the USAID Partner Information Form with the additional information within the number of days the vetting official specified in the notification.

(2) The vetting official will coordinate with the agency that provided the data being used for vetting prior to notifying the applicant or releasing any information. In any determination for release of information, the classification and sensitivity of the information, the need to protect sources and methods, and the status of ongoing law enforcement and intelligence community investigations or operations will be taken into consideration.

(e) Reconsideration: (1) Within 7 calendar days after the date of the vetting official's notification, an applicant that vetting has determined to be ineligible may request in writing to the vetting official that the Agency reconsider the vetting determination. The request should include any

written explanation, legal documentation and any other relevant written material for reconsideration.

(2) Within 7 calendar days after the vetting official receives the request for reconsideration, the Agency will determine whether the applicant's additional information merits a revised decision.

(3) The Agency's determination of whether reconsideration is warranted is final.

(f) Revisions to vetting information: (1) Applicants who change key individuals, whether the applicant has previously been determined eligible or not, must submit a revised USAID Partner Information Form to the vetting official. This includes changes to key personnel resulting from revisions to the technical portion of the application.

(2) The vetting official will follow the vetting process of this provision for any revision of the applicant's Form.

(g) Award. At the time of award, the agreement officer will confirm with the vetting official that the apparently successful applicant is eligible after vetting. The agreement officer may award only to an apparently successful applicant that is eligible after vetting.

END OF SECTION C - ELIGIBILITY INFORMATION

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Ms. Fabiola Loy
Acquisition and Assistance Specialist
USAID/Guatemala
guatemalaproposals@usaid.gov

All questions regarding this NOFO should be submitted in writing to the e-mail address above not later than the time indicated on the cover letter. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Form of Application Submission

Applicants shall furnish the information required by this NOFO. Applications shall be submitted in two separate parts: (a) Technical Application and (b) Cost/Business Application. Applicants are expected to review, understand, and comply with all aspects of the NOFO.

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 wished 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.

3. Application Submission Procedures

Applications must be submitted BOTH electronic and hard copy format (original and three copies). Applications are due to USAID/Guatemala by the date included in the cover page of this NOFO. It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

Submission of Hard Copy Applications: Hard copy applications must be submitted to the following address:

Fabiola Loy
USAID/Guatemala
Office of Acquisition & Assistance (OAA)
Km 6.5 Final Blvd. Los Próceres
Santa Catarina Pinula, Guatemala

Hard copies should be clearly marked with “**RFA-520-16-000003 – Community Roots Project**”. Hard copies shall be submitted in sealed envelopes or packages and indicate whether the contents contain technical or cost application noted on the outside of the envelopes/packages.

The hard copy technical application shall consist of **one (1) original and three (3) copies**. The cost or business application shall consist of **one (1) original and one (1) copy**.

Submission of Electronic Applications: Electronic applications should be submitted to the following address: guatemalaproposals@usaid.gov.

Applicants may upload applications to <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Electronic applications should be submitted in .pdf format. In addition, applications are required to send their budgets in Microsoft Excel format.

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 (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "RFA-520-16-000003, [organization name], Cost Application, Part 1 of 2". Each email should not exceed 20 MB.

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No addition or modifications will be accepted after the submission date.

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 or indicate in the file name if submitted via www.grants.gov 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.

4. Technical Application Format

Technical applications must be specific, complete and presented concisely and demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Technical applications must take into account requirements of the program and evaluation criteria found in this NOFO. The Technical Application is the most important factor for consideration for the resulting Cooperative Agreement.

Application must be written in English and typed on standard 8 1/2" x 11" paper, single spaced, Times New Roman size 12 font, one inch margins on all sides. The hard copy must be printed double-sided. The Technical application must **not exceed 40 pages**, excluding cover page, acronyms list, table of contents and annexes. The annexes must not exceed a total of 40 additional pages. An application that exceeds this page limit will only be evaluated through page 40 (plus annexes) and the remaining pages will not be evaluated.

The application must be organized as follows:

I. Cover Page

II. Technical Approach

III. Management and Staffing Strategy

IV. Annexes

- a. Results Framework and Logical Framework
- b. Draft Monitoring and Evaluation Plan
- c. Communications Strategy
- d. Past Performance Information and Summary Chart
- e. Security Plan

- f. Resumes/Curriculum Vitae (Key Personnel, 2 pages per person), position description for proposed technical and administrative staff managing the project (no more than 1 page per position), letters of commitment for key personnel, and English Fluency information for key personnel (non-native English speakers)
- g. Project Organizational Chart (1 page).

The application should include the following sections and information:

I. Cover Page

The technical application shall include a cover page with the following information:

- a. Program title;
- b. Notice of Funding Opportunity 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. Technical Approach

Applicants will submit a comprehensive technical approach that must: (a) Focus on **HOW** the applicant will achieve the objectives described in the Program Description of this RFA; and (b)

Demonstrate a clear understanding of the drivers to build participatory processes with the private sector, local and central government institutions and civil society organizations to advance public knowledge and support of important topics, such as citizen security, violence prevention, community resilience and gender based violence in line with the Government of Guatemala policies and USAID/Guatemala programs/projects involved in the implementation of CARSI-funded initiatives to achieve the goals of reducing violence and migration, and strengthening community resiliency. Furthermore, the technical approach must include the description of **HOW** the applicant will pursue innovative ways to sustain the Community Roots Project after the project ends.

The technical approach must provide the following information in succinct yet comprehensive manner:

- a. Effective and Innovative Approach: The approach should be based on a clear conceptual framework, include a theory of change, and achieve programmatic results outlined in the Program Description in the given timeframe. Applicants should clearly describe the proposed approach and methodology, citing best practices or evidence-based approaches.

Moreover, the application and overall technical approach should demonstrate focus on programmatic activities that directly and materially benefit target communities rather than on administrative or operational tasks.

Additionally, based on knowledge and understanding of Guatemalan context and GOG priorities and initiatives, Applicants should clearly describe how the proposed approach is appropriate and realistic for the Guatemala context, taking into consideration current GOG, key stakeholders and civil society–led initiatives as well as potential constraints to implementation.

The technical approach should include a results framework and logical framework that outlines results, objectives, verifiable indicators and assumptions which capture the entire picture of the project as well as an implementation plan that shows how anticipated results for each project objective are to be achieved and how the project will ensure sustainability and institutionalization of partnership activities after the life of the project.

The technical approach should address sustainability considerations as well as outline a communications strategy that describes economic issues being investigated in order to inform the USG, the GOG, and other audiences about the progress of the project. At minimum, the outline will include basic elements of a communication strategy: problem statement, desired change(s), measurable goals, segmented audiences, project positioning, main message and supporting information, and framework for a media plan.

Applicants must propose a draft criteria-based selection process to identify potential treatment municipalities and communities.²³ USAID will review and approve the selection criteria and eventual selection of treatment municipalities and communities in the work plan for year 1. USAID views implementation of this project as an on-going and iterative process of consultation. As needs and the political context change, approaches must incorporate sufficient flexibility to respond accordingly.

- b. Cross-Cutting Principles: Applicants should clearly and explicitly address the cross-cutting principles of gender, empowering indigenous and other marginalized populations, coordination, child protection, and integrated conflict sensitivity²⁴ in their Applications.

²³ Applicants must present a geographic strategy in the technical application that clearly identifies and justifies the proposed treatment municipalities and the number of proposed treatment communities in each proposed target municipality. The applicant should elaborate on their criteria-based selection process for treatment municipalities and communities. Applicants should clearly identify the proposed target municipalities, and the number of communities that they are proposing to work with in each municipality. The final list of treatment municipalities and communities will be approved by USAID in the first annual work plan.

²⁴ The applicant is encouraged to use resources available on Peace Exchange. Peace Exchange is an open, online platform hosted on DME for Peace with a focus on conflict sensitivity/*do no harm*. Resources on conflict sensitive practices, tools, and literature can be found here: <http://www.dmeforpeace.org/peaceexchange/>. Further information on *do no harm* can also be found in the following handbook: *The Do No Harm Project. The “Do No Harm”*

Cross-cutting principles should be integrated into all activities, M&E, the staffing plan, and budget. The Applicant should clearly indicate and show how gender issues will be addressed, how results will be determined taking gender into account, and what resources will be provided to do this. USAID will evaluate the appropriateness of the implementing partner's proposed activities and staff with regard to gender integration. For conflict sensitivity, the applicant should not only detail how the overall project will ensure an application of a conflict sensitive approach, but also specifically address how activities under Objectives 1, 2, and 4 will be conflict sensitive.

- c. Draft Monitoring & Evaluation Plan: Processes to monitor progress and project performance should be utilized in order to assess the ongoing results of project interventions and determine whether or not objectives are being achieved and if interventions should be adjusted. The Applicant must provide a draft Monitoring and Evaluation Plan (M&E Plan) as part of the response to this NOFO.

The M&E Plan will be evaluated as part of the selection process. The M&E Plan will specify indicators, Life of Project and annual targets, and methodologies that will be used to objectively measure progress towards achieving each of the results included in the proposal and will provide a strategy for monitoring these indicators during implementation. The M&E Plan will be designed to disaggregate indicators by gender, allowing the measuring of project impact on women. The M&E Plan reports also give USAID a tool for gauging performance and understanding any unforeseen changes in strategy needed to achieve intended results. M&E Plan indicators will be reported on quarterly and annual reports.

The Applicant must be familiar with the standard indicators that USAID is obliged to measure for various agency frameworks, including Central American Regional Security Initiative (CARSI) indicators, Development Objectives 1 indicators under the Guatemala CDCS, standard indicators, and the Foreign Assistance Standard Indicators. Applicants are encouraged to propose additional indicators, other than the illustrative ones provided in this document, which they consider as more effective in measuring the performance of the project.

The M&E Plan must include conflict sensitivity considerations and propose strategies such as context monitoring to understand and track conflict dynamics related to the Project. Measurements of conflict should be incorporated into project plans as early as possible. By incorporating conflict analysis and measurements of peacebuilding into templates for baseline assessments, implementing partners build a roadmap to implement conflict-sensitive development projects. This up-front work also lays the groundwork for monitoring and evaluating conflict impacts of project activities.

Framework for Analyzing the Impact of Assistance on Conflict: A Handbook. Cambridge, MA: CDA Collaborative Learning Projects, 2004. (The Handbook is available online at <http://cdacollaborative.org/publication/the-do-no-harm-framework-for-analyzing-the-impact-of-assistance-on-conflict-a-handbook>.)

The Applicant must also address the data collection process to ensure that quality data are collected and available to inform management decisions. Data collection efforts may be necessary at the beginning of the project to verify or establish baseline information for many of the project's indicators. Each indicator (except for those for which answer is no) should have a Data Quality Assessment conducted during the first year of the Project. The key criteria for assessing the quality of indicators data are: validity, reliability, timeliness, precision, and integrity.

III. Management and Staffing Strategy

The management and staffing strategy must address the staffing requirements described below.

The management strategy must highlight approaches for staffing/recruitment, minimize management costs, and reserve the highest possible level of funding for implementing this project.

Specifically, the strategy must provide:

- a. Management and Staffing Plan: a plan that is responsive and comprehensive, including staffing/recruiting plans, and ability to assemble technical assistance teams. This must include a clear description of roles and responsibilities among the home office and office(s) in Guatemala, organizational chart, approach, timeframe for mobilization as well as a comprehensive nondiscrimination policy for their workplace and award. USAID encourages the inclusion of indigenous and other marginalized populations in the staffing plan.

The applicant should include a description of the approach that it will use to ensure 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, including any costs associated with such coordination.

Applicants should include information that describes how the “Organizational Capacity and Geographic Coverage” plans to ensure that activities in the proposed treatment areas are effectively covered. What USAID is seeking is a “Project Management and Staffing Plan” that would ensure that all field activities will be properly supported by the selected recipient.

An intrinsic aspect of operating in a developing country is recognizing and addressing issues related to security. Most importantly, this includes the well-being of staff. To achieve an adequate level of security, USAID recipients and contractors, non-governmental

organizations (NGOs) and other implementing partners must see security as a top priority. Security must be an integral component of program design and project management.

USAID's Partners are responsible for having adequate security plans that ensure that their staff can be accounted for in the event of an emergency in the places where projects are implemented. In this regard, USAID requests the Applicant to submit a Security Plan as part of its Technical Application, taking into consideration the information included ADS 303 <https://www.usaid.gov/sites/default/files/documents/1868/303sae.pdf>

Applicants should take into consideration that every area/region presents its own specific and unique security challenges, so implementing partners must make their own determinations as to how to address such security challenges. When implementing any USAID award, the implementing partner bears the ultimate responsibility to ensuring adequate steps are taken to safeguard the security and safety of its personnel, and any USAID funded equipment/property/vehicles.

- b. Key Personnel: USAID has identified the Chief of Party, Deputy Chief of Party, and Communication Specialist as key personnel. Applicants may propose other senior positions in their team, which should be considered key. The functions of those key personnel positions should be described in the Applicant's staffing and management plan. For key personnel not approved in the initial application, the Recipient will forward the names and resumes of qualified candidates to the USAID/Guatemala AOR for review and approval by the Agreement Officer (AO) before hiring decisions are finalized.

Regional and in particular experience in Guatemala is preferred. The project team may be composed of either U.S., Third Country National (TCNs) or Guatemalan professionals. It is the Applicant's responsibility to propose a team that meets all of these requirements. The key personnel must be able to execute the proposed plan and must have the necessary capabilities to manage this program, mitigate risks, and make it successful. Applications must include three references for each key personnel candidate.

All key personnel are expected to be proficient in Spanish and English. USAID may consider key personnel who do not possess these language skills, if the Applicant provides an explanation of the critical value of the proposed individual and a plan to overcome language deficiencies.

Chief of Party (COP): responsible for the overall implementation and provides supervisory and administrative oversight to the project. The COP will oversee coordination with key stakeholders (including the GOG, civil society, the private sector, and others) and lead preparation and oversight of any subcontract. Additionally, the COP will be responsible for

communications with USAID, for publicly representing the project, and for liaising with the GOG and other institutions/stakeholders on issues related to rural and community development in Guatemala, particularly in the Western Highlands.

- At least a Master's degree in public policy, political science, or other related fields and 7 years of senior management experience with progressively increasing responsibilities managing development projects; a Bachelor's degree in public policy, political science, or other related fields and 10 years of senior management experience with progressively increasing responsibilities managing development projects; or 15 years of senior management experience to substitute the education requirement.
- Relevant technical expertise in community development, youth development, violence prevention, migration or other related fields.
- Experience working with senior government officials and building consensus among diverse actors.
- Experience managing USG complex contracts and agreements preferred.
- Experience in Latin America preferred.
- Speaking and writing fluency in English and Spanish.

Deputy Chief of Party: Responsible for key administrative management and activity operations. The Deputy Chief of Party will be responsible for key project management duties including ensuring effective staffing, management in grants under contract, and appropriate staffing.

- At least a Master's degree in public administration, public management or other related fields and 7 years of senior management experience with progressively increasing responsibilities managing development projects or 10 years of relevant experience to substitute the education requirement.
- Management, operational, and administration experience and expertise.
- Minimum of seven years of experience of progressively increasing responsibilities in development projects.
- Demonstrated experience in effectively working with local government structures, senior government officials, civil society actors, other donors and USG projects. Speaking and writing fluency in English and Spanish.

Communications Specialist: Responsible for a full range of communications and reporting for the Community Roots Project and responsible for coordinating internal and external communication and engagement.

- At least a Bachelor's degree in communications, journalism, or other related field and 5 years of experience in similar positions
- Develop press releases, fact sheets, success stories, speeches, and other communications materials.
- Provide reporting for the Community Roots Project.

- Fluent in Spanish and English.
- Excellent English and Spanish writing and editing skills.
- Candidate must submit a writing sample in English and Spanish.
- This position should be filled with a local Guatemalan hire.

The Applicant may propose other key personnel with required qualifications.

Documentation of qualification and experience of proposed personnel: The Applicant is required to present resumes/curriculum vitae for proposed staff and ensure that the proposed personnel will, in fact, be available to staff the project should the applicant be selected for award. Failure to provide such assurances and letters of commitment may disqualify the applicant from being considered for award. Failure of the applicant selected for award to provide the proposed personnel may result in disqualifying the winner from receiving an award.

The applicant must provide a biographical sketch and position description for the proposed staff. The biographical sketch and position description, combined, must not exceed one page for each proposed professional staff. The position descriptions must reflect a clear understanding of the technical skills necessary to achieve the results specified in the Application. The applicant must provide Resumes/curriculum vitae for all key personnel that may not exceed two (2) pages in length per individual. This information must be included as an annex to the technical application. For proposed Key Personnel who are non-native English speakers, the annex must include proof of English fluency through a score or certificate of a recognized test such as Test of English as a Foreign Language (TOEFL) or the Michigan test.

- c. Management of Sub-awards: The applicant must describe its approach to how it will manage the competition and award of grants in line with USAID best practices and the Guatemalan situation. The applicant will design an approach to grant-making that is cost effective and designed to be responsive to the needs of project activities; and procedures for identifying and approving proposals that are not onerous and ensure flexibility. The applicant will establish a cost-effective system for awarding and managing grants and will emphasize the application of alliance principles to leverage private investment and financing, and encourage public-private implementation partnerships.

Additional Information for the technical application

- **Communications Strategy:** The applicant must describe the communication strategy to inform USG, GOG and other audiences about the progress of the project, including the development of success stories and weekly news. The selected recipient will be responsible for preparing materials for high-level visitors to project activities that include but are not limited to: “scene setters”, trip itineraries, photographs, event agendas, success stories, press releases and reports, and video presentations of the project.

USAID Guatemala requests that applicants explain the communications methodology employed to develop an illustrative Strategic Communication for Development Plan for The Community Roots Project. The project’s monitoring and evaluation (M&E) plan will measure the effectiveness and efficiency of the Strategic Communication Plan and communications activities.²⁵ Applicants are invited to discuss the value-added that a strategic communication component brings to the Community Roots Project. Applicants will provide an illustrative budget and a timeline for the communications component.

The selected Recipient should establish, and operate a public website to provide general information and reporting on project activities. At a minimum the website will provide information under the following general headings: About; News/Events; Program Areas; Reports (to include quarterly and annual reports and all trips, technical and analytical reports prepared by the project), Results and Knowledge Management. Other sections may be added as agreed between the selected recipient and USAID and should contain a link to the USAID and USAID Guatemala web pages. The website shall comply with the approved Branding Strategy and Marking Plan.

- **Institutional Capacity and Past Performance:** The applicant must include demonstrated recent, relevant technical and field experience and quality of performance in programs or projects of similar technical content and scope in developing countries, including a description of experience and representative accomplishments of the organization in conducting activities of the type required under this RFA.

The applicant information on past performance must be provided in accordance with the table below. USAID may use performance information obtained from other than the sources identified by the applicant/subcontractor. USAID will utilize existing databases

²⁵ Communication is defined here as the overarching strategy and the elements that compose strategic communications planning process and plan. Communications is defined here as the activities, materials and channels that are used to implement a communication plan. These communications pieces of the plan must be strategic in and of themselves. Technical applications should include a brief description of the communication strategy and timeline, and the Cost application should account for a communication budget. Applicants can elaborate on the Illustrative Strategic Communication for Development Plan, timeline and budget in the corresponding Annex, not to exceed 5 pages. The applicant will be asked to submit a full communications plan once the award is made.

of contractor performance information and solicit additional information from the references provided herein and contact the individual(s) indicated as well as others.

Program Description Summary	Primary location of work	Term of performance	Dollar Value	Award Type & Number	Organization/Contracting Entity/Technical Officer	e-mail address and Tel.
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NOTE: USAID relies on the prime organization's review of partner/subcontractor institutions. However, if deemed necessary to ensure prudent use of USG funds, USAID may conduct its own past performance review of proposed partners/subcontractor institutions. In cases where the applicant lacks relevant performance history and information on performance is not available then the applicant will not be evaluated favorably or unfavorably on performance. USAID reserves the right to contact references other than the ones provided by the applicant in its application and use this information in the pre-award risk assessment.

5. **Cost Application Format**

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) Dun and Bradstreet and SAM.gov Registration
- f) Funding Restrictions
- g) Certifications, Assurances and Other Statements of the Applicant
- h) Additional Requirements

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. 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:

- 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 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>
- c. **Budget:** The electronic copy of the Budget must be submitted as an unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and shall be broken out by project year. .

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

Individual subcontractors/sub-awardees must include the same cost element breakdowns in their budgets as applicable.

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. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The budget should include costs to ensure an 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.

Applicants must submit a summary and a detailed budget as follows:

Summary Budget						
Cost Elements	Year 1	Year 2	Year 3	Year 4	Year 5	Total
1. Salaries and Wages						
2. Fringe Benefits						
3. Consultants						
4. Travel, Transportation, and Per Diem						
5. Equipment and Supplies						
6. Sub-contracts						
7. Sub-grants						\$17,850,000
8. Rapid Response Fund						\$5,000,000
9. Other Direct Costs						
10. Construction						
11. Indirect Costs						
Estimated Cost (sum 1 to 11)						
12. Cost Share						
TOTAL AWARD BUDGET						

Note: Individual sub-awards proposed as part of application must include the same cost element breakdowns in their budget as applicable

Illustrative description of the cost elements are provided below:

1. Salary and Wages – must be proposed in accordance with the applicant’s personnel policies and must include as much as possible information about the personnel’s name, position, salary rate, level of effort and salary escalation factors. Explain assumptions in the Budget Narrative.
2. Fringe Benefits – If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the application must propose a rate and explain how the applicant determined the rate; in this case, the narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
3. Consultants – If applicant proposes for short-term expert 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 Awardee/Recipient. Costs of consultants must be broken down by person months or days.
4. Travel, Transportation and Per Diem – The applicant must indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed activities, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. Per Diem must be based on the applicant’s normal and current travel policies that do not exceed the published U.S. Government per diem rates for the localities concerned.

5. Equipment and Supplies – must include information on estimated types of equipment, models, supplies, and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates.
6. Sub-Contracts – Any goods and services being procured through a sub contract mechanism.
7. Sub-grants – The applicant should identify the activities to be implemented through sub grants. The Applicant shall describe its approach to, and how it will manage, the competition and award of sub-awards in line with USAID best practices and the Guatemalan context.
8. Rapid Response Fund (RRF) – Per instructions in Section F.6 the applicant is required to reserve \$1 million annually or \$5 million during the period of performance of the Cooperative Agreement for implementation of the RRF mechanism.
9. Other Direct Costs – Applicants must detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant’s fringe benefits), equipment, office rent, communication component, etc.
10. Construction– Construction is anticipated under this NOFO. Per Mandatory Reference for ADS 303 entitled “USAID Implementation of Construction Activities”, the construction activities under this project 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; and 2) The aggregate estimated cost of construction activities under the resulting award is less than \$10,000,000.
11. Indirect Costs – The applicant must support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA). The Budget Narrative should clearly explain the base and the calculation for the indirect costs.

If no NICRA the Applicant should submit 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 the 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 apparently successful applicant has never received a negotiated indirect cost rate, the apparently successful applicant may choose to charge the administrative/management costs as direct costs or 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).

12. Cost Share – USAID has established a suggested cost share of 15% of the Award’s projected value of \$40,000,000 for the recipient of the award. Cost sharing must be verifiable from the recipient’s records, is subject to the requirements of 2CFR 200.306, and can be audited.

d. Budget Narrative:

The budget must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).

The budget narrative should be organized using the same structure of the budget.

e. Dun and Bradstreet and SAM.gov Registration

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.

f. Funding Restrictions

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.

g. Certifications, Assurances and Other Statements of the Applicant

The business section of the cost/business application should include:

1. Applicants must complete and sign the Certifications, Assurances, and Representations included in the following link:
<https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>
2. The cost/business application should also include evidence of responsibility that the Agreement Officer can use to determine that the Applicant:
 - a. Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
 - b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
 - c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 - d. Has a satisfactory record of integrity and business ethics; and
 - e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).
3. 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).
4. Potential Request for Additional Documentation: Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. Applicants should not submit the information below with their applications. The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:

The information submitted should substantiate:

- a. Bylaws, constitution, and articles of incorporation, if applicable.
- b. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.

h. Additional Requirements

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severely liable for the acts or omissions of the other.

Additionally, if the applicant is selected for award, it is a requirement that the organization is legally registered in the country of Guatemala. If the applicant is a U.S. Organization and it is not registered in the country at the time of the award, the registration process should be completed during the first year of project implementation or sooner. Costs associated with this registration process should be included as part of the applicant's overhead costs since these are considered cost of doing business.

END OF SECTION D - APPLICATION AND SUBMISSION INFORMATION

SECTION E: APPLICATION REVIEW INFORMATION

1. Criteria

The criteria presented below have been tailored to the requirements of this particular NOFO and are presented in order of priority. Applicants must note that these criteria serve to:

- (a) Identify significant matters which applicants must address in their applications; and
- (b) Set the standard against which all applications will be evaluated.

The technical applications will be evaluated in accordance with the technical evaluation criteria set forth below.

2. Review and Selection Process

A. Technical Evaluation

USAID will conduct a merit review of all applications received that comply with the instructions in this NOFO.

Applications will be reviewed and evaluated in accordance with the following criteria and sub criteria in descending order of importance:

I. Technical Approach (60 points)

- a. The extent to which the application proposed an effective and innovative approach to achieving programmatic objectives and results outlined in the Program Description in the given timeframe. Includes strength of the approach and ability of Applicant to fully engage all citizens (including women, indigenous, youth, poor, and other marginalized groups) in addressing sources of violence and migration. The proposed approach should be appropriate and realistic for the Guatemala context. There should be a clear and effective approach for the design, establishment, management, transparency and sustainability of activities, including through effective engagement of stakeholders. The approach must demonstrate a locally contextualized approach to sustaining impact after the life of the project. Proposals will also be evaluated on realism and appropriateness based on knowledge and understanding of Guatemalan context and GOG priorities and initiatives. Approaches will also be evaluated based on the geographic selection of the communities and ability to build upon existing USAID partner experience and coordination in select communities region.
- b. The extent to which the application proposed an approach to address the cross-cutting principles of gender, empowering indigenous and other marginalized populations,

coordination with other donors and programs, engaging key stakeholders, and conflict sensitivity²⁶. For conflict sensitivity, the applicant should not only detail how the overall project will ensure an application of a conflict sensitive approach, but also specifically address how activities under Objectives 1, 2, and 4 will be conflict sensitive. c. The application includes a high quality M&E plan with indicators, targets, and methodologies that can clearly track progress and evaluate activities.	II. Management and Staffing Plan (40 points) a. Comprehensiveness of the Management and Staffing Plan in being responsive, specific on roles and responsibilities among the home office and office(s) in Guatemala, and demonstrating the technical resources and expertise required to realistically and efficiently accomplish the project’s technical, coordination, and communications needs. Extent to which the management and staffing plan ensure that activities in the proposed treatment areas are effectively covered. b. Key personnel must convincingly demonstrate the ability to successfully and effectively implement the proposed program and describe how the proposed personnel will contribute holistically to both the technical and administrative needs of a project of this description, size and proposed results. Proposed key personnel should comply with the requirements included in the instructions section. USAID will also evaluate whether proposed personnel composition achieves gender equity and inclusion of indigenous participation in the staffing plan. c. Approach to manage sub-award in line with USAID best practices and the Guatemalan situation. Proposed cost-effective system for awarding and managing grants to emphasize the alliance principles and encourage public-private implementation partnerships.
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B. Cost Evaluation

Cost is not a weighted factor. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit. The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the program.

²⁶ The applicant is encouraged to use resources available on Peace Exchange. Peace Exchange is an open, online platform hosted on DME for Peace with a focus on conflict sensitivity/*do no harm*. Resources on conflict sensitive practices, tools and literature can be found here: <http://www.dmeforpeace.org/peaceexchange/>. Further information on *Do No Harm* can also be found here: <http://www.cdainc.com/dnh/docs/DoNoHarmHandbook.pdf>

The cost application of the **apparently successful applicant** will be evaluated for cost effectiveness including the level of proposed leverage. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measures for a responsibility determination.

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.

Cost Sharing

USAID has established a suggested cost share of 15% of the Award's projected value of \$40,000,000 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

END OF SECTION E: APPLICATION REVIEW INFORMATION

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Following the selection for award and successful negotiations, the successful applicant will receive an electronic copy of the notice of the award signed by the Agreement Officer which serves as the authorizing document. The Agreement Officer will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

The award will be issued to the contact as specified in the application as the Authorized Individual in accordance with the requirements in the Representations and Certifications.

USAID will follow the guidelines of ADS 303.3.7.2 to provide additional information for unsuccessful applicants.

2. Administrative & National Policy Requirements

The resulting award from this NOFO will be administered in accordance with the following policies and regulations.

- **U.S. organizations**
 - 2 CFR 700: <http://www.ecfr.gov/cgi-bin/text-idx?SID=531ffcc47b660d86ca8bbc5a64eed128&mc=true&node=pt2.1.700&rgn=div5>
 - 2 CFR 200: <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>
 - ADS 303: <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>
 - Standard Provisions for U.S. Non-governmental Organizations:

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

- **Non-U.S. organizations**

- ADS 303: <https://www.usaid.gov/sites/default/files/documents/1868/303.pdf>
- Standard Provisions for Non-U.S. Non-governmental Organizations: <https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

3. Participant Training

For all training activities financed under this cooperative agreement the Recipient must comply with Automated Directives system (ADS) Chapter 253 and other USAID/Guatemala specific policies and procedures (i.e., Mission Order 253) governing the effective, efficient planning, design, and implementation of such training programs. The Recipient will 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 must follow the guidelines included in ADS 252.

4. Management of Sub-awards

USAID/Guatemala's intent is that the Recipient will award grants and contracts in order to implement the Community Roots Project. The USAID/Guatemala Agreement Officer must approve the recipient's grants manual, the actual selection of grant recipients with US and Non-US organizations, including any decisions to award grants based on exclusive or predominant capability. All sub-grants must comply in all material respects with USAID's Automated Directives System (ADS) Chapter 303 (including mandatory and supplementary references) in awarding and administering grants, as well as 2 CFR 200 and 2 CFR 700.

The Applicant shall describe its approach to, and how it will manage, the competition and award of grants in line with USAID best practices and the Guatemalan context. The applicant will design ***an approach to grant-making*** that is cost effective and designed to be responsive to the needs of Community Roots' activities; and ***procedures for identifying and approving applications*** that are not onerous and ensure flexibility. The Applicant will establish a cost-effective system for awarding and managing grants. The Applicant will emphasize the application of alliance principles to leverage private investment, and financing, and encourage public-private implementation partnerships.

5. Earmarks and Funding Sources

This project will directly support *Development Objective 1: “Greater Security and Justice for Citizens”*, Intermediate Result 2: *“Reduced Levels of Violence and Conflict in Target Areas and Populations”*.

USAID expects this Project to be fully funded by the Central American Regional Security Initiative (CARSI). However, given the uncertainties of funding from year to year, the selected Recipient should have a degree of flexibility in order to absorb funding from other sources, as available, without changing the total estimated amount of the resulting Award.

The Recipient shall follow agency guidance on the use of USAID funds for these earmarks and it will be required:

- To track and report on the results obtained from these funds, including per their earmarks, and separately from other funds obligated under this Cooperative Agreement; and,
- To attach to the financial report detail of the funding available and utilized according to each specific earmark.

6. Rapid Response Fund

The Rapid Response Fund (RRF) is a flexible mechanism that will allow the project to respond to opportunities and/or crises that may emerge during the implementation of the technical components of this Program Description that have not been foreseen or anticipated but that offer high pay off. The proposed funding level for the RRF is \$1 million annually or \$5 million during the period of performance of the Cooperative Agreement. This includes funds set aside for studies. USAID may adjust these figures depending on the number of requests and their amount.

A Manual for the use of the RRF shall be developed by the Recipient and approved by the USAID/Guatemala Agreement Officer (AO). The fund will be managed by the Recipient in a separate line item. The use of these funds requires AOR prior written approval, and shall be reported in a Quarterly and Annual Performance Reports. The RRF manual should be sent for approval within 60 days of the signature of the Cooperative Agreement. In the event that an activity under the RRF is implemented under a sub-award, an additional approval from the AO will be required.

7. Value Added Tax

Adherence to IVA program is a requirement for the prime recipient and for any sub-awardees; exemption procedures will be provided to the Recipient soon after award. 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.

8. 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.

9. Recipient's Staff Support, Administrative and Logistics Arrangements and Legal Registration in the Cooperating Country

In accordance with Standard Provision entitled "Regulations Governing Employees", the Recipient will be responsible for all administrative support and logistics required to fulfill the requirements of this Agreement. These include all travel arrangements, appointment scheduling, secretarial services, report preparations services, printing, and duplicating.

In addition, the Recipient is responsible to comply 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.

10. External Evaluation

USAID is committed to evaluating programs and projects using credible impact and performance evaluation methodologies. In the spirit of increasing the rigor of all USAID project evaluations, the Community Roots Project will require evaluations that will be solicited by USAID and conducted by objective third parties—external evaluations—and final results may be made public. The Recipient will consult with USAID before conducting any sub-contracted evaluations to ensure that planned evaluation efforts will not be duplicated. Moreover, the Recipient must cooperate with any external evaluation indicated by USAID and provide input to external evaluation team when requested by USAID.

11. Internal Monitoring and Evaluation

Ongoing monitoring and evaluation (M&E) activities that engage communities participating The Community Roots Project communities is a critical component of a successful execution of the community-based development (CBD) approach. Also, both the Recipient and USAID/Guatemala shall utilize rigorous M&E to successfully manage the project and continuously monitor progress toward The Community Roots Project objectives. Therefore the Recipient is expected to maintain qualified M&E staff, develop and adhere to a rigorous M&E Plan, and prioritize M&E activities during the full period of implementation.

12. Knowledge Management and Communications

Experimentation is essential to innovation and effectiveness. The Community Roots Project must utilize a knowledge management methodology that facilitates continuous learning and adapting. Ongoing learning will allow the Community Roots Project to obtain timely information on project successes and allow for adjustments in project design and management, as needed.

The selected Recipient will be responsible for preparing materials for high-level visitors to project activities that include, but are not limited to: “scene setters”, trip itineraries, photographs, event agendas, success stories, speeches, press releases and reports, and video presentations of the project

USAID Guatemala anticipates significant interest in the implementation of the Community Roots Project. Therefore a robust communications strategy and the staffing and resources to ensure the importance of development communications are particularly important. The purpose of the communication component is to complement, support and underwrite the project’s overall strategy and implementation activities. The project’s communications activities will be guided by a Strategic Communication Plan to reach segmented audiences with messages and needed

support to motivate sustained behavior change that is in line with the USAID Guatemala's Country Development Cooperation Strategy (CDCS) and the Project Description of the Community Roots Project. The Strategic Communication Plan will be a strategic combination of Institutional Communications and Development Communication that creates synergies between the two to improve the success of the project.

All communications materials must be submitted to the USAID AOR for review and approval at key points of concept, design, development and pre-production. All camera-ready art, final production files, protection master videotapes and other final versions of all project and communications products shall be submitted to USAID upon agreement termination, unless they have been submitted previously. The AOR must receive a minimum of 10 copies of all project and communications products as they are produced.

Strategic communication for development is a powerful tool and has been shown to deepen and expand the impact of development initiatives²⁷ because it generates behavior change beyond what information dissemination, education, and awareness-raising alone achieves. While the latter three are necessary ingredients of communication, they are not sufficient for getting people to change long-established practices or behaviors—change that is at the core of sustainable development.

Background on Development Communications

(REF: World Bank/DevComm)

Well-conceived, professionally implemented communication programs that are tied directly to reform efforts or development project objectives that bring understanding of local political, social and cultural realities to bear in the design of development programs can make the difference between a project's success and failure.

All development requires some kind of behavior change on the part of stakeholders. Research shows that changing knowledge and attitudes does not necessarily translate into behavior change. In order to effect behavior change, it is necessary to understand why people do what they do and understand the barriers to change or adopting new practices. It is not enough to raise awareness of the “benefits,” it is critical to understand peoples’ barriers or the “costs” they perceive such a change would entail.

²⁷ Mefalopulos, P. *Development Communication Sourcebook: Broadening the Boundaries of Communication* (pg. 8). International Bank for Reconstruction and Development/The World Bank, 2008; Servaes, J., “By Way of Introduction.” In *Approaches to Development: Studies on Communication for Development*, ed. J. Servaes. Paris: UNESCO.

13. Reporting Requirements

The Recipient must submit to USAID Guatemala's AOR, two copies in the language and manner specified below, and one electronic copy in (PDF format preferred) of the below described plans and reports.

13.1 Financial Reporting

13.1.1 Quarterly Financial Reports

The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the Agreement Officer's Representative (AOR) and the Agreement Officer. Electronic copies of the SF-425 can be found at:

https://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/ff_report.pdf . Line item instructions for completing the SF-425 can be found at:

https://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/ffr_instructions.pdf

Financial reports will show the total amount of cost share (cash and in-kind).

13.1.2 Quarterly Accrual Reports

The Recipient shall submit an estimated accrual report including the following information: (i) agreement number; (ii) recipient's name; (iii) total amount obligated; (iv) total amount invoiced for; (v) total amount expended but not yet invoiced for; (vi) remaining unexpended funds; (vii) estimated completion date; (viii) any pertinent information, such as analysis, projections for the next quarter, and an explanation of costs increases or underestimation of original costs. The accruals report shall be presented in English to the AOR and other designated administrative staff, on a quarterly basis (15 days previous to the close of each fiscal year quarter) in the format to be provided to the Recipient upon award signature.

13.2 Technical Reporting

13.2.1 Annual Work Plans

Annual work plans will be required from the Recipient. They will detail the work to be accomplished during the upcoming year and should be submitted by Expected Results and Activities. The first work plan must be submitted for approval within 90 calendar days from the signing of the Agreement, covering from the signing of the Agreement through the end of the fiscal year 2017. The work plan should include:

- Introduction
- Background (Problem Statement/Analysis, and any other relevant analyses)
- Project Approach (Development Hypothesis, Results Framework, and Implementation Strategy, including possible obstacles hindering achievement of objectives)
- Implementation Plan Matrix organized according to project objectives/results that identify proposed accomplishments for the fiscal year, tasks, activities, timeframe, expected outputs or progress toward achieving cooperative agreement results, indicators, and targets.
- Training Plan in accordance with Mission Order 253 (a format for the preparation of this plan will be provided by USAID upon signature of the award).
- Draft criteria-based selection process to identify potential treatment municipalities and communities. USAID will review and approve the selection criteria.
- Proposed treatment municipalities and communities for USAID review and approval.
- Gender Integration Plan: In order to ensure that USAID assistance makes possible the optimal contribution to gender equality, USAID projects must consider the following two questions:

(1) **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?**

(2) **How will the anticipated results of the work affect women and men** differently?

The purpose of the **first question** is to ensure that 1) the differences in the roles and status of women and men are examined; and 2) any inequalities or differences that will impede achieving program or project goals are addressed in the planned work design.

The **second question** calls for another level of analysis in which the anticipated programming results are: 1) fully examined regarding the possible different effects on women and men; and 2) the design is adjusted as necessary to ensure an equitable and sustainable program or project impact.

In order to respond to these questions at the DO level and to deepen the understanding and attention to gender issues, USAID/Guatemala performed a gender analysis for the Community Strengthening Project based on examination of major gender gaps in key

sectors. Please consult the gender assessment for USAID's Citizen Security Development Objective, Attachment 2 to this RFA. Once the award is signed, the Recipient must respond to the above two questions using, as a basis, the results from the USAID/Guatemala gender analysis.

The selected Recipient must submit a gender integration plan as one of the required Annexes to the Annual Work Plan that responds to the recommendations included in the gender analysis (Annex 2 to this RFA) including the following:

This plan will respond to the recommendations included in the gender analysis (Attachment 2 to this RFA) including the following:

- 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 should provide in this plan information related to gender equity and gender based violence issues and ways to address these issues will be clearly integrated in a specific section of each year's work plan. The Recipient will develop a system to measure and monitor and evaluate the impact of efforts to enhance gender equity.

- Detailed Budget by principal activities, funding source, and also by line item, broken down by quarters. The Annual Work Plan must show planned expenditures and actual expenditures to date.
- A description of any information, communication, education, and training materials planned. These materials will be submitted for approval to the AOR at the design stage prior to printing, reproducing, disseminating or airing. AOR approval will focus on the materials' technical content, presentation, and compliance with the Branding Strategy and Marking Plan. The Recipient must ensure that all branding and marking specifications laid out in the Branding Strategy and Marking Plan have been followed prior to submitting the material for AOR approval.
- International travel plan for the year.

- Planned local and international training events and expected results.
- Steps to be taken to monitor and ensure compliance with USAID Environmental Procedures, Reg. 216.
- A description of the approach that the Recipient will use to ensure coordination, collaboration and information sharing with USAID Partners, US Government Agencies, other international donors, GOG institutions, private sector stakeholders and civil society organizations.
- Procurement Plan.
- A detailed annual Security Plan.

The work plan may be revised on an as needed basis to reflect changes on the ground and with the concurrence of the AOR.

Subsequent annual work plans and their budgets will be submitted for AOR approval by August 15, and should cover the period of October 1 – September 30. The budget for the work plan period must be attached, and disaggregated by month and monthly activities, so that monitoring of expenditures can be directly related to the monitoring of planned activities. The budget should be structured in a way that activities can be easily identified with the different funding streams funding them.

As part of the first Annual Work Plan, the resulting Recipient will be expected to include a Geographic Strategy and a section on: institutional analysis, sustainable impacts, and Civil Society Engagement. The work plan should reference these sections as needed.

- *Geographic Strategy:* The resulting Recipient will elaborate a geographic strategy that presents a criteria-based selection process for additional municipalities other than the ones indicated in the Program Description and for communities within the target municipalities. USAID must approve the selection of treatment municipalities and communities in the work plan for year 1, and subsequent annual work plans.
- *Institutional Analysis:* The Recipient will carry out an institutional analysis that will cover municipal governments, relevant national government agencies or units, and any relevant laws, policies or reform processes with which the project will be engaged. The analysis will address capacity, incentives, transparency and accountability mechanisms, political and political-economy dynamics, and other relevant factors related to institutional capacity and the fulfillment of institutional responsibilities related to violence prevention.
- *Sustainable Impacts:* The resulting Recipient will seek to maximize the sustainability of

project impacts, demonstrating how project inputs and activities will contribute to impacts that will continue beyond the life of USAID funding. It will identify barriers to sustainability (e.g., change in government, personnel turnover, organizational and personal incentives, budgetary and other resource limitations) and how such obstacles will be addressed. The Recipient will also integrate analysis of political opportunities and constraints in this section of the work plan, and will prioritize strategic and politically-informed capacity building, including institutionalizing improved processes, addressing negative organizational culture or incentives, ensuring robust measurement of outcomes and impacts, and improving oversight and auditing mechanisms (both internal and external via civil society and citizen involvement), coalition building and promoting institutional reforms.

- *Civil Society Engagement:* The resulting Recipient will elaborate a strategic approach for engaging with civil society actors, including a description of the relevant civil society actors at the national, municipal and community level. The plan will also outline the project's strategy for working collaboratively with CSOs to achieve maximum impact and strengthen civil society capacity to sustain and institutionalize impacts of project interventions, including:
 - Important potential sub-grantees, prioritizing longer-term support
 - Critical capacity-building needs of CSOs in violence prevention sector
 - Key coalitions, federations, or alliances to be built, leveraged and/or strengthened
- *Conflict Sensitivity:* The Recipient must include an explanation of how conflict sensitivity is addressed in programming and M&E activities. The workplan should discuss the conflict context and how the Project interacts with it. For example, reports should consider how community development plans interact with various community dynamics including socio-economic and ethnic divides.

Furthermore, since this Project is expected to be implemented in high-risk regions, the first Annual Work Plan shall include a section outlining the Recipient's security plan and budget for the life of the Project in accordance with the operational security supplement to ADS 303 which indicates that "*when implementing any USAID award, the implementing partner bears the ultimate responsibility for ensuring adequate steps are taken to safeguard the security and safety of its personnel and any USAID funded equipment/property/vehicles.*" The supplement also states that to achieve an adequate level of security, USAID implementing partners must see security as a top priority. It must be an integral component of project design and project management.

AOR approval of annual work plans and or requests for modifications will be provided within 15 calendar days. The Recipient will then have 15 calendar days to incorporate the modifications and resubmit the plan for AOR approval. AOR approval of the revised submission will be within 15 calendar days.

The plans shall be prepared in English and submitted in two hard copies and an electronic version (PDF preferred), and may be revised on an as needed basis to reflect changes on the ground and with the approval of the AOR.

13.2.2 Monitoring and Evaluation (M&E) Plan

The M&E Plan will be finalized by the selected Recipient after project start-up, in consultation with USAID. The final version of the M&E Plan covering the complete agreement period must be submitted for approval to the AOR within 90 calendar days after the signature of the resulting Agreement, with the finalized first Annual Work Plan. Any subsequent changes in the M&E Plan will require concurrence from the AOR at USAID. The finalized project M&E Plan will include a brief narrative outlining, at a minimum, the following:

- The Recipient's data collection method (e.g., how often data is collected, who collects the data, who analyzes the data collected, controls in place to safeguard data);
- Precise definition of the indicator, unit of measure, and disaggregation information to include women and men, indigenous, and members of vulnerable populations as applicable;
- Indicator validity (i.e., the relationship between the indicator and the desired output or result that is intended to measure);
- Life of Project targets for each indicator and annual targets for each fiscal year of this project; and
- The Recipients procedures for ensuring data quality of sub-recipients' (if applicable) reported data.

The Applicant should be familiar with the standard indicators that USAID is obliged to measure for various agency frameworks, such as the Development Objectives 1, 2, and 3 indicators under the Guatemala CDCS, standard indicators, and the Foreign Assistance Standard Indicators. The illustrative M&E Plan should incorporate illustrative USAID indicators included in Annex 1²⁸ as applicable to be monitored during project implementation. Applicants are encouraged to propose additional indicators to better capture the application's ability to measure impact, including contextually appropriate indicators to measure conflict sensitivity. To ensure conflict sensitivity and that different population sub-segments are benefiting appropriately from project, indicators must be disaggregated based on age, disability, religion, ethnicity, gender or along any other lines of division that may be relevant to the context.

²⁸ These are the illustrative indicators. The Applicant can add additional ones as you deem appropriate to be able to manage the project and measure results.

Implementing partner data collection, sampling, staffing and capacity development will articulate who is collecting data from whom, where, when, and how. This acknowledges that, even when undertaking M&E activities, the implementing partner is an actor in a context and has the potential to unintentionally do harm. This also applies to third-party firms.

Evaluation: USAID has committed to evaluating programs and projects using credible impact and performance evaluation methodologies. See USAID's Evaluation Policy for specific information:

<http://www.usaid.gov/sites/default/files/documents/1868/USAIDEvaluationPolicy.pdf>. In the spirit of increasing the rigor of all USAID project evaluations, CLD activities may require evaluations that will be solicited by USAID and conducted by objective third parties and final results may be made public. CLD cooperation and inputs will be needed when it is subject to such external evaluations so that the project can benefit from objective findings on project results, and redirect investments or activities as needed. The Recipient is encouraged to propose a set of questions that will guide its own evaluation efforts and reports.

As an annex to the M&E Plan, the Recipient will provide an evaluation Plan that includes:

- Criteria to determine at what level of investment or coverage a baseline and end-line surveys will be established to measure results in a quantifiable manner; and
- Criteria to measure impact through qualitative research.

13.2.3 Strategic Communication Plan

The Recipient must submit a Strategic Communication Plan that describes the communication strategy that will be used to inform project participating communities, GOG, USG, and other key audiences over the life of implementation. At minimum, the Strategic Communication Plan will outline the following basic elements: a problem statement, desired change(s), measurable goals, segmented audiences, project positioning, main message and supporting information, framework for of media plan; and, propose communication tactic(s) to be used. The Recipient may develop the Plan using existing primary and/or secondary research and other reliable evidence, including audience research and other forms of stakeholder consultation.

The Strategic Communication Plan 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 USAID Guatemala CDCS Communication Strategy and USAID Guatemala Strategic Communications Results Framework (See Annex 5), and the program description of the project. The Strategic Communication Plan will be a combination of Institutional Communications and Development Communications, specifically S&BC Communication to complement and support the project's overall strategy and implementation activities.

The Strategic Communication Plan will be developed with USAID and other key stakeholders in coordination with the First Annual Work Plan and M&E Plan and will be due 45 days after the approval of the First Work Plan.

13.2.4 Annual Procurement Plans

The Recipient shall submit a Procurement Plan along with Annual Work Plans. The Procurement Plan shall contain the following:

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

13.2.5 Weekly Highlights and Occasional Success Stories

The Recipient should submit text (no more than 1 paragraph) to USAID/Guatemala to be part of the Mission Weekly Activity Report. The Recipient should also submit success stories from the project for publication by USAID/Guatemala as available.

13.2.6 Quarterly Performance Reports

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

Quarterly Performance Reports must include the following:

- Progress on major activities during the period.
- Any implementation problems and proposed remedial actions as appropriate.
- Progress on performance indicators in the M&E Plan.
- Planned activities for each expected result for the next quarter.
- Gender considerations in implementation and performance during the quarter.
- Steps taken during the quarter to effectively coordinate, collaborate, and share information with other USAID, USG and non-USG partners.

- A certification that all training events have been entered in the TraiNet database.
- A description of the efforts to ensure coordination, collaboration and information sharing with USAID Partners, US Government Agencies, other international donors, GOG institutions, private sector stakeholders and civil society organizations during the reporting period and any problems encountered, agreements reached and/or actions taken to ensure coordination between partners.
- A brief description of the security challenges phased during the reporting period and actions taken to mitigate the risk for project staff, consultants and beneficiaries and steps taken to report such incidents on a timely manner to the AOR.
- Activity Fact Sheet or Activity Profile, in Spanish and English, that summarizes pertinent information regarding Community Roots that can be used for preparing media kits and for disseminating to interested stakeholders.

The fourth quarterly report shall be replaced by the Annual Report below.

13.2.7 Annual Performance Reports

The Recipient will submit a preliminary Annual Performance Report to the USAID/AOR by September 30th of the year completed. Annual Performance Reports will be reviewed by USAID/Guatemala as part of the Annual Work Plan review and approval process. Final Annual Performance reports are due by October 31st of the year completed. Annual Performance Reports are not to exceed 50 pages in length, including an Executive Summary 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:

- The extent to which objectives and targets in the Annual Work Plan were achieved.
- Highlights of major achievements during the year and success stories for publication.
- Significant implementation problems encountered during the year and mitigation measures taken to address these problems (if applicable).
- Progress achieved with regard to M&E Plan indicators and targets for the previous quarter and entire previous fiscal year.
- Updates on analysis related to project evaluation questions in the M&E Plan.

- Lessons learned, observations, and recommendations that might be relevant to the design and implementation of other community development activities.
- Cost Share report (both cash and in-kind) by contributing partner.
- Environmental compliance information required as indicated in the USAID Environmental Mitigation and Monitoring Plan (EMMP) Guidelines.
- Coordination efforts done with other partners.

The Recipient will be required to submit annual reports in English to USAID's Development Experience Clearinghouse (DEC). The recipient must review the DEC website for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <http://dec.usaid.gov>.

13.2.8 Final Report

A Final Report in English is required within 90 days of the expiration of the Cooperative Agreement. The Final Report should include a description of the project, overall achievements, and an assessment of progress toward specific project's objectives. It should include a summary of performance indicators used and an assessment of their relative usefulness.

The Final Report shall also include any changes in the project environment over the course of implementation, changes in activity design or implementation, any shortcomings or difficulties encountered, and reasons why expected results were not met, if applicable. The Final Report shall include a summary of lessons learned and recommendations that might be relevant to future design and implementation.

The Final Report must include a list of all publications, evaluations and media products that were sent to the USAID Developmental Experience Clearinghouse during the life of the Agreement. The Recipient is required to submit technical reports in English to the DEC. The recipient must review the DEC website for submission instructions, including document formatting and the types of documents to submit. Submission instructions can be found at: <http://dec.usaid.gov>.

13.2.9 Closeout/Demobilization Plan

Ninety days prior to the completion date of the Cooperative Agreement, a close-out/demobilization plan including the proposed disposition of equipment, including 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 such as to ensure that all program 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 are completed and payments settled, if applicable. Submission of a final inventory of all residual non-expendable property that was acquired or furnished by the 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 (remember to cancel 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 no published intellectual property.

14. Program Income

Applicants are requested to mention in the application whether program income is anticipated under the resulting award. If an activity under the award generates a profit, in accordance with 2 CRF 200.307. Prior written approval of the Agreement officer, USAID may use program income to finance the non-Federal cost share of an award. The Agreement Officer may also make the program income additive to USAID's contribution without a cost sharing requirement when this would help achieve program objectives, such as sustainably.

15. Branding & Marking

Only the apparently successful applicant will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer prior to award of the Cooperative Agreement. These plans shall be prepared in accordance with the guidance in ADS 320 "Branding and Marking" <https://www.usaid.gov/sites/default/files/documents/1868/320.pdf> and the Graphic Standard Manual <https://www.usaid.gov/branding>. The apparently successful applicant should use the template included in Annex 6 of this NOFO.

16. 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 211.3.2.b and 204 (<http://transition.usaid.gov/policy/ads/200/>), which, in part, requires 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 RFA.

An Initial Environmental Examination (IEE) LAC-IEE-12-60 has been approved for the DO1, Greater Security and Justice for Citizens activities. This IEE covers activities expected to be implemented under the resulting Cooperative Agreement and it includes the following language to be applicable:

A Categorical Exclusion for activities related to technical assistance, training, analyses, studies, and office equipment pursuant to 22CFR216.2(c)(2) as follows:

- (i) Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc.);
- (ii) Analyses, studies, academic or research workshops and meetings;
- (iii) Studies, projects or programs intended to develop the capability of recipient countries to engage in development planning, except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.); and

Negative Determination with Conditions is issued to:

- Small scale construction, renovation and furnishing of office space occupied by government offices including criminal courts, the Public Ministry, National Civilian Police stations and other public service and civil society offices that work on justice and security related issues. Small-scale infrastructure construction and renovation and refurbishing, have the possibility of generating solid waste, creating minor soil erosion and exposing workers to health hazards,
- Infrastructure activities related to improving the safety of select communities in high crime areas also have the potential environmental impacts of generating solid waste, creating minor soil erosion and exposing workers and communities' members to health hazards.

Upon identification of site-specific actions, the offeror shall develop an Environmental Mitigation and Monitoring Plan (EMMP) to be submitted to the Agreement Officer's Representative (AOR) for approval by the Mission Environmental Officer (MEO) and Regional Environmental Advisor (REA) prior to implementation (instructions and formats for the EMMP included in Annex 3)

Chapter 2 of USAID LAC Environmental Guidelines for small scale construction will be applied by implementing partners executing this kind of activities.

In addition, the applicant should take into account:

- a. The recipient must comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.
- b. As part of its initial work plan, and all annual performance reports (including annual work plans) thereafter, the recipient, in collaboration with the USAID AOR and MEO, REA or Bureau Environmental Officer (BEO) as appropriate, shall review all on-going and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- c. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, 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.
- d. Any on-going activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is written and approved by USAID.
- e. A provision for sub-grants is included under this RFA requiring the selected recipient to use the Table 1 (Environmental Screening Form) of the EMMP to screen grant proposals to ensure that the funded proposals will result in no adverse environmental impact, to develop necessary mitigation measures and to specify monitoring and reporting. Use of Table 1 is called for when the nature of the grant proposals to be funded is not known well enough, 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 Table 1 checklist is completed by the recipient and approved by USAID.
- f. The recipient is responsible for ensuring that mitigation measures specified by the EMMP checklist process are implemented and addressed in annual reports.
- g. The recipient will be responsible for periodic reporting to the USAID Agreement Officer's Representative, as specified in the Schedule of this RFA.
- h. Cost and technical applications must reflect environmental documentation preparation costs and approaches where applicable. This may include costs towards the preparation of an Environmental Mitigation and Monitoring Plan (EMMP). Guidance is available to assist with the EMMP process during the post award stage.

17. Construction activities

USAID anticipates implementing construction activities under this project.

Construction activities will consist of small-scale construction or infrastructure refurbishment to improve existing spaces such as water collection systems, sports facilities, community centers, schools or health clinics. Construction activities are subject to the limitations specified in Automated Directives System (ADS) 303.3.30 "Limitation on Construction under Assistance." The selected Recipient must comply with the USAID environmental requirements. Small scale construction refers to construction or repair of

facilitates where the total surface area of the disturbed environment is under 10,000 square feet and less than \$200,000 total cost.

The Agreements officer will provide approval to the construction activities (including specifications and materials) once they are identified.

END OF SECTION F - FEDERAL AWARD ADMINISTRATION INFORMATION

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

The Agreement Officer for this Award is:

Ms. Dion L. Glisan
Agreement Officer
USAID/Guatemala

The A&A Specialist for this Award is:

Ms. Fabiola Loy
Acquisition and Assistance Specialist
USAID/Guatemala
Email: guatemalaproposals@usaid.gov

END OF SECTION G - FEDERAL AWARDING AGENCY CONTACT(S)

SECTION H: OTHER INFORMATION

LIST OF ANNEXES

Annex 1 – Illustrative Indicators for the Community Roots Project

Annex 2 – Gender Analysis for USAID’s Citizen Security Development Objective

Annex 3 – Guidelines for implementing partners on the USAID LAC Environmental Mitigation and Monitoring Plan (EMMP)

Annex 4 – Partner Vetting - AID form 500-13

Annex 5 – USAID Guatemala Strategic Communications Results Framework

Annex 6 – Branding Strategy and Marking Plan Template

Illustrative Indicators for the Community Roots Project

Result 1.1: Treatment communities have developed and are implementing violence and migration prevention plans.

Illustrative Indicators

- Number of community prevention plans operationalized.

Result 1.2: Strengthen communication and interaction between treatment communities and government officials, i.e., municipal authorities, COCODES, police.

Illustrative Indicators

- Percentage of people who express confidence in municipal authorities.

Result 1.3: Increased civic engagement in treatment communities

Illustrative Indicators

- Percentage of people in target communities who indicate that they have participated in community events – disaggregate by type of event, i.e., sports event, religious events, activities to benefit the community, and by population groups, i.e., gender, age.

Result 1.4: Reduction of citizen insecurity in treatment communities

Illustrative Indicators

- Percentage of people who report having been victim of violence in the last three months.
- Percentage of people who report avoiding parts of the neighborhood for fear of violence or crime.

Result 1.5: Increased provision of prevention programming/services in treatment communities.

Illustrative Indicators

- Percentage change in enrollment in services related to gender, gender-based violence and families.
- Percentage change in enrollment of out-of-school youth in services.

Result 1.6: Reduced number of under-aged migration from targeted communities

Illustrative Indicators

- Percentage of households that report having sent children and under-aged youth to the U.S. in the last 12 months

Result 2.1: Establishment of inter-institutional violence and migration prevention commissions to manage prevention resources strategically in target municipalities.

Illustrative Indicators

- Number of treatment municipalities with inter-institutional and multi-stakeholder municipal-level prevention commissions.

Result 2.2: Development and implementation of municipal violence and migration prevention strategies and plans

Illustrative Indicators

- Number of targeted municipalities that have updated and operationalized municipal violence and migration prevention strategies and plans.
- Number of targeted municipal offices that draft and implement a communication strategy to promote violence prevention projects.

Result 2.3: Promote and strengthen community-based policing.

Illustrative Indicators

- Percentage of community prevention commissions in treatment communities with representation from PNC.
- Degree of public confidence in police in treatment communities.

Result 3.1: Increased private sector investment in target municipalities

Illustrative Indicators

- Amount of private funds invested in the implementation of municipal and community violence and migration plans in target municipalities.
- Number of youth from target communities who received private-sector scholarships to attend school.

Result 3.2: Increased job-creation programs with private sector participation.

Illustrative Indicators

- Number of participating youth who find work with participating private sector partner.
- Number of participating youth who develop Small- or Micro-Enterprise.

Result 3.3: Increased flow of community remittances for economic and social development activities to target municipalities.

Illustrative Indicators

- Amount of community remittances invested in the implementation of violence and migration plans in target municipalities.

Result 4.1: Strengthened Secondary Prevention Service Providers in target communities.

Illustrative Indicators

- Number of capacity-building opportunities (trainings, awareness campaigns, briefing materials, etc) for communities, stakeholders, local governments, and service providers on differentiated prevention approaches, medical and psycho-social research for enhanced results in violence prevention.
- Percentage of USG-funded NGO or other international organization projects that include activities or services designed to reduce specific risks or harm to vulnerable populations
- Number of service providers and networks actively engaged within the family support network per community.

Result 4.2: Increased participation in cultural, community, educational, employment, or sports activities by targeted at-risk youth

Illustrative Indicators

- Number of vulnerable people benefitting from USG-supported social services.
- Number of activities that foster community participation in culture and sports.
- Number of at-risk youth participating in an education or vocational program.

Result 4.3: Develop a secondary prevention model that can be utilized by target community stakeholders.

Illustrative Indicators

- Systematization of the secondary prevention experience (including a tool kit that could aid replication of experiences) documented and disseminated.
- Amount of usable baseline data gathered and shared through knowledge management system.
- Level of usability and ease of implementation of secondary violence prevention as assessed through community perception studies.

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 world²⁹.

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

²⁹ UNFPA, Gender Equality.

Guatemala City, where gang members may “punish” a rival by murdering his girlfriend, sister or mother.

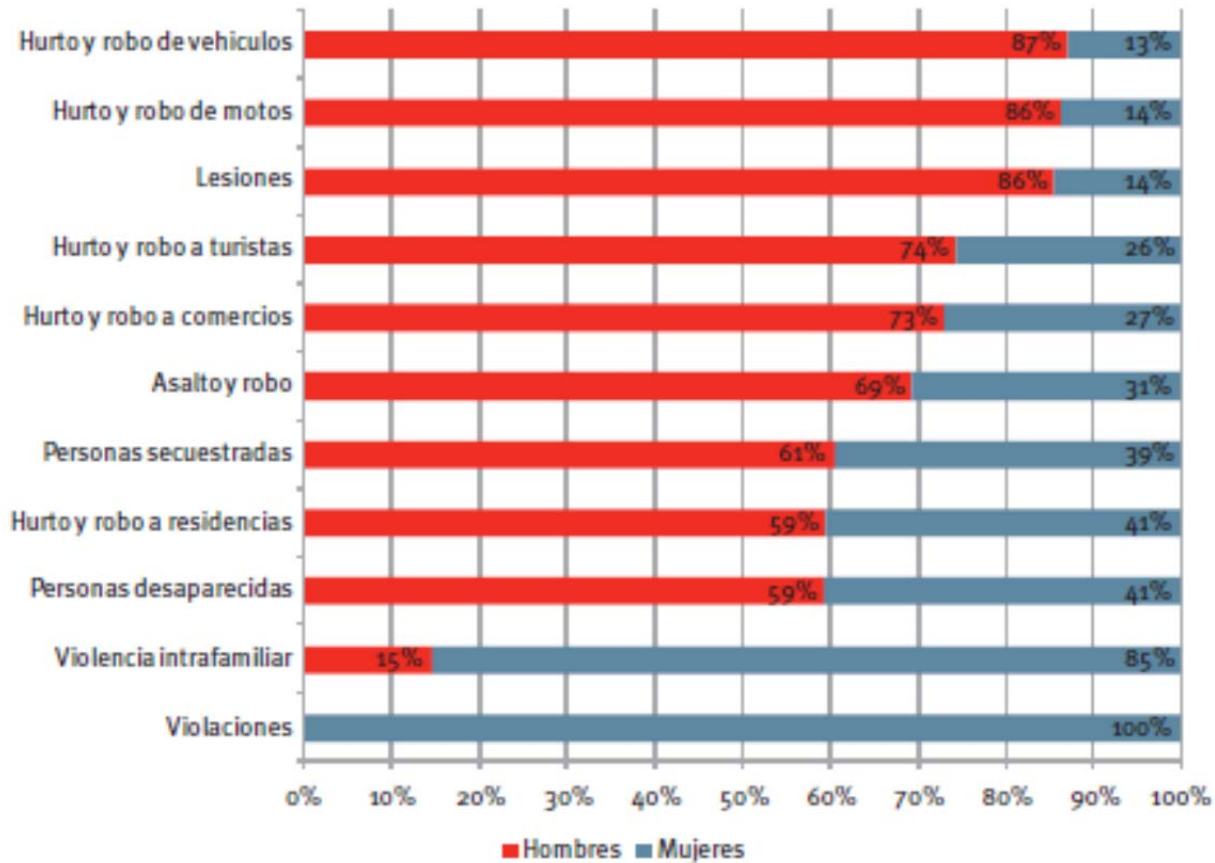


Figure 1: Distribution of Crime Victimization by Sex. Source: Restrepo and Tobon Garcia, page 60.

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
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Table 1: Homicide Rate by Sex. Source: CABI

A report³⁰ 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 2010.³¹ 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.³² 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.³³

³⁰ El Centro de Análisis Forense y Ciencias Aplicadas. *Análisis Criminalístico de los Homicidios de Mujeres en Guatemala*. (no date, estimated 2007 or 2008).

³¹ <http://www.ipsnews.net/2012/01/guatemala-heeds-the-cries-of-femicide-victims/>

³² "For Women's Right to Live Program," Guatemala Human Rights Commission-USA.

³³ Musalo, Karen, Elisabeth Pellegrin, and S. Shawn Roberts. "Crime Without Punishment: Violence Against Women in Guatemala." *Hastings Womens Law Journal*. April 19, 2010.

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.³⁴ In 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.³⁵ 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.³⁶

In more general terms, analysts agree on numerous factors underlying the violent deaths of women over the past decade³⁷:

- 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.

³⁴ "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.

³⁵ http://www.monitor.upeace.org/innerpg.cfm?id_article=893

³⁶ Secretaria Presidencial de la Mujer, Op. Cit., No page numbers

³⁷ Musalo, Karen; Pellegrin, Elisabeth; Roberts, S. Shawn. *Crimes without Punishment: Violence against Women in Guatemala*. Hastings Women's Law Journal. 2010.

Potential Program Responses:

- Integrate GBV prevention into Community Resilience programs. Support GBV prevention programs among youth --starting with schoolchildren and extending to out-of-school youth at risk of joining gangs/organized crime-- to change the norm that intra-familiar 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)³⁸. A 2012 survey found that 94% of crime victims reported the perpetrator to be male³⁹.

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

³⁸ UNDP. *Informe Estadístico de la Violencia en Guatemala*. 2006.

³⁹ Restrepo, Jorge and Alonso Tobon Garcia (Eds.). *Guatemala en la Encrucijada: Panorama de una Violencia Transformada*. Small Arms Survey/Conflict Analysis Resource Center. 2012.

decision-making⁴⁰. 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 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.⁴¹ 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%			

⁴⁰ 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.

⁴¹ <http://www.insightcrime.org/news-briefs/women-role-guatemala-extortion>

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

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

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 report⁴² 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 violence⁴³. 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 (PANOVİ) 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.⁴⁴

⁴² Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

⁴³ Severe violence includes striking with fist or object, kicking or dragging, choking, threatening or wounding with a weapon.

⁴⁴ Freedom House Countries at the Crossroads, 2012.

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 result⁴⁵. In the most extreme circumstances, domestic violence leads to the 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 suicide⁴⁶. 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 UNICEF⁴⁷ 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 to⁴⁸. 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:

⁴⁵ Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

⁴⁶ Ibid.

⁴⁷ UNICEF. *Behind Closed Doors: The Impact of Domestic Violence on Children*. 2006.

⁴⁸ Pan American Health Organization and Center for Disease Control. *Violence against Women in Latin America and the Caribbean*. 2012.

- Educate the next generation of Guatemalans – norm change is easiest to accomplish with young children and adolescents.
- 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.⁴⁹

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.⁵⁰ 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

⁴⁹ Freedom House Countries at the Crossroads, 2012

⁵⁰ <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 include⁵¹:

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

⁵¹ Aguilar-Umana, Isabel and Jeanne Ridders. *Violent Women and Violence against Women Gender Relations in the Maras and other Street Gangs of Central America's Northern Triangle Region*. Interpeace. 2012.

- Desire for recognition
- 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 study⁵² 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 study⁵³ 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

⁵² Weinberger, Katinka and Johannes Jutting. *Women's Participation in Local Organizations: Conditions and Constraints*. World Development 29(8). 2001.

⁵³ 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.⁵⁴

- 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

⁵⁴ 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

investigated⁵⁵. 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.⁵⁶

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.

⁵⁵ Beltran, Adriana and Laurie Freeman. *Hidden in Plain Sight: Violence against Women in Mexico and Guatemala*. Washington Office on Latin America. 2007.

⁵⁶ 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%⁵⁷. 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

⁵⁷ 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 2008⁵⁸.

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:

⁵⁸ 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.

Key Informant Interviews – February 2013 – USAID/Guatemala Gender Analysis for PADs

No.	Names	Organization	Sector(s)
1.	Ana Victoria Román	INCAP	AGR, ENR
2.	Iván Buitrón Ligia Rosales	AGEXPORT Project	AGR, ENR
3.	Leslie Marroquin Isabel Moraán (CONFECOOP) Carlos Lima	ANACAFE	AGR, ENR

4.	Daniela Martínez Connie de Paiz	Vital Voices	AGR, ENR, CS
5.	Ingrid Schreuel Timoteo López	Independent Consultants	AGR, ENR, CS
6.	Paula Broll Alejandra Colom Ana Lucia Rodriguez	Population Council	AGR, ENR, CS
7.	Elizabeth Quiroa	SEPREM	CS
8.	Pedro Carrillo	USAID	ENR
9.	Alejandro Santos	Rainforest Alliance	ENR, CS
10	Maria Teresa (Mayte) Rodriguez	Fundación Guatemala	ENR, EDU, CS
11	Gloria Laynez Rosa Choguaj	DEMI	EDU, CS
12	Norma Cruz	Fundación Sobrevivientes	CS
13	Daniel Cifuentes Hector Ruiz Eric Basilion	CONJUVE	CS
14	Sandra Arroyo	CONRED	ENR
15	Alba Trejo	Comisionada Presidencial para el Tema de Femicidio	CS, Health
16	Ana Silvia Monzón	FLACSO	CS, ENR, AGR
17	Elena Hurtado	Nutrisalud	Health
18	Zulma Subillaga Dubón	Secretaría Contra la Violencia Sexual, Explotación y Trata de Personas	CS, Health
19	Armida Tejeda	Proyecto Prevención de la Violencia	CS, Health
20	Herminia Reyes Susana Palma Marisela de la Cruz	H&E Policy Project	Health, EDU
21	Mario Aragón Arnoldo Melgar Amalia Alberti	ANACAFE	AGR, ENR



Guidelines for Implementing Partners

USAID/Latin American and Caribbean Bureau (LAC) ENVIRONMENTAL MITIGATION and MONITORING PLAN (EMMP)¹

November 19, 2015

A. Background

Definitions

Activity - Overall USAID action being undertaken through a particular implementing mechanism

Intervention - Discrete actions undertaken to accomplish activity goals

Component - A sub action required to complete an intervention

All activities funded by USAID must conform to its environmental procedures outlined in 22 CFR 216, which require Initial Environmental Evaluations (IEE) to ensure that “environmental factors and values are integrated into the USAID decision-making process” and that “the environmental consequences of USAID-financed activities are identified and considered by USAID and the host country prior to a final decision to proceed and that appropriated environmental safeguards are adopted”.

All USAID activities funded through USAID’s Latin America and the Caribbean (LAC) Missions are issued an Environmental Threshold Decision (ETD) by the Bureau Environmental Officer (BEO) pursuant to the IEE as per 22 CFR 216.3(a) 2. One category of Threshold Decision is the Negative Determination (22 CFR 216.3(a) 3, which is given to projects that are not “found to have a significant effect on the environment” when certain conditions are in place. In LAC, the development of an Environmental Mitigation and Monitoring Plan (EMMP) is often one of the conditions set forth in the Negative Determination with Conditions (NDWC) ETD. The EMMP ensures compliance with 22 CFR 216 by identifying and mitigating environmental effects of USAID activities and by meeting

¹ This replaces all previous Environmental Mitigation Plan and Report (EMPR) forms

any other conditions specified in the applicable ETD. It is also used for any sub-award interventions where the specific actions of sub-award are not yet identified at the time of award. In addition, Table 3 of the EMMP form can be used as a Mitigation and Monitoring Plan for Environmental Assessments (EA).

Activities carried out by implementing partners (IPs) of USAID/LAC Missions include a range of discrete interventions under various awards that will likely have a risk for significant environment effects. Examples include interventions such as infrastructure refurbishment or medical waste management. This EMMP procedure will provide for both the screening for environmental risk, the preparation of a mitigation plan and reporting on monitoring of these mitigation measures. Gender and persons with disabilities are also considered as social impact factors in the development of a mitigation plan as these have a direct bearing on the type and kind of mitigation measure to be prescribed. Global Climate Change (GCC) and its impact on the project, as well as the project's to exacerbate GCC is also a consideration within the EMMP process. Finally, the EMMP is an effective tool for applying USAID's Sector Environmental Guidelines to an activity or program which has been developed as per 22 CFR 216.3(a)3(iii). (<http://www.usaidgems.org/sectorguidelines.htm>).

The EMMP initially categorizes interventions into three risk categories: No Risk, Medium Risk, and High Risk. Those with No Risk can continue without further review upon completion of the Table 1 screening form and review and approval of the risk analysis by the Agreement/Contract Officer's Representative (AOR/COR) and the Mission Environment Officer (MEO). The EMMP typically deals with those interventions at Medium Risk (see *Figure 2*). Those with High Risk must be reconsidered for the need of an EA. Risk is further defined in section C1 below.

Most awardees that receive a Negative Determination with Conditions ETD will be required to fill out an Environmental Mitigation and Monitoring Plan (as attached) per intervention type that includes:

1. Narrative (Justification/Background, Baseline Information/Existing Conditions, Description of Activities, and Social Considerations sections must be completed at a minimum).
2. The Environmental Screening Form (Table 1),
3. The Environmental Mitigation Plan (Table 2), and
4. The Environmental Monitoring Table (Table 3).

AOR/CORs, Activity Managers, and Implementing Partners can work with the USAID MEO to ensure that environmental effects are sufficiently identified and mitigation actions are agreed upon, including clear guidance on the procedures for GCC and social considerations, where and appropriate.

B. Timing of EMMP

All solicitations for activities that fall within the NWDC will include this document as part of the solicitation package as per the ADS 204 annex regarding solicitation language. As per direction outlined here and in the Environmental Considerations section of all solicitation, potential applicants must present a draft EMMP with their submission. This is important, as the funding for mitigation implementation identified in Table 3 must be incorporated in the applicant's proposal budget. The draft EMMP can also serve as a criterion for selection by the Technical Evaluation Committee reviewing proposals.

Once the Implementing Partner (IP) is chosen, the applicant submits a revised initial EMMP or contractor to the AOR/COR at the time the initial work plan is submitted. **The MEO, and the Regional Environmental Advisor (REA) must approve this EMMP before work can commence.** For sub-awards, the awardee is required to fill out the EMMP and submit it for approval to the Chief of Party (COP). The COP then submits the EMMP for review and final approval to the AOR/COR and MEO. **Implementation of interventions shall not occur until final approvals of the EMMPs are received.**

A format for this initial EMMP can be seen in attachment 1; it includes:

1. An initial screening process using the "Environmental Screening Form" (Appendix 1, Table 1) to assure the intervention is at the Medium Risk Level.
2. The identification of potential impacts and related mitigation measures using the "Environmental Mitigation Plan" (Appendix 1, Table 2) for each component of the intervention.
3. The Environmental Monitoring Table (Appendix 1, Table 3) includes the necessary mitigation measures to be monitored, the monitoring indicators, who will conduct the monitoring, and when will the monitoring occur. Table 3 also includes a monitoring chart that documents who conducted the monitoring and the effectiveness of the mitigation measures.

At the end of each year of implementation, the EMMP is resubmitted with the same information as provided initially, along with a report reflecting the status of implementation and effectiveness monitoring of the identified mitigation measures using the "Environmental Monitoring Table" (Appendix 1, Table 3). This serves as the Annual Environmental Compliance Report (ECR) required by most implementing mechanisms. The ECR can be part of the annual Report required for the overall Activity as per the award requirements.

Results from the ECR are subsequently incorporated into a revised EMMP that shall be submitted to the AOR/COR for approval by the MEO/REA that reflects any new interventions in the activity's second year work plan along with any changes to mitigation measures based on the prior year's monitoring. This process of submitting the EMMP monitoring report at the end of the year, together with a revised EMMP that reflects the following year's work plan, is repeated each year until the close of the activity (See Figure 1).

C. Initial Environmental Mitigation and Monitoring Plan

1. Classification of Level of Risk

Different interventions under an award can have varying levels of risk for environmental effects and therefore require different courses of action (Figure 2). No-risk interventions, classified under "a" below, do not require the development of an Environmental Mitigation Plan (Table 2) or an Environmental Monitoring Table (Table 3) and could be covered under a Categorical Exclusion (22 CFR 216.2(c)). The AOR/COR should consult with the MEO to determine if the action in question has already received Categorical Exclusion or if one must be requested from the BEO. Interventions identified as Medium-risk ("b") require the IP to screen those potential environmental effects and develop a plan to mitigate them. High-risk interventions ("c") include interventions that have irrevocable change and/or cannot be mitigated by the implementation of industry standards, best management practices, or design specific implementation standards and, therefore, are considered to have significant environmental effects that will require an EA (22 CFR216.2 (d)).

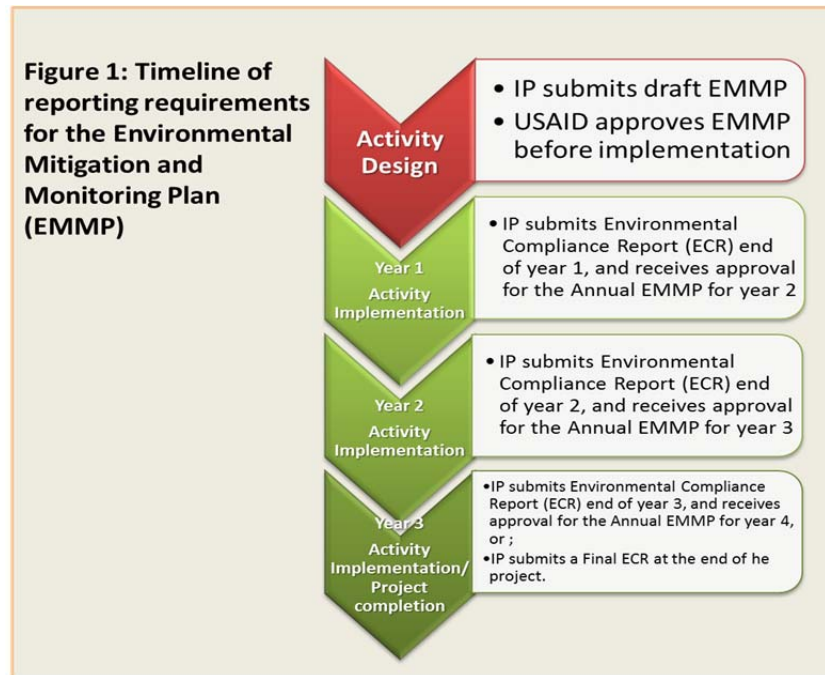
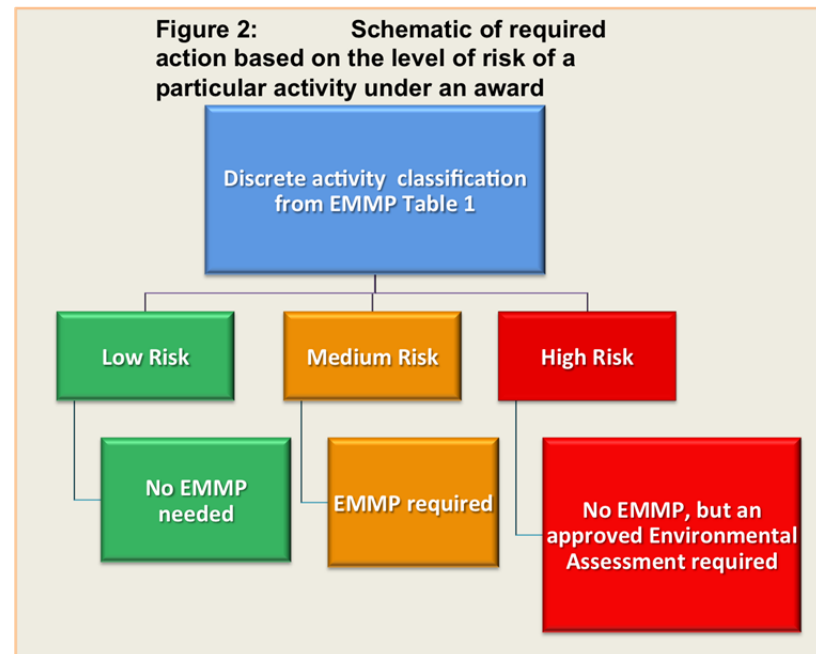


Figure 2 below depicts schematic of required action based on the level of risk of a particular intervention under an award. Note: all sub-award interventions are required to have an EMMP completed. If all questions on Table 1 are checked No, then the sub-award intervention falls under the low risk category and implementation could start directly without further analysis, pending approval of the work plan by the AOR/COR and MEO.



a) Discrete interventions that do not require mitigation plans (No-Risk):

An illustrative list of no-risk discrete intervention where no mitigation reporting is required includes:

- Education or training, unless it implements or leads to implementation of actions that impacts the environment (such as construction of schools or use of pesticides)
- Community awareness initiatives
- Controlled research/demonstration activities in a small area
- Technical studies or assistance (unless actions include agriculture and pesticides)
- Information transfers

If there is a risk that the actual implementation of subjects learned during training could adversely affects the environment (e.g., training on agricultural techniques), the training is expected to include as part of its curriculum, an analysis of environmental effects a plan for mitigation. Mitigation measures such as Good Agricultural Practices/Best Management Practices would need to be identified for use in training as a mitigation measure and listed in Table 2 of the EMMP.

Many discrete interventions under an agreement will fall between the two extremes of low and high risk and may cause some significant environmental effects that can be avoided or mitigated with proper planning. For these interventions, the IP will be responsible for completing the EMMP on an annual basis.

b) Discrete interventions that cannot be supported (High-Risk):

Under USAID's Environmental Procedures, if there is a proposed action that may have significant environmental effects, an approved EA is required prior to its implementation (22 CFR 216.2(d)1). In the case of pesticide use, a Pesticide Evaluation Report and Safer Use Action Plan (PERSUAP) will be prepared by the partner and approved by the LAC BEO (22 CFR 216.3(b)). Such interventions include, but are not limited to:

- Agricultural, livestock introduction or other activities that involve forest conversion
- Resettlement of human populations
- Construction of water management systems such as dams or impoundments
- Drainage of wetlands
- Introduction of exotic plants or animals in protected areas
- Permanent modification of the habitat supporting an endangered species
- Industrial level plant production or processing (this does not include community or regional plant nurseries aimed at restoring areas after fires, for example)
- Installation of aquaculture systems in sensitive water bodies including rivers, lakes, and marine waters (not land-based fish ponds)
- Procurement of timber harvesting equipment, including chainsaws
- Use of restricted use pesticides (insecticides, herbicides, fungicides, etc.)
- Large-scale reconstruction in un-degraded lands, such as within protected areas
- Large-scale new construction (over 1,000 meters²)
- Timber harvesting, or cutting of trees over 20 cm diameter breast height related to forest management or for commercial products.
- Construction of penetration roads and/or reroutes

c) Cumulative Effects

Even though individual interventions may be considered medium risk, when those interventions are analyzed in terms of other USAID actions and/or other non-USAID actions that are likely to occur, cumulative effects must be considered and may require the development of an EA.

d) Extraordinary circumstances

Certain extraordinary circumstances must be considered and may require an EA. These include

- impacts to sensitive terrestrial or aquatic areas (see question 14)
- impacts to unique cultural or historical features (see question 28)

2. Environmental Screening Form

The Environmental Screening Form (Appendix 1, Table 1) contains information relevant to the potential environmental effects over the life of the intervention with regard to natural resources, the environment, and human health. If items in Column “A” of the Environmental Screening Form are checked “YES”, then items for monitoring and mitigation are to be specified in the “Environmental Mitigation Plan” (Appendix 1, Table 2). The Environmental Mitigation Plan simply outlines the plan of action for mitigation of potential environmental effects. If all Column A is checked “NO”, then Tables 2 and 3 are not required to be completed and the intervention can begin **upon approval from the COR/AOR and MEO**. When all of Table 1 questions are checked “NO”, the MEO must ensure that the intervention listed in the “Description of Activities” narrative section truly will not cause impacts to the environment. The MEO must also ensure that all of the actions for the intervention are listed in the Narrative and that each action is covered in Table 1.

For reference on mitigation information on a wide variety of discrete interventions, refer to the USAID/GEMS Sector Environmental Guidelines. <http://www.usaidgems.org/sectorGuidelines.htm>. Illustrative sector-specific guidelines also include: WHO guidelines for handling and disposal of medical waste, “[Low-Volume Roads Engineering: Best Management Practices Field Guide \(Keller and Sherar, 2003\)](#)” and the World Wildlife Fund Agriculture and the Environment, A WWF Handbook on Agricultural Impacts and Better Practices (Clay, 2004).

D. Annual Environmental Compliance Report

As per terms and conditions of all awards with USAID, each implementing partner is expected to submit an Annual Report, which normally requires an ECR. If an EMMP has been developed, it should be used to fulfill this requirement. The ECR should contain information relevant to the potential environmental effects over the life of a discrete intervention under an award and includes: a) a copy of the initial EMMP completed during the initial intervention planning (reference Section B above); b) the prescribed mitigation measures using the “Environmental Mitigation Plan (Appendix 1, Table 2)”; and c) synthesized data on these mitigation measures collected throughout the year and tracked in the “Environmental Monitoring Table (Appendix 1, Table 3)”. As it is often difficult to quantitatively measure progress of complex mitigation measures, it is necessary to include inserted digital photos (with relevant maps) to describe progress of mitigation measures.

E. Sections of the EMMP

1. EMMP Coversheet
2. EMMP Narrative (to be filled out with intervention specific information). NOTE: details for each of the actions to be implemented must be listed in the “Description of Activities” section of the Narrative.
3. Appendices:
 1. Environmental Screening Form (Table 1)
 2. Environmental Mitigation Plan (Table 2)
 3. Environmental Monitoring Table (Table 3)
 4. Photos, Maps, Level of Effort

Reference: February 8, 2007; L. Poitevien (USAID/Haiti), M. Donald (USAID/Dominican Republic), E. Clesceri (USAID/Washington).
Guidelines for Implementing Partners on the USAID Haiti Environmental Mitigation Report.

USAID/LAC ENVIRONMENTAL MITIGATION and MONITORING PLAN (EMMP)

A. Coversheet for ENVIRONMENTAL MITIGATION and MONITOR PLAN (EMMP)

USAID MISSION DO # and Title: _____

Title of IP Activity: _____

IP Name: _____

Award Number: _____

Funding Period: FY_____ - FY_____

Associated IEE/ETD: _____

Life of Activity Funding (US\$): _____

Title of Discrete Intervention _____

Report Prepared by: Name:_____ Date: _____

Date of Previous EMMP: _____ (if any)

Status of Fulfilling Mitigation Measures and Monitoring:

Yes No
____ ____ Initial EMMP.

____ ____ Annual EMMP.

USAID Mission Clearance of EMMP for XXX Intervention:

Contract/Agreement Officer's Representative: _____

Date: _____

Mission Environmental Officer: _____

Date: _____

Regional Environmental Advisor: _____

Date: _____

B. Environmental Mitigation and Monitoring Plan Narrative

1. Background, Rationale and Outputs/Results Expected:

Provide a brief summary of the intervention(s) under consideration and expected results.

2. Environmental Baseline:

Describe the existing condition of the area of the intervention. This should include a description of/baseline information on the natural and physical resources that could potentially be affected by the intervention. Provide information on the existing infrastructure, roads, and agricultural systems, etc. if relevant to the intervention. Succinctly describe location, site details; surroundings (include a map, even a sketch map). Include information on any "unique or extra-ordinary" resources that are within the intervention area such as wetlands, critical habitat, etc. Include information on the existing climate trends and conditions such as how might environmental conditions change due to climate change for the life of the intervention and expected lifespan of the interventions? Describe how the intervention will involve men, women, and indigenous cultures whose actions during the life of the intervention may have a direct effect the environment, or how the actions of the intervention may have an impact on them. Methodologies for data collection and analysis for gender-sensitive implementation and monitoring of interventions are encouraged.

3. Activity Description/Specific Actions to be implemented:

Provide both quantitative and qualitative information about actions to be undertaken during the intervention (e.g. specific actions of construction-size, location, and type of materials to be used, etc.), types of agriculture production (full till mechanized, organic etc.), how the intervention will operate, and any connected interventions that are required to implement the primary interventions (e.g., road to a facility, need to quarry or excavate borrow material, need to lay utility pipes to connect with energy, water source or disposal point or any other intervention needed to accomplish the primary one but in a different location). If various alternatives have been considered and rejected because the proposed intervention is considered more environmentally sound, explain these.

Example:

New construction of a 900 square meter youth center located in XXX town and is 70 meters from the River XXX. Construction will be of block and cement with rebar reinforcing. Construction will include a new two-stall toilet and sinks using town water source from pipes. A 20 square meter biodigester will be used to capture waste and methane gas piped to the youth center kitchen for use as cook fuel. Biodigester will be underground and built of concrete by molds. Electrical wiring for the youth center will be installed with the power source by solar panels on the zinc roof and batteries/electrical circuits located attached to the center in a closed and locked storage room.

Interventions with sub-awards require a specific EMMP for each award.

4. Evaluation of the Potential for Environmental Effects (Tables 1 and 2):

As a component of conducting environmental screening and developing the Environmental Mitigation Plan (Appendix 1, Table 2), briefly summarize environmental effects that could occur before, during, and after implementation, as well as any problems that might arise with restoring or reusing the site, if the facility or intervention were completed or ceased to exist. Explain direct, indirect, and cumulative effects on various components of the environment (e.g., air, water, geology, soils, vegetation, wildlife, aquatic resources, historic, archaeological or other cultural resources, people and their communities, land use, traffic, waste disposal, water supply, energy, climate change adaptation, climate change mitigation, etc.). Indicate positive impacts and how the natural resources base will be sustainably improved.

For example, any intervention that increases human presence in an area, even temporarily, will increase noise, waste, and the potential for hunting, timber harvesting, etc.

5. Environmental Mitigation Actions (Tables 2 & 3):

For the Initial EMMP, summarize the mitigation measures in the “Environmental Mitigation Plan” (Table 2) and briefly describe how these measures will be monitored in the “Environmental Monitoring Table” (Table 3). Ensure that Table 3 includes the cost of implementing and monitoring each of the mitigation measures listed.

For the Annual EMMP, describe the effectiveness of mitigation measures based on monitoring. For example:

- a) What mitigation measures have been put in place? How is the success of mitigation measures being determined (i.e., indicators)? Explain if and why the mitigation measures are not working or not effective? What adjustments need to be made?

- b) What is being monitored, how frequently and where, and what action is being taken (as needed) based on the results of the monitoring?

6. Social Considerations

Gender equality is a USG-wide priority and USAID has, and will continue to take a lead role in that effort. Integrating gender considerations into all stages of planning, programming, and implementation of development assistance is not only a legal mandate; it is an essential part of effective and sustainable development. The Automated Directive System (ADS) 201 sets out specific requirements to help ensure that appropriate consideration is given to gender as a factor in development planning at the Development Objective and the Intermediate Results level of Development Objectives all the way down to the interventions level. This programming policy includes clear guidance on the procedures for gender integration where determined to be appropriate.

Additionally, the USAID Disability Policy Paper (http://pdf.usaid.gov/pdf_docs/PDABQ631.pdf) sets out specific requirements to help ensure that appropriate consideration is given to persons with disabilities as a factor in development planning at the Development Objective and the Intermediate Results level of Development Objectives all the way down to the intervention level. Therefore, gender and persons with disabilities considerations are included in the EMMP checklist to ensure intervention implementation adheres to agency priorities and mandate. Additional information can be found at the following website: http://www.usaid.gov/sites/default/files/Guide_How_Integrate_Disability_Gender_Assessments_2010.pdf. Impacts on indigenous cultures and their traditions should also be considered.

Ultimately, consideration of social issues helps avoid significant environmental effects (see 216.3 (a)(3)(iii)). Environmental mitigation measures should be specifically designed to take in account social issues such as gender and persons with disability, thus ensuring greater success of the mitigation measure and greater long-term sustainability of the intervention. The impacts and roles of women and children should be also taken into consideration when completing Table 2 regarding environmental (social) impacts and designing mitigation measures.

7. Climate Change Integration

Climate change impacts all areas of development and is often considered both a threat and a driver to many activities that USAID supports. Good climate change integration is part of good activity design. In addition, Executive Order 13677: "Climate-Resilient International Development" encourages integration of the Agency's GCC Initiative (GCC) of mitigation and adaptation principles throughout its portfolios. Therefore, GCC impacts (to the intervention and from the intervention implementation) shall also be considered. Actions that would minimize GCC impacts shall be included in the list of mitigation measures to be implemented.

Appendix 1. Environmental Screening Form (Table 1)

Name of intervention: _____ Implementing Partner: _____ Award Number: _____ Date: _____ Relevant IEE/ETD#: _____		Column A	Column B	Column C	
		Yes	No	If answered yes to Column. A. Is it a high risk or medium risk	
				High Risk	Medium-Risk
INFRASTRUCTURE (Buildings, roads, WASH, etc.)					
1	Will the intervention involve construction and/or reconstruction/rehabilitation of any type of building? For new construction, if less than 1,000 m ² = medium risk, if greater than 1,000 m ² = high risk. ¹				
2	Will the intervention involve building penetrating roads, road rehabilitation and maintenance or other road related infrastructure (drainage, bridges, etc.)? If penetrating road construction/rerouting = high risk ² , if repair/rehabilitation (improving drainage, resurfacing of existing roads) = medium risk.				
3	Will the intervention involve construction or rehabilitation of water and sanitation infrastructure (irrigation systems, potable water, water harvesting, septic systems etc.). Potable water systems require testing for bacteria, arsenic and other heavy metals.				
4	Will the intervention involve construction or rehabilitation of any other infrastructure such as landfills, incinerators, energy infrastructure, etc.				
5	Will the infrastructure intervention cost more than US \$500,000 ³ ? If YES, approval of a USAID Engineer is required as mitigation measures in Table 2. Additionally, compliance with FAA 611 is required (please consult with the mission legal advisor).				
6	Does the intervention require adherence to national building code or other national regulatory standard? Mitigation measures in Table 2.				
7	Does the intervention require local planning permissions (i.e. zoning, building permits, etc.)				

BIOPHYSICAL					
9	Will the intervention involve changes in water quality (pollution, sedimentation, stagnation, salinization, temperature change, etc.)				
10	Will the intervention affect surface or groundwater quantity				
11	Will the intervention involve training and/or implementation of agricultural practices/production including animal husbandry?				
12	Will the intervention involve aquaculture systems?				
13	Will the intervention involve the use or disposal of hazardous materials (used engine oil, paint, varnish, lead-based products, fluorescent light bulbs/mercury, batteries, asbestos or other hazardous or special management waste)? Consider effects to both the biophysical environment and human health.				
14	Will the intervention involve implementation of timber management ⁵ , extraction of forest products, clearing of forest cover, and/or conversion of forest land by cutting of trees >20cm diameter at base height (DBH)?				
15	Is the intervention in or near (within 50m ⁶) any sensitive terrestrial or aquatic areas including protected areas, wetlands, critical wildlife habitat (including nesting areas), and threatened or endangered species?				
16	Will the interventions proposed generate airborne particulates (dust), liquids, or solids (i.e. discharge pollutants) or potentially violate local air standards?				
17	Will the intervention create objectionable odors?				
18	Will the intervention occur on steep slopes (greater than 15%)?				
19	Will the intervention contribute to erosion?				
20	Will the intervention change existing land use in the vicinity?				
21	Is the proposed intervention incompatible with land type (i.e., annual crops on steep slopes, infrastructure on poorly drained soils)?				
22	Will the intervention affect unique geologic or physical features?				
23	Will the intervention have potential effects to inhabitants, natural landscapes, or flora/fauna downstream from the intervention site?				
24	Will the intervention have a direct or indirect effect, or include actions with mangroves, coral reefs and other marine/coastal ecosystems?				
GLOBAL CLIMATE CHANGE					
25	Are interventions or outcomes vulnerable to changes in the weather or climate such as changes in precipitation patterns, increased				

	temperatures or sea level rise?				
26	Does the intervention exacerbate climate change vulnerabilities (i.e., drought, flooding, decrease water supply)?				
27	Will the intervention create greenhouse gas emissions from decomposing waste, burning of organic matter, or use of fossil fuels etc. (consider duration and scale)				
SOCIO ECONOMIC					
28	Will the intervention contribute to displacement of people, housing or businesses?				
29	Will the intervention affect indigenous peoples and/or unique cultural or historical features?				
30	Will the intervention expose people or property to flooding?				
ENVIRONMENT & HEALTH					
31	Will the intervention create conditions encouraging an increase in illness, diseases, or disease vectors (waterborne, STDs or other)?				
32	Will the intervention generate hazards or barriers for pedestrians, motorists or persons with disabilities?				
33	Will the intervention involve the use, storage, handling or disposal of syringes, gauzes, gloves and other biohazard medical waste?				
34	Will the intervention expose workers to occupational hazards?				
35	Will the intervention increase existing noise levels?				
GENDER⁷					
36	Does the intervention inhibit the equal involvement of men and women?				
37	Do the intervention results disproportionately benefit/impact men and women?				
OTHER					
38	Does the intervention/activity involve a sub-award component? ⁸				
39	Is an operations and maintenance plan required? (for all type of infrastructure, equipment, road rehabilitation, or water and sanitation action = Yes)				

RECOMMENDED ACTION <i>(Check Appropriate Action):</i>		(Check)
(a)	The intervention has no potential for significant effects on the environment. No further environmental review is required (Categorical Exclusion). No further action required.	
(b)	The intervention includes mitigation measures and design criteria that if, applied will avoid a significant effect on the environment (Negative Determination with Conditions). EMMP Required.	
(c)	The intervention has potentially substantial or significant adverse environmental effects; therefore, an EA is required before intervention implementation (Positive Determination). NOTE: if any question is marked as High Risk, an EA is required and Tables 2 and 3 of the EMMP do not need to be completed.	
(d)	The intervention has significant adverse environmental effects that cannot be mitigated. Proposed mitigation is insufficient to eliminate these effects and alternatives are not feasible. The intervention is not recommended for implementation. *For sub awards, do not fund.	

¹Construction interventions need to be reviewed for scale, planned use, building code needs and maintenance. New construction having a footprint larger than 1000 meters² or 10,000 feet² is considered large scale and high risk. Some small construction interventions, such as building an entrance sign to a park, may require simple mitigation measures whereas larger buildings will require more extensive review and monitoring.

²New construction of roads are considered high risk and will require a full environmental assessment of the planned construction, i.e. a Positive Determination. Any reroutes of a road or trail longer than 100 meters is considered a high risk. Reroutes within a protected area, nearby a water source/wetlands, and/or archaeological site are considered a high risk.

³Pursuant to FAA, section 611, Completion of Plans and Cost Estimates.

⁴The purchases of packaged store pesticides are included. The planned procurement and/or use or training on the use of pesticides will trigger the need to develop an amended Initial Environmental Examination that meets USAID pesticide procedures (Pesticide Evaluation Report and Safer Use Action Plan or "PERSUAP") for the intervention.

⁵Any interventions that involve the commercial harvesting of trees or converting forests is considered high risk and will require a full environmental assessment of the intervention (i.e. Positive Determination). The reference to cutting trees of greater than 20cm dbh is for actions related to forest management and commercial forest products and not for individual trees being cut for construction or non-commercial purpose.

⁶Less than 50meters is based on best practices from US Federal and State regulations.

⁷A positive response to gender questions require follow up only when there are other positive responses on questions, and an EMMP is developed.

⁸If the intervention includes a sub-award component, each sub-awardee shall be required to prepare an EMMP prior to implementation of the sub-award.

Appendix 2. Environmental Mitigation Plan (Table 2)

Enter the Question/Row # of the potential negative effects with check marks in Column A (Table 1) and complete table below for mitigation measures to reduce or eliminate the issue. In the Sub-Activity or Component Column, list the main actions to be implemented. Under each action, list the tasks (Steps) that are needed to implement this action.

	Name of intervention: _____ Implementing Partner: _____ Award Number: _____ Date: _____ Relevant IEE/ETD #: _____		
# of the question from Table 1	Action or component with the different tasks required to implement the action.	Description of Environmental Effect	Environmental Mitigation Measures*
1	Component - Construction and maintenance of latrine		
	Step 1- design		
	Step 2- location		
	Step 3- purchase of materials		
	Step 4- build latrine		
	Step 5- site cleanup/disposal of construction waste		
	Step 6- use of latrine/operations and maintenance		
9	Component – Purchase and construction of a water storage system		
	Step 1		
	Step 2		
	Step 3		
	etc.		

* Please be as specific as possible. Sample mitigation measures are located in the USAID Sector Environmental Guidelines or other pertinent guidelines, see <http://www.usaidgems.org/sectorGuidelines.htm>. Details on exact monitoring plan are illustrated in Table 3, Environmental Monitoring and Evaluation Tracking Table.

Appendix 3. Environmental Monitoring Table (Table 3)

Award Number:
intervention Name:
Implementing Partner:
Location Name:
Nearby Communities:
Senior Activity Manager:
Monitoring Period:
Date:

	Description of Mitigation Measure (same as in Table 2)	Responsible Party for implementing and monitoring mitigation measures	Monitoring Methods			Estimated Cost of implement -ing mitigation measures and monitoring	Results			Recommended Adjustments
			Indicators of implementation and effectiveness of indicators	Methods	Frequency		Dates Monitored	Problems Encountered	Mitigation Effectiveness	



USAID
FROM THE AMERICAN PEOPLE

PARTNER INFORMATION FORM
(See Burden and Privacy Act Statements on Page 3)

Part I: Information About Proposed Activities		
1. Name of the prime contractor, grantee or recipient proposing the award or other assistance		
2. Type of proposed award or other assistance (check one): ☐ Contract or Subcontract ☐ Grant or Subgrant ☐ Training ☐ Equipment ☐ Other		
3. US\$ amount and estimated start/end date of proposed award or assistance: Dollar amount: \$ Start: End:		
4. Purpose of proposed award or assistance:		
5. Organization proposed to receive award or other assistance:		
a. Name:		
b. Address:		
c. Telephone:	d. Fax:	e. Email:
6. Information on key individuals associated with the organization named in 5 above, or, if no organization is listed, information on each individual to receive cash or in-kind assistance (including technical assistance). Use continuation sheets as necessary.		
** = mandatory information.		
A. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:	Is the individual a U.S. citizen or legal permanent resident?** Yes ☐ No ☐	
Part II: Contractor/Grantee/Recipient Certification:		
Contractor/Grantee/Recipient certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor/Grantee/Recipient understands that the U.S. Government may rely on the accuracy of such information in processing this vetting request.		
Name:		Signature:
Title/Organization:		Date:
Part III: Submission details (to be completed by USG vetting official)		
Vetting request number		
Staff member who initiated request		
Project name		
Date submitted for screening		

**Partner Information Form Continuation Sheet for Part I, Section 6: List of Individuals
(Use additional continuation sheets as necessary):**

B. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:		Is the individual a U.S. citizen or legal permanent resident?** Yes ☐ No ☐
C. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:		Is the individual a U.S. citizen or legal permanent resident?** Yes ☐ No ☐
D. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:		Is the individual a U.S. citizen or legal permanent resident?** Yes ☐ No ☐
E. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:
Current employer and job title:		Occupation:
Address of residence:		Citizenship(s):
Email:		Is the individual a U.S. citizen or legal permanent resident?** Yes ☐ No ☐

** Indicates mandatory information

PARTNER INFORMATION FORM INSTRUCTIONS

Part I

Question 1 – Self-explanatory

Question 2- Indicate the proposed type of mechanism to be utilized by placing a check mark on the line in front of the appropriate term

Question 3 – Enter the amount of award or assistance in U.S. dollars and indicate the start and end date of the program using a mm/dd/yyyy format

Question 4 – Indicate the purpose of the award or assistance. Use additional sheets and attach to page one of the vetting form if necessary

Question 5 a-e – Self-explanatory

Question 6 - “**Key individual**” means (i) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer and secretary of the board of directors or board of trustees); (ii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director, president, vice president); (iii) the program manager or chief of party for the USG-financed program; and (iv) any other person with significant responsibilities for administration of the USG-financed activities or resources. Note that this definition differs from the definition of “key personnel” under contracts and cooperative agreements. Complete for each of these four categories or indicate “N/A” if a category does not apply.

Part II

Individual filling out form must read the Certification and print their name where indicated, sign where indicated, print their title and the name of their organization where indicated, and print the date where indicated.

Part III

This section is not for individual's information and will be completed by the USG vetting official.

PUBLIC BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Agency for International Development, Office of Security (SEC), Washington, D.C. 20523-2600.

PRIVACY ACT STATEMENT

The following statement is required by the Privacy Act of 1974 (5 U.S.C. 522). Information in this form is used to conduct screening of individuals and entities as required by applicable U.S. laws and implementing procedures to ensure that USAID funds do not inadvertently provide support to entities or individuals associated with terrorism. Public Law 109-446 §3(b)(2), 18 U.S.C. 2339A, 2339B, 2339C, Executive Orders 13224 and 12947, applicable Homeland Security Presidential Directives and other legislative or executive branch prohibitions on providing support or resources to, or engaging in transactions with, individuals or entities associated with terrorism constitute the authority for collecting this information. In addition, the Foreign Assistance Act of 1961 as amended (22 U.S.C. 2151 et seq.) provides USAID with broad discretion in granting foreign assistance and permits USAID to consider a range of foreign policy and national security interests in determining how to provide foreign assistance.

Disclosure of the information provided on this form will be done in accordance with USAID's System of Records Notice concerning the Partner Vetting System (72FR136) which establishes the routine uses and Privacy Act exceptions which apply to this system.

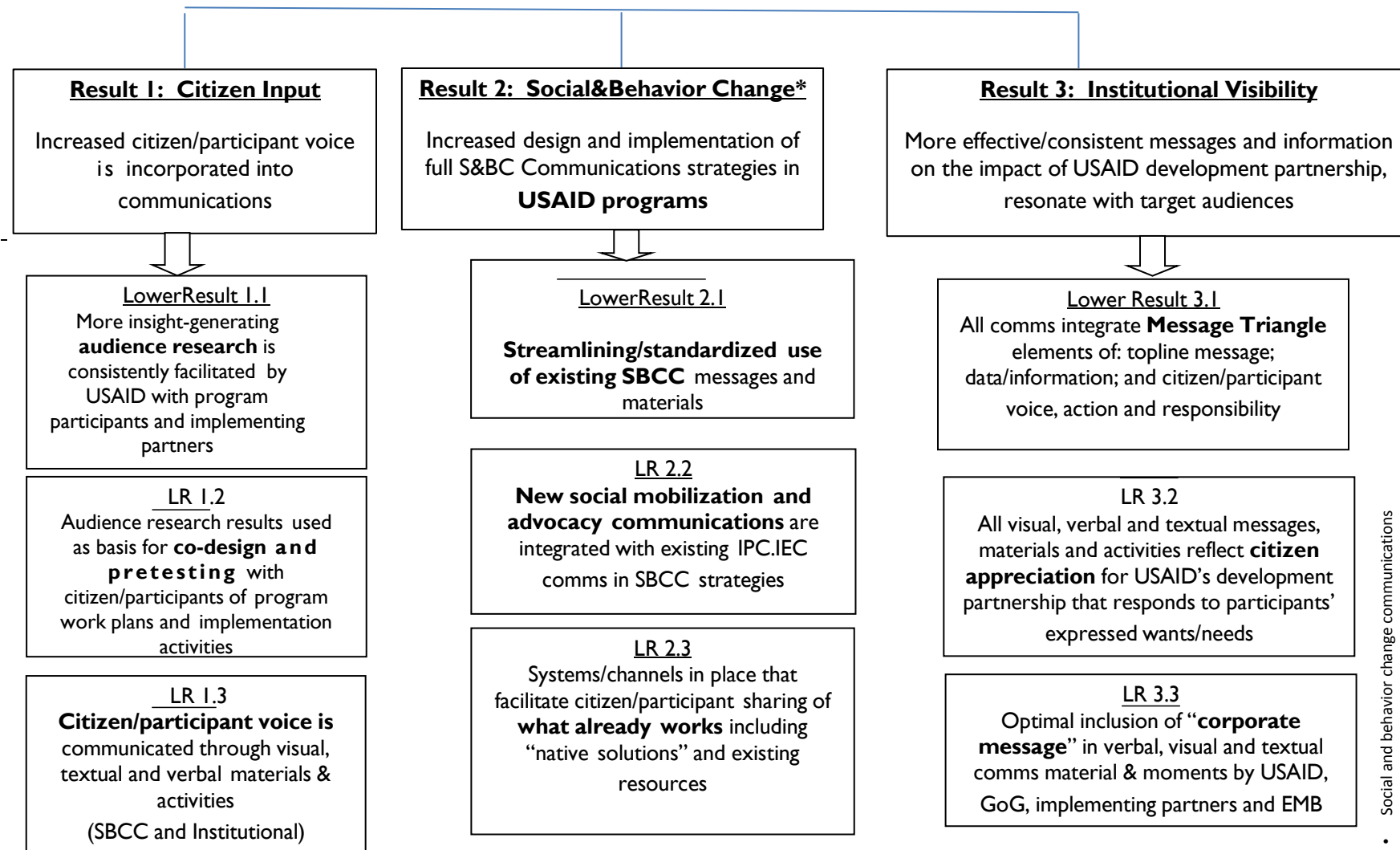
USAID Guatemala Strategic Communications Results Framework

Integrated Communications Objective

Greater social and behavior change among Guatemala target audiences and enhanced awareness and understanding among target audiences of the USAID development partnership with Guatemala.

Assumptions:

- Budget sufficient for needed reach and frequency of messages via paid campaign
- Staffing sufficient to plan, execute, and monitor and evaluate comms #
- Partners under existing contracts willing to change/augment activities





USAID | GUATEMALA

FROM THE AMERICAN PEOPLE

ASSISTANCE BRANDING AND TEMPLATE

- **Blue** filled out by the Apparently Successful Applicant

Branding Strategy for the [Name] Project

With reference to ADS 320.3.3 and 2 CFR 700, below is the Branding Strategy:

1. **Program Name:** [Name] (Follow guidelines in March 16, 2016 USAID Graphic Standards Manual and Partner Co-branding Guide, Section 4 entitled Grants, Cooperative Agreements & Assistance.

1.1 Identify project name in English and host-country language(s).

2. **How the program will be positioned:** This section discusses how to publicize the program, visibility considerations, and includes a description of the communications tools to be used.

The Recipient may use co-branding and co-marking in accordance with ADS 320.3.3.1 for visual, textual and verbal materials and communications, which may be translated into host-country languages as appropriate. Presumptive exceptions will be outlined in the Marking Plan and if/when a situation arises that is not considered in the Marking Plan, it will be evaluated on a case-by-case basis by the Agreement Officer's Representative (AOR) and Agreement Officer (AO).

3. **Desired level of visibility:** Select high, medium or low visibility determined by considerations for each project and its communication strategy.
4. **Other organizations to be acknowledged:** The Apparently Successful Applicant may propose to acknowledge other organizations during project activities such as the Host Country Government Counterparts by including this Section into its Branding Strategy. The proposed Marking Plan may also outline these situations as well. Situations that arise that are not considered in the Marking Plan, will be evaluated on a case-by-case basis by the Agreement Officer's Representative (AOR) and Agreement Officer (AO).

6. AUDIENCES

Subject to approval by USAID, [REDACTED] has the following target audiences with whom it will promote and publicize USAID sponsorship:

5.1 Primary audience(s):

5.2 Secondary audiences:

7. MESSAGES

All communication materials and activities will use USAID visual, textual and/or verbal branding. As such, all materials and activities will acknowledge that they were produced with support “from the American people.”

Guidelines for visual branding and marking are contained in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016) and the Recipient will use the following verbal and textual branding:

Examples:

The USAID [Name] Project.

XYZ, Director of the USAID [Name] Project.

In cases where a host-country language predominates over English, the appropriate translation into the host-country language will be used in branding and marking the program.

The [Name] Project will follow specific procedures for including the Branding Strategy requirements as stated in the mandatory internal reference Branding and Marking in USAID Direct Contracting in the Automated Directives System, Chapter 320 and 2 CFR 700

8. COMMUNICATION TOOLS

The following communication tools will be used (see ADS 320 and ADS 558 on Social Media). [REDACTED] The Recipient may add to this list.

Each item listed below will be considered in the Table 1. Marking Plan and, as relevant, in Table 2. Exceptions to Marking.

Item

9. KEY MILESTONES AND OPPORTUNITIES

The following key milestones are anticipated to generate awareness that the program is from the American people. These milestones may be linked to specific points in time, such as at the beginning or end of a program, or to an opportunity to showcase reports or other materials (consult ADS ADS 320 and 2 CFR 700). These include, but are not limited to:

- training events,
- publishing reports,
- highlighting success stories,
- promoting final or interim reports, and
- communicating program impact/overall results
- speaking engagements, including in communities.

10 ACKNOWLEDGEMENTS

10.1 ACKNOWLEDGING USAID AND THE USAID [Name] PROJECT

The following acknowledgment will be included on internal publications, such as quarterly reports, as appropriate:

This document was produced for review by the United States Agency for International Development. It was prepared by [redacted] for the [Name] Project, [award number].

10.2 ACKNOWLEDGING HOST-COUNTRY GOVERNMENTS

All [Name] Project communication material and activities will follow USAID Branding Guidelines. Decisions to co-brand with a host-country government entity may be made and will be considered in the Marking Plan. Co-branding with host-country partners may be desirable to communicate ownership and engagement.

10.3 ACKNOWLEDGING OTHER HOST-COUNTRY PARTNERS

Co-branding with other host-country partners will occur when these organizations have contributed funds and/or significant in-kind items or assistance to the activity. Co-branding with in-country partners may be desirable to communicate ownership and engagement.

10.4 CO-BRANDING WITH OTHER INTERNATIONAL ORGANIZATIONS AND OTHER USG AGENCIES

The ADS 320 and USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016) guidelines for co-branding with other international organizations will be followed.

Marking Plan for the [Name] Project

With reference to ADS 320.3.3 and 2 CFR 700, below is the required Marking Plan:

1.0 MARKING

1.1 MARKING PLAN

Table 1 outlines the types of materials and activities that may be produced under the USAID [Name] Project. Any materials and activities that are not anticipated below, but are produced under the initiative, will also be subject to branding guidelines and AO approval, as appropriate. The goal is to mark programs and projects, and not implementing partners.

All materials, activities and deliverables marked with the USAID logo for the [Name] Project will follow design guidance for color, type, and layout in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016) as related to equipment, reports, studies, events, and public communication (including printed products, audio, visual, and electronic materials), etc. The USAID logo will be used for programmatic correspondence. Recipient's letterhead will be used for administrative correspondence and will not have the USAID logo. Business cards will not show the USAID logo but may use text: USAID Recipient.

After award and prior to printing, please provide graphic examples of visual marking of materials, activities and deliverables using the USAID logo and project name in situations of co-branding and no-branding, in both English and Spanish.

There are two criteria used to determine when the disclaimer provision must be used:

- a) As per 2 CFR 700.16(c) (1) Studies, reports, publications, Web sites, and all informational and promotional products not authored, reviewed, or edited by USAID; and
- b) As per the discretion of the AOR and Recipient's consideration of a specific situation.

The provision is as follows in English and Spanish:

This study/report/Web site (specify) is made possible by the support of the American People through the United States Agency for International Development (USAID). The contents of this (specify) are the sole responsibility of (name of organization) and do not necessarily reflect the views of USAID or the United States Government.

Est(e/a) [especificar: publicación, video, sitio Web u otro producto de información] es posible gracias al apoyo del Pueblo de los Estados Unidos a través de la Agencia de los Estados Unidos para el Desarrollo Internacional (USAID). El contenido de este (especificar) es responsabilidad exclusiva de (nombre de la organización y autor) y el mismo no necesariamente refleja la perspectiva de USAID ni del Gobierno de los Estados Unidos de América.

Marking Requirements for the [Name of the Project]

TABLE 1. MARKING PLAN FOR MATERIALS AND ACTIVITIES (illustrative examples only)

Follow the guidelines contained in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016).

Category/Material	Type of Marking	Visual, Verbal, Textual — Disclaimer
Administrative		
Program related stationery products	The USAID logo will be used.	Visual Textual
Contract Deliverables: documents, publications, studies, reports, papers, technical assistance consultant reports	Follow guidelines for exclusive marking. Use specific language for deliverables when submitted to USAID for review.	Visual Textual
Program Communication		
Technical reports, publications, documents, studies	The USAID logo will appear on the cover; design follows guidelines for exclusive branding unless co-branding is acceptable or an exemption is provided for no branding.	Visual Textual — Consider Disclaimer
Training materials, manuals and sessions	The USAID logo will appear on the cover of documents and verbal branding will be used at training sessions; design follows guidelines for exclusive branding unless co-branding or an exception for no marking is indicated.	Visual, Textual, Verbal — Consider Disclaimer for Visual & Textual
Audiovisual: Video, CDs-ROM, Animated Infographics	The USAID logo will be printed on CD labels, splash screen/menus, and packaging; design follows guidelines for exclusive branding unless co-branding or an exemption is indicated for no marking.	Visual

TABLE 1. MARKING PLAN FOR MATERIALS AND ACTIVITIES (illustrative examples only)

Follow the guidelines contained in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016).

Category/Material	Type of Marking	Visual, Verbal, Textual — Disclaimer
PowerPoint presentations	The USAID logo is required as per USAID presentation template; design follows guidelines for the exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated. Templates available at www.usaid.gov/branding/resources	Visual
Posters, banners, exhibition booth signs, event signage	The USAID logo will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual
Program public awareness, advocacy and behavior change materials and activities	The USAID logo will appear on each material based on the purpose and type of material, target audience and how to be used. Design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual, Textual or Verbal
Web portal and social media platforms (Facebook, Twitter, Flickr, blogs, others)	Follow guidelines in ADS 558 for appropriate branding and marking.	Visual Textual
Institutional Communication		
Photographs, Infographics	The USAID logo or “USAID” in text will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.	Visual Textual — Consider Disclaimer on Infographics

TABLE 1. MARKING PLAN FOR MATERIALS AND ACTIVITIES (illustrative examples only)

Follow the guidelines contained in the USAID Graphic Standards Manual and Partner Co-Branding Guide (March 2016).

Category/Material	Type of Marking	Visual, Verbal, Textual — Disclaimer
Collateral, print information material (i.e., success stories, fact sheets, articles, feature stories, others)	The USAID logo will appear on printed materials; design follows guidelines for exclusive branding.	Visual Textual
Commodities and Equipment	The USAID logo will appear on items; exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated.	Visual

Table 2. Exceptions to Contract Marking Requirements

If applicable, use one or several of the following exceptions to fill out Table 2, depending on the circumstances.

2 CFR 700.16 (h) Presumptive Exceptions

The following exceptions reflect USAID's usual, non-emergency practices in not marking certain communication materials for programmatic reasons. The AO, in consultation with the Activity Manager/AOR, has the authority to determine that marking in accordance with is not appropriate:

- Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. This includes, but is not limited to, the following: • Election monitoring or ballots, and voter information literature; • Political party support or public policy advocacy or reform; • Independent media, such as television and radio broadcasts, and newspaper articles and editorials; and • PSAs or public opinion polls and surveys.
- Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent.
- Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, PSAs, or other communications better positioned as "by" or "from" a cooperating country ministry, organization, or government official.
- Impair the functionality of an item, such as sterilized equipment or spare parts.

- e. Incur substantial costs or be impractical, such as items too small or other otherwise unsuited for individual marking, such as food in bulk.
- f. Offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities.
- g. Conflict with international law, such as the international recognized neutrality of the International Red Cross (IRC) or other organizations.
- h. Deter achievement of program goals, such as cooperating with other donors or ensuring repayment of loans.

Category/Material for exception	Specific Exception(s)	Visual, Verbal, Textual
Administrative		
Program Communication		
Institutional Communication		
Commodities and Equipment		