Concept Note

Strengthening the climate resilience and food security of the most vulnerable, indigenous communities in the Western Highlands of Guatemala

Guatemala | World Food Programme (WFP)

21 March 2017
Concept Note

The Green Climate Fund (GCF) is seeking high-quality projects or programmes.

Accredited entities may choose to submit a concept note, in consultation with the relevant national designated authority, to present the proposed project or programme idea in order to receive early feedback and recommendation.

Project/Programme Title: Strengthening the climate resilience and food security of the most vulnerable, indigenous communities in the Western Highlands of Guatemala

Country/Region: Guatemala

Accredited Entity: World Food Programme

National Designated Authority: Ministry of Environment and Natural Resources
# Project Information

<table>
<thead>
<tr>
<th>A.1. Project title</th>
<th>Strengthening the climate resilience and food security of the most vulnerable, indigenous communities in the Western Highlands of Guatemala</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.2 Project Project</td>
<td></td>
</tr>
<tr>
<td>A.3 Country (ies) / region Guatemala</td>
<td></td>
</tr>
<tr>
<td>A.4 National designated authority(ies) His Excellency Mr. Sydney Alexander Samuels Milson Minister of Environment and Natural Resources (MARN in Spanish)</td>
<td></td>
</tr>
<tr>
<td>A.5 Accredited entity World Food Programme (WFP)</td>
<td></td>
</tr>
<tr>
<td>A.6 Executing entity / beneficiary Executing Entity: WFP in coordination with the Ministry of Agriculture Beneficiary: Poor, indigenous, food insecure communities in rural Guatemala</td>
<td></td>
</tr>
<tr>
<td>A.7 Access modality Direct ☐ International ☒</td>
<td></td>
</tr>
<tr>
<td>A.8 Project size category (total investment, million USD) Micro (≤10) ☒ Small (10&lt;x≤50) ☐ Medium (50&lt;x≤250) ☐ Large (&gt;250) ☐</td>
<td></td>
</tr>
<tr>
<td>A.9 Mitigation / adaptation focus Mitigation ☐ Adaptation ☒ Cross-cutting ☐</td>
<td></td>
</tr>
<tr>
<td>A.10 Public or private public</td>
<td></td>
</tr>
</tbody>
</table>

### Results areas (mark all that apply)

- Reduced emissions from:
  - ☐ Energy access and power generation
    (E.g. on-grid, micro-grid or off-grid solar, wind, geothermal, etc.)
  - ☐ Low emission transport
    (E.g. high-speed rail, rapid bus system, etc.)
  - ☐ Buildings, cities, industries and appliances
    (E.g. new and retrofitted energy-efficient buildings, energy-efficient equipment for companies and supply chain management, etc.)
  - ☐ Forestry and land use
    (E.g. forest conservation and management, agroforestry, agricultural irrigation, water treatment and management, etc.)

- Increased resilience of:
  - ☒ Most vulnerable people and communities
    (E.g. mitigation of operational risk associated with climate change – diversification of supply sources and supply chain management, relocation of manufacturing facilities and warehouses, etc.)
  - ☒ Health and well-being, and food and water security
    (E.g. climate-resilient crops, efficient irrigation systems, etc.)
  - ☐ Infrastructure and built environment
    (E.g. sea walls, resilient road networks, etc.)
  - ☐ Ecosystems and ecosystem services
    (E.g. ecosystem conservation and management, ecotourism, etc.)

### Project / programme life span

Start: January, 2018  
End: December, 2021

---

1 Please use the following naming convention for the file name: “[CN]-[Agency short name]-[Date]-[Serial number]” (e.g. CN-ABC-20150101-1).
**B. Project/Programme Details**

The Fund requires the following preliminary information in order to promptly assess the eligibility of project/programme investment. These requirements may vary depending on the nature of the project/programme.

<table>
<thead>
<tr>
<th>B.1. Project / programme description (including objectives)</th>
</tr>
</thead>
<tbody>
<tr>
<td>In light of the high vulnerability and low adaptive capacity of Guatemala in face of climate change, WFP Guatemala proposes an integrated proposal to support the most vulnerable, indigenous population to cope with and prepare for the impacts of climate change. The project responds to the identified gaps and pays special attention to the sustainability of the interventions, based on the required social paradigm change regarding climate change. The proposal aims to be an example at national level of how to put into practice the global agreements to face climate change in one of the most vulnerable countries in the world, with a replicability potential in other parts of the country.</td>
</tr>
</tbody>
</table>

The target population and intervention area have been selected based on an analysis of climate change vulnerability, food insecurity and exposure to risks (drought, floods and landslides). The area is located in the Western Highlands, in a region with steep mountain slopes and extensive forests. According to the latest map of land cover and the dynamics of use of the land, the central altiplano region presents more pressures related to fuelwood and small-scale extractions than the North and Verapaces. The region is known for its cultural heritage, mainly composed of the K’iche´ people (97%). The indigenous culture is well preserved and valued by the local people. The area is highly vulnerable to climate change. The impacts are already visible in terms of climatic variability, expressed by extended dry periods (drought) and extreme precipitation during short periods of time (flooding and landslides). The periods of drought and heavy rains adversely affect the agricultural production of the area. In addition, the local population is not prepared to cope with and anticipate these shocks, further exacerbating the impacts of climate change. At municipal level, there is a need to strengthen the knowledge and capacities to implement climate change adaptation, based on the national legal and political framework. To support implementation at local level, coordination mechanisms between governmental entities at national level are required to coordinate measures that link the effects of climate change on food security.

The proposal has been designed on a solid scientific basis following guidelines of the Intergovernmental Panel on Climate Change (IPCC), lessons learned of recognised institutions and experience from the field. The design is sufficiently broad to be adapted to the situation of local, indigenous communities and includes a solid, practical gender approach.

At the global level, the project will contribute mainly to the Sustainable Development Goals (SDG) 2. Zero Hunger; SDG 5. Gender equality; SDG 13. Climate Action; SDG 15. Life on Land; and SDG 17. Partnerships for the Goals. The project will specifically contribute to the following nationally determined indicators:

- 2.4.1. Proportion of the agricultural surface with productive and sustainable agriculture.
- 13.1.1. Number of municipalities that have strategies for disaster risk reduction.
- 15.1.1. Forest surface as proportion of the total surface at municipal level.

At national level, the proposal puts into practice the advanced national regulatory framework in relation to reduced vulnerability and adaptation to climate change (please see section D5), especially the National Climate Change Policy (2009), the Framework Law to Regulate the Reduction of Vulnerability, the Mandatory Adaptation to the effects of Climate Change and the Mitigation of Greenhouse Effect Gases (2013), and the National Action Plan for Climate Change (2016).
The objective of the project is to increase the adaptive capacity of the most vulnerable, indigenous population through strengthening of local capacities to understand and adapt in a sustainable manner to increasing climatic risks, while improving food security and nutrition.

The proposed project is a community-based adaptation project, addressing the local priorities and needs, integrating indigenous knowledge and practices. It is based on active participation by the local, indigenous families. The first result focuses on the community level, which will empower and help the population to better cope with and plan for the impacts of climate change. The second result aims at strengthening local governmental and non-governmental capacities to support the communities in the process of climate change adaptation and the third result supports the Ministry of Environmental and Natural Resources to enforce existing climate change regulation and implementation capacities to reinforce its function for the coordination to anticipate and manage climate shocks.

The proposed outcomes, outputs and activities are:

**Outcome 1. Improved household adaptation and resilience to climate and other shocks.**

The outputs of outcome 1 focus on supporting women and men to better understand climate change and what they can do to adapt. In addition to this knowledge, technical assistance will be provided to women and men to plan better to reduce vulnerabilities to climate change. The output is linked with output 2 based on watershed management and local (municipal empowerment), which includes planning and implementing measures at community level to reduce the exposure to shocks (landslides, drought, erosion and forest fires) and sensitivity (water scarcity and production), exacerbated by climate change. The project will also support the communities to analyse options to develop local, indigenous practices to promote resilience to climate change adaptation and variability. Families will receive training in order to improve their food security and nutritional practices. This includes aspects such as access to food, clean water, and better hygiene conditions in houses.

Women have a significant role in food security but gender inequalities limit their access to and control over economic resources. Socio-cultural norms are restricting their income generation potential and capacities to adapt to climate change. The outcome support women skills to promote empowerment of women and nutrition outcomes to ensure livelihoods that are not sensitive to climate change.

The main activities will be training and technical assistance in order to support the women and men in reducing their vulnerability to climate change. A Community-based Participatory Planning (CBPP) approach will be applied, where the families themselves select the adaptation measures to be implemented by the participants and communities, in order to empower them to adapt to climate change.

Output 1.1. Knowledge on climate change risks and food and nutrition security awareness increased.

- Activity 1.1.1. Training on climate change, gender empowerment, emergency preparedness and response, food security governance, nutrition and risk analysis.

- Activity 1.1.2. Community adaptation plans developed to reduce vulnerabilities to climate change induced food insecurity in targeted areas.

Output 1.2. Adaptive capacity of livelihoods improved.

- Activity 1.2.1. Community assets created to increase adaptive capacities.
Activity 1.2.2. Implementation of early warning systems at community level.

Outcome 2. Enhanced capacities of public and private sector institutions and systems, including local responders, to identify, target and assist food-insecure and nutritionally vulnerable populations at municipal level.

The Outcome 2 will focus on participatory assessment of existing capacity gaps and needs, capacity building based on these gaps, as well as the design the methodologies to overlay climate treats.

The Outcome will focus on strengthening municipal coordination mechanisms between public entities in charge of climate change and food security and nutrition, as a functional platform. As the project will be based on a multi-pronged approach, not only at municipal level responsibilities, but also as watershed management and landscapes, the project will also support the Municipal Environmental Management Units or other municipal units involved in DRR and environmental issues. These units will be trained on climate change adaptation and how to support communities to implement adaptation measures, to ensure food security and nutrition, and women empowerment. The project will support research by universities to develop knowledge and technologies for the use of native nutrient dense foods; to encourage the production and consumption processes of native food plants at community level, among indigenous and rural producers' groups; and to contribute to the food security of rural families, especially indigenous people, through the use of native food plants. The project will search synergies with public and private sector to support the production, consumption, and marketing of native nutrient dense foods identified as a potential income sources for the communities and families supported by the project. The activities will embed community participation and a gender sensitive approach.

At local level, the project will also design and implement early warning systems for climate induced disasters in their communities, included the appropriate technology, which will connect the communities to the municipal unit. These units will process and analyse the information and issue warnings when necessary.

Output 2.1. Local government’s threat, risk and vulnerability analysis capabilities by expanding current vulnerability and analysis methodologies to overlay climate threats and monitoring changes strengthened.

Activity 2.1.1. Training on climate change adaptation to local representatives.

Activity 2.1.2. Studies supported at the watershed level on: 1) water provision considering climate threats; 2) ecosystem vulnerability in the face of climate change and variability and extreme events; and 3) food security and nutrition in risk prone communities project area

Activity 2.1.3. Studies on traditional and local, indigenous practices, promoting resilience to climate change and variability in the targeted watersheds, and particular attention to ancestral and native plant and tree species that can improve dietary diversity and are resilient to climate change.

Activity 2.1.4 Feasibility study with communities to assess the potential for marketing native species for medicinal, artisanal, food consumption and fodder related uses at local and regional level.

Activity 2.1.5. Developing early warning systems at local government level.

---

2 Currently a pilot called AgriUp is being implemented in Guatemala. This pilot proposes a simple information system (text messages) to provide critical information to farmers on weather alerts, agricultural advices, nutritional tips and price alerts. The results should be analysed in order to determine the viability to include this method.
Output 2.2. Partnerships supported and decision-making processes strengthened.

Activity 2.2.1. Advocacy to leverage public and private investment in value chain activities for native plants.

Activity 2.2.2. Exchange visits to other projects supported

**Outcome 3: Strengthened capacities at national level on climate change adaptation by MARN.**

The third outcome is focused to support the development of evidence tools on the implementation of national policies. The Outcome #3 has two outputs, which focus on the municipal and national level. The output 1 will support the implementation of the National Adaptation Plan, of Chapter 3: “Agriculture, Livestock and Food Security”, including the design and validation of measuring methodologies, information, collection and analysis to build adaptation and vulnerability to climate change indexes.

The output 2 will support the coordination mechanism between public entities to strengthen the links between climate change and food security and nutrition in order to jointly define an action plan of Chapter 3: “Agriculture, Livestock and Food Security” for enhanced climate resilience of food security and agriculture. At national level, the activities will include the design of a training courses for relevant units of MARN in order to strengthen their practical capacities and knowledge on national and international regulations and practices regarding adaptation to climate change. It will also include a specific training on indigenous knowledge and practices related to climate change adaptation.

**Output 3.1. Support National Adaptation Plan, to develop an integrated approach and feasible mechanisms for Chapter 3 on Agriculture, Livestock and Food Security**

Activity 3.1.1. Compilations and sharing of best practices on adaptation management and improve food security and nutrition actions at watershed level, considering ecosystem type and emphasizing traditional and local knowledge.

Activity 3.1.2. Develop the M&E system, including indicators and process and indicators results.

**Output 3.2. Coordination mechanisms between public entities in charge of climate change, nutrition and agriculture strengthened.**

Activity 3.2.1. Establishment of knowledge sharing and coordination mechanisms between public entities in charge of climate change, food security and agriculture.

Activity 3.2.2. Support for the joint establishment of a specific action plan of Chapter 3: “Agriculture, Livestock and Food Security” for enhanced climate resilience of food security.

---

**B.2. Background information on project/programme sponsor**

On average, WFP reaches more than 80 million people with food assistance in 82 countries each year. In Guatemala, WFP has been present since 1974. WFP’s activities in Guatemala are geared towards reducing food insecurity, improving the nutritional status of mothers and children under two and living conditions of vulnerable groups by increasing agricultural productivity and farmer’s marketing practices. These priorities, which aim to assist the most vulnerable portions of the population, were identified in close coordination with the Government of Guatemala.
WFP closely coordinates with the Presidential Commission for the Reduction of Chronic Malnutrition; the Food Security and Nutrition Secretariat (SESAN); the Ministries of Agriculture, Livestock and Food (MAGA), Health (MSPAS) and Social Development (MIDES); and the National Coordination Committee for Disaster Reduction.

As part of the UNDAF 2015-2019, WFP participates in the UN inter-agency groups of Sustainable Development and Social Development, and the Task Force on Unaccompanied Migrant Children. WFP leads the UN Technical Emergency Team (UNETE) and the UN Information and Communication Technologies Group.

The MARN will provide guidelines on climate change, adaptation and resilience, assuring the compliance with the national legal and political framework on climate change by the project. In turn, the project will provide the Ministry with training and support the Ministry in the strengthening of coordination mechanisms between governmental entities. Currently the MARN leads the Interinstitutional Coordination Group for the Conservation and Sustainable Management of the Natural Resources, which is a cooperation between the MARN, the MAGA, the National Forest Institute (INAB) and the National Council on Protected Areas (CONAP). On the other hand, there is limited coordination on subjects related to climate change and food security.

The governmental partner entity of WFP in charge of agricultural activities is the MAGA. This Ministry has a team of rural extension personnel in each municipality. These extension teams are in charge of establishing Learning Centres for Rural Development in rural communities (CADER in Spanish). These CADER are used to provide training to families and to promote good agricultural practices, nutritional and healthy household practices at the field level. The project will implement agricultural activities through the MAGA and the rural extension personnel.

Describe financial status and how the project/programme sponsor will support the project/programme in terms of equity, management, operations, production and marketing.

The current concept note is based on a grant request from GCF. WFP will be responsible for the project management and operations by day-to-day execution and technical supervision of the project activities and administrating the project funds. It will also be responsible for generating annual reports for the donor, as well as ensuring that funds are disbursed and used according to agreements made with the GCF. The implementation will take place in coordination with the MARN, MAGA, MSPAS, MIDES, as well as SESAN, the National Coordinator for the Reduction of Disasters (CONRED), the National Forest Institute (INAB), the National Council for Protected Areas (CONAP), municipalities, local indigenous authorities, local organisations, and other UN-agencies.

Describe the market for the product(s) or services including the historical data and forecasts.

N/A.

Provide the key competitors with market shares and customer base (if applicable).

N/A.

Provide pricing structures, price controls, subsidies available and government involvement (if any).

N/A.

Provide details of government licenses, or permits required for implementing and operating the project/programme, the issuing authority, and the date of issue or expected date of issue.

No licenses or permits are required for the activities of the project.

Describe applicable taxes and foreign exchange regulations.
B.5. Implementation arrangements

Describe construction and supervision methodology with key contractual agreements.

As the accredited entity, WFP Guatemala will be performing the role of project oversight as well as financial reporting to the donor. In addition, and at the behest of the government, WFP will also take over project executing functions. However, MARN will provide guidance on climate change regulation. For specific activities, the Ministry of Agriculture will be execute project activities through technical assistance for productive assets creation, without transfer of financial resources for the implementation of activities. WFP Guatemala will manage the project, including the monitoring and evaluation of project interventions, achieving project outcomes, reporting to GCF, and for the effective use of resources. WFP will develop the project document in consultation with the Government of Guatemala (GoG) and other stakeholders involved. WFP will sign the Grant Agreement with the GCF and a Memorandum of Understanding will be prepared and signed between WFP and the GoG. Field Level Agreements will be signed with local organisations, when required to implement certain activities and/or results.

Provide a timetable showing major scheduled achievements and completion for each of the major components of the project/programme.

C. Financing / Cost Information

C.1. Description of financial elements of the project/programme

Below table presents the yearly break-down for each outcome. The detailed budget is included as a separate Excel file.

<table>
<thead>
<tr>
<th>Outcome</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Improved household adaptation and resilience to climate</td>
<td>2,270,625</td>
<td>2,495,625</td>
<td>2,040,625</td>
<td>1,110,001</td>
<td>7,916,876</td>
</tr>
</tbody>
</table>
change and other shocks

<table>
<thead>
<tr>
<th>2. Enhanced capacities of public and private sector institutions and systems</th>
<th>684,000</th>
<th>306,000</th>
<th>291,000</th>
<th>231,000</th>
<th>1,512,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Strengthened capacities at national level on climate adaptation by MARN</td>
<td>121,000</td>
<td>134,000</td>
<td>137,000</td>
<td>108,000</td>
<td>500,000</td>
</tr>
<tr>
<td>GCF funding</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9,928,876</td>
</tr>
<tr>
<td>Co-financing</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total project costs</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>9,928,876</strong></td>
</tr>
</tbody>
</table>

A grant-financing instrument is used for this project with WFP seeking maximum concessionality to undertake the proposed adaptation investments. The public goods nature of these investments means that public financing is required to overcome several barriers that constrain Guatemala’s ability to scale up community-based adaptation strategies. These barriers include limited availability of financial, technical and human capacity for concrete adaptation measures at the field level, limited awareness of climate change impacts, limited accessibility to early warnings and low capacity at community level to prepare for and respond to climate-related disasters.

Without grant resources, the proposed interventions would not be financially sustainable in the long term:
- First, as the country collecting the lowest share of public revenues in the world relative to the size of its economy, there is limited capacity in the country for concessional debt financing for its adaptation investments ([http://www.worldbank.org/en/country/guatemala/overview](http://www.worldbank.org/en/country/guatemala/overview)). Current financing gaps in domestic financing are hampering Guatemala’s ability to implement adaptation measures and overcome these barriers. Without GCF resources, Guatemala will continue to experience increased food insecurity, loss of lives and livelihood assets due to climate-related disasters.
- Second, the project targets highly vulnerable, food insecure, rural, indigenous populations, more than half of whom are women, living in disaster prone and food insecure districts dependent on climate sensitive and marginal livelihoods.
- Finally, the public good nature of the solution to address the current deficiencies in integrated adaptation approaches to climate change entails zero cost recovery from the proposed measures to save lives and livelihoods of vulnerable populations in the country. The project will build on existing government arrangements which will allow implementation and institutional capacity building to be cost-effective. Strengthening of local public and private capacity and climate/weather information systems along with WFP’s contribution to helping government to coordinate actions in the field, may incentivize future investments.

In terms of financial viability, the objective of the project is primarily to improve the effectiveness and efficiency of the Government’s public sector expenditure, and improving the quality and financial sustainability of its current safety net.

<table>
<thead>
<tr>
<th>C.2. Project financing information</th>
<th>Financial Instrument</th>
<th>Amount</th>
<th>Currency</th>
<th>Tenor</th>
<th>Pricing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total project financing ((a) = (b) + (c))</td>
<td>9.9</td>
<td>million USD ($)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Requested GCF amount</td>
<td>(i) Senior Loans</td>
<td>(ii) Subordinated Loans</td>
<td>(iii) Equity</td>
<td>(iv) Guarantees</td>
<td>(v) Reimbursable grants</td>
</tr>
<tr>
<td>----------------------</td>
<td>-----------------</td>
<td>------------------------</td>
<td>-------------</td>
<td>-----------------</td>
<td>-------------------------</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please provide detailed economic and financial justification in the case of grants.

<table>
<thead>
<tr>
<th>Total Requested</th>
<th>9.9 million USD ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(i+ii+iii+iv+v+v)</td>
<td></td>
</tr>
</tbody>
</table>

(c) Co-financing

<table>
<thead>
<tr>
<th>Financial Instrument</th>
<th>Amount</th>
<th>Currency</th>
<th>Name of Institution</th>
<th>Seniority</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Options</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Options</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Options</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Options</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Lead financing institution: .................................. 

(d) Covenants

(e) Conditions precedent to disbursement

D. Expected Performance against Investment Criteria

Please explain the potential of the Project/Programme to achieve the Fund’s six investment criteria as listed below.

D.1. Climate impact potential

Specify the climate mitigation and/or adaptation impact. Provide specific values for the below indicators and any other relevant indicators and values, including those from the Fund’s Performance Measurement Frameworks.

- The expected total number of direct beneficiaries is 15,000 families, covering 75,000 persons, who will directly participate in the project activities. The number of indirect beneficiaries is estimated at 240,000 persons, who will have access to early warning systems, improved water quality and consumption, and other environmental services due to measures implemented in the high part of the watershed. The direct beneficiaries represent 10% of the total population of the municipalities.
D.2. Paradigm shift potential

Potential to catalyze impact beyond a one-off project or programme investment

- The project has the potential for **scaling-up and replication** to an area with similar conditions as to vulnerability to climate change, considering livelihoods and environmental hazards. The area covers 6 departments (of a total of 22 in Guatemala), with a population of 2.15 million people (13% of the national population). The implementation of the project includes the detailed assessment of municipalities and communities of identified departments in order to initiate the scaling-up during the project. The project will prepare guidelines on successful measures adapted to specific conditions (threats, adaptive capacity of local population) and implementation arrangement to replicate the intervention.

- The project presents **potential for knowledge and learning**, considering capacity building and knowledge sharing are key components of the 3 proposed outcomes. During the preliminary consultation process, actors expressed the importance of knowledge sharing, especially for local communities and municipalities. The political and legal framework for climate change is well developed, however at local level, little is known about these instruments and even less about the practical application in the field. The project will focus on collecting, analysing, sharing, and promoting the measures for climate change adaptation by communities, municipalities and governmental entities. The material will be adapted to local communities, taking into account the local indigenous language and illiteracy level, especially among women. On the other hand, indigenous knowledge and practices that have not been recognized by the scientific approaches will be systemized and disseminated, recognizing the importance of this traditional knowledge for climate change adaptation. The project will support workshops, dialogues and cultural events (including fairs) to disseminate study results to communities, leaders and decision makers, in local languages.

- The key for contributing to the creation of an enabling environment will be a community-based approach, in which the community members determine the environmental threats and the possible measures. The project will be based on local priorities, needs, knowledge and capacity, and existing institutions. The area has a large social capital of indigenous institutions, including indigenous court, indigenous majors and local committees that will be articulated under the project to elaborate community action plans based on those, including climate change adaptation. When communities are convinced of the need to implement measures and that they will benefit from diversifying their livelihoods and assets, they will maintain these measures after completion of the project. Local consultations revealed that many projects implement their planned activities without explicitly considering the needs of the local population, especially of the indigenous people, which results in lack of sustainability of the actions. The promotion of agroforestry systems with endemic species is another factor for sustainability, because the beneficiaries will receive a governmental support to their safety net social programmes, especially the reforestation bonus, during six years. These reforestation activities align with the indigenous cosmovision of a balance between nature and human being. In addition, management of the trees will result in economic benefits for the families, in terms of firewood, sale of wood after thinning and fruits from fruit-bearing trees, contributing to livelihood diversification.

- The project is in line with country priorities related to climate change adaptation. It is especially in line with the third action subject of the National Action Plan “Agriculture, Livestock and Food Security”, contributing to the objective of “Increasing the production of food through the implementation of adaptation actions that contribute to reducing the vulnerability of families that suffer the consequences of climate change and to guaranteeing their food and nutritional security”. It will contribute to the **regulatory framework and policies** through the practical implementation of actions identified in this framework, aiming at climate-resilient development. It will also share lessons learned during the implementation with governmental entities on a regular basis to provide inputs for national policies and frameworks, especially in relation to indigenous
The project will also contribute to promoting the interinstitutional cooperation and alignment regarding climate change, especially strengthening the climate change units in the relevant governmental entities. It will as well promote research by universities on climate change subjects through the project.

- The project promotes innovation in terms of technology transfer and climate data management. Global scientific information is available in Guatemala, but it is necessary to strengthen its application at national and local level. There are several initiatives collecting climate data, but it is necessary to improve analysis and management capacities. The project will build under WFP Guatemala FoodSECuRE experience, as an institutional mechanism to use seasonal climate forecasts to trigger anticipatory action at community level before climate shocks occur and allow communities to build resilience before a crisis occurs. It will also significantly improve early response, community preparedness and resilience building in response to large scale climate shocks. It is as well important to improve the access to climate change related information and technologies for a broader public, especially rural and indigenous communities that depend on subsistence farming. The information should be adapted to their language and educational level. The project will contribute to both, sharing information and technologies with local communities and municipalities, that in turn can decide the most appropriate usage of the information and the available technologies.

- Economic co-benefits
  - 5,000 hectares of soil conservation and forested participating in the national forest incentive programme (PINPEP and ProBosque) to support the National Landscape Restoration Strategy of the Government of Guatemala. The government programme supports communities and families that present proposals of forest areas to be protected, replanted or used for agroforestry. The incentive received is used by the families or communities to buy the inputs for the forest activities, to implement management activities (forest fires prevention, pruning, planting). The first payment of the incentive is received by the families or communities after the first year, because it must be demonstrated that the measures are maintained in the area. The area will be inspected each year before the next payment is made. The amount of the first year is higher to recover the investment of the establishment of the forest area. The following 5 years the amount is lower, because the activities require less inputs. The proposal of hectares is calculated based on the difference between the actual land use and the soil capacity. The total area covers almost 20,000 hectares, however this reconversion of land use will need a larger period of time, for this reason, the proposal covers 25% of the potential area. Depending on the characteristics of the plots, it concerns reforestation for production or protection and agroforestry systems.
  - The livestock reproduction will contribute to household income. In the case of poultry, the average household income will be around USD 300 per year, resulting from selling eggs and a part of the reproduced poultry. In addition, the families will benefit from the consumption of eggs and poultry, contributing to food security.

- Social co-benefits
  - The families will benefit from improved health, thanks to the capacity building processes that aim at improving nutritional and hygiene practices.
  - In the case of disaster prevention, families will count on an early warning system, which will allow them to anticipate environmental risks.
  - The livelihood diversification through the supply chain of nutritious products will generate more income for the families and this will translate into investment in education, food and health, promoted by the project.

- Environmental co-benefits (monitored as cross-cutting result)
- Soil quality of 5,000 hectares will improve due to improved conservation practices: no slash and burn, agroforestry activities, and agro-ecology.
- The governmental forest incentives programme (PINPEP) will contribute to preserve and increasing forest cover, certifying 5,000 hectares with soil conservation, forest cover and agroforestry systems, contributing to carbon sequestration, for an estimated amount of 12,500 tons of CO₂ equivalent per annum (based on 2.5 metric tons of carbon sequestered per hectare per year for tropical forest). Reforestation will use local species, contributing to local biodiversity.

- **Gender-sensitive development impact**
  - The project will explicitly include female led households as targeted households, at least 30%, which will result in enhanced livelihood assets of women.
  - Women will be trained in new skills, improved livelihood, dietary and income diversification activities, awareness raising, and preparedness for climate induced risks to livelihoods, thereby improving their overall adaptive capacities
  - Women will be empowered to participate in community planning exercises and decision-making processes.
  - The forest incentives will include or benefit at least 30% women.
  - The project will document lessons learned on gender-sensitive development for scaling up the intervention.

Guatemala is in the top ten of countries most affected by climate change worldwide and it is one of the least prepared countries. It occupies position 9 in the Germanwatch’s Global Climate Risk Index 2017. The region’s climate is strongly influenced by several factors, including the Inter-Tropical Convergence Zone (ITCZ) and the El Niño Southern Oscillation (ENSO). In Guatemala, in general, it has been observed that during the warm phase of the ENSO, referred to as El Niño, there is a reduced amount of rainfall, which results in drought, as well as a change in the rainfall pattern, with extreme rainfall in a short period, which results in flooding and landslides.

According to the Second Communication on Climate Change of the Ministry of Environment and Natural Resources (MARN, 2016), Guatemala has suffered a number of extreme hydro-meteorological events during the past 25 years, which evidences the vulnerability of the country. Based on the analysis of scientific information, MARN indicates the link between these extreme events and the climatic variability and climate change.

The impacts of these extreme events are considerable, resulting in human and economic losses. Data of the Global Climate Risk Index 2017 indicate that the average yearly death toll is 97 for Guatemala and total average annual losses US$ 401 million. The agricultural sector is also critically impacted by the extreme events. For example, the Hurricane Mitch (1998) caused damage for an amount of USD 659.6 million to this sector, the drought of 2001 for USD 15 million, the tropical storm Stan for USD 85.7 million, and the Storm Agatha for an amount of USD 80 million, according to information of the Economic Commission for Latin American and the Caribbean (ECLAC, 2011).

The adverse impacts of climate change will have serious ramifications on the rural livelihoods which tend to be climate sensitive, especially for the indigenous people who are more vulnerable and have minimal access to the formal economy. Rural livelihoods, including agriculture, are influenced by mentioned climatic changes. The changes in precipitation patterns increase the probability of crops losses on the short term, due to flooding and drought. According to the document Climate Change in Central America, Potential Impacts and Public Policy Options (ECLAC, 2015), average maize yields will decrease 7% by 2020 under scenario A2 and 11% towards 2050. The reduction in yields will have a greater impact on the poor, rural population, because these families generally depend on their own food production. When the production fails, the families have no alternatives to assure their access to food, resulting in a situation of food and nutritional insecurity.
The Government of Guatemala and the municipal government do not have sufficient human and economic resources to address the needs of the poor rural populations to adapt to climate change.

The project aims at supporting the Government to address the needs of the poor, rural, indigenous populations that are highly vulnerable to climate change in the process of climate change adaptation, contributing to improving food security of food-insure households. Together with other partners, the project will support the supply chain of nutritious foods through the implementation of adaptation actions that contribute to reducing the vulnerability of families that suffer the consequences of climate change and to guaranteeing their food and nutritional security.

The targeted municipalities have been selected based on criteria of exposure, sensitivity and adaptive capacity. The four municipalities rank “very high” regarding the exposure index (index of climate risks); three municipalities score very high for the sensitivity index and one scores high; the four municipalities show a low adaptive capacity index.

The intervention will be based on a participatory analysis in each community to elaborate and implement a climate change adaptation plan, tailor-made to the local needs and highly valuing the cultural and indigenous practices and knowledge.

Climate change is a priority of the current Government of Guatemala, as one of the six strategic actions within the General Governmental Policy 2016-2020. This priority is in line with the National Development Plan K’atun: our Guatemala 2032, in which one of the five strategic goals is: Natural resources now and for the future. This goal includes as the first result adaptation and mitigation of climate change.

The policy and institutional framework to face climate change includes the National Climate Change Policy (2009) and the Framework Law to Regulate the Reduction of Vulnerability, the Mandatory Adaptation to the effects of Climate Change and the Mitigation of Greenhouse Effect Gases (2013), establishing the legal foundation for implementation of adaptation and mitigation action. In order to align for the implementation of the commitments established in the Law, the National Action Plan for Climate Change was recently elaborated and published in October 2016.

The project is aligned with the national legal and political framework, in the field of climate change adaptation. It is especially in line with the in-situ implementation of the third action subject regarding food security of the National Action Plan (Agriculture, Livestock and Food Security), as well to support the Landscape Forest Restoration Strategy (Bonn Challenge) identifying the potential areas of forest restoration, supporting restoration and a methodology to monitoring the number of hectares restored.

WFP Guatemala will directly implement the project, in collaboration with national and local authorities. To increase the impact of WFP support, WFP will actively look with the United Nations System (FAO, IFAD and UNICEF). FAO will provide services for technical assistance and training in the field. Where applicable, Field Level Agreements will be signed with NGOs in order to execute certain activities.

During the months of October, November and December 2016, a stakeholder consultation process was conducted at national and local level, including governmental entities, municipal and indigenous authorities, local projects, and research institutions. Therefore, a field trip to Totonicapán was undertaken, to personally consult local authorities. A summary of the consultation process is included in Section G. The interviews allowed for a better understanding of the current activities related to climate change adaptation at national and local level, as well as of existing needs and gaps. The inputs from the consultation process are included in this concept note. During the full proposal development stage, these stakeholders will be involved as well.
Co-financing ratio
The total cost of the project is USD 9,928,876, based on a GCF grant. As part of the activities financed with GCF funds, communities and municipalities will actively participate in the elaboration and implementation of management plans, which include reforestation with endemic trees and fostering community nurseries to maintain tree stock. Reforested areas can apply for governmental forest incentives, which promote reforestation. There is no co-financing.

Of the total amount, a part will be invested at national and municipal level, which is not easily quantified. The largest part of the investment is assigned to local level, amounting to USD 7.2 million. This amount will be invested in the following activities that result in benefits for households:

1. Agroforestry systems: the yields of staple crops will increase at least 25%, due to improved agricultural practices and small-scale irrigation systems, incentives will be received from the forest incentive programme, and the trees will be used for firewood and sale of timber.
2. Poultry reproduction: the surplus of eggs will be sold (200 eggs/year/household), as well as the surplus of reproduced poultry (30 kg/year/household).
3. Health improvements: improved cook stoves process less smoke in the houses, resulting in less respiratory problems; these stoves require less firewood, reducing the pressure on forests; water filters reduce gastrointestinal diseases, improving food security. The economic benefits are lower health expenses and purchase of firewood.
4. Reforestation and forest protection: the forest incentives for deforested areas that are highly vulnerable for landslides, and for forest areas that will be protected from the expansion of the agriculture frontier.

Reliable information generated by several projects implemented in Guatemala with similar activities allows calculating the cost-benefit ratio of the investment. The information of the agroforestry systems, poultry reproduction, reforestation, and household improvement (cook stoves and filters) has been entered in an Excel that indicates the investment per year per component and the economic returns to the families. During the first years, the balance is negative, meaning that the investment by the GCF is needed to start up the system. After 10 years, the families recover in total USD 16.3 million. This means a cost-benefit ratio of 1:2, based on a period of 10 years. In addition, these activities are sustainable and the households will maintain these livelihoods after the project finalisation.

E. Brief Rationale for GCF Involvement and Exit Strategy
Despite being a lower middle income country, Guatemala has a Gini-coefficient of 52.4, which demonstrates the unequal distribution of income, wealth and opportunities among the population. This inequality is as well visible in the increasing trend of poverty and extreme poverty. The National Survey on Living Conditions 2014 shows that between 2006 and 2014 the total poverty increased from 51.2% to 59.3%. On the other hand, extreme poverty increased from 15.3 to 23.4%. These shocking numbers are even higher among indigenous and female population.

Public finances in Guatemala are characterized by a low tax burden relative to size of its economy, and in addition there are limited other non-tax income sources for the country. Public investment remains insufficient to meet all country’s challenges, including the effects of the climate vulnerability of the country.

The GCF contribution is critical for the project, because of the high vulnerability to climate change of the country. Without GCF supporting the incremental costs of adaptation, adaptation efforts in the country will be constrained, leaving the populations vulnerable to the frequent climate-related disasters the country has been facing. Due to having the lowest share of public revenues in the world relative to the size of its economy, Guatemala is also unable to incur costs of financing of debt instruments and requires maximum concessionality through GCF grants to undertake adaptation measures.

GCF involvement and its ability to leverage public and private sector financing through reduction of barriers for such investments promotes ownership and long-term financial sustainability of the investments and their impacts. In particular, linkage with existing government programmes, capacity building through MARN’s implementation of coordination
activities and embeddedness of community preference, knowledge and capacity in project activities will ensure long-term sustainability of the project results.

Please explain how the project/programme sustainability will be ensured in the long run, after the project/programme is implemented with support from the GCF and other sources.

Measures proposed by the project aim at sustainability. The project will create improved and diversified livelihoods for rural, indigenous communities. All measures include capacity building and training, to ensure that populations understand what climate change means for them, what should be done to adapt and why it is necessary to adapt to climate change. When people understand the importance and they perceive the benefits in terms of health, nutrition and income, measures will be sustainable. It is as well key to respect and include cultural and traditional practices, which will be more easily acceptable for these groups. Another key factor for long-term sustainability is that the project will build on existing social protection programmes for reforestation, fomenting the connection between rural indigenous communities and governmental services.

At municipal level, the outputs focus on strengthening institutional capacities of municipal units, indigenous authorities and local organisations to support communities to implement climate change adaptation and to improve food security. The project will support the coordination mechanisms to continue and scale-up the activities implemented by the project after the project ends, as well, will serve as a platform that can be replicated in other areas, promoting the implementation of the National Adaptation Plan. At local level, the inclusion of early warning systems in the annual municipal budget, will contribute to anticipate climate change related risks.

F. Risk Analysis

Please describe financial, technical and operational, social and environmental and other risks that might prevent the project/programme objectives from being achieved. Also describe the proposed risk mitigation measures.

<table>
<thead>
<tr>
<th>Selected Risk Factor 1</th>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poor implementation of activities at the field level and duplication of efforts cause environmental harm.</td>
<td>Technical and operational</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>

Mitigation Measure(s)

The project is being elaborated in consultation with local stakeholders, including other projects, which limits duplication and provides a clear panorama of the current situation at local level. Every effort is made to assure that the project activities will not result in any environmental harm. The activities focus on improving environmental conditions based on watershed management, such as reforestation, good agriculture practices, soil and water conservation measures.

<table>
<thead>
<tr>
<th>Selected Risk Factor 2</th>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indigenous people of the intervention area do not give priority to the project activities.</td>
<td>Social and environmental</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>

Mitigation Measure(s)

The project is based on implementation in direct consultation, cooperation and participation by the communities, which are mainly integrated by indigenous people (97%). The indigenous culture, knowledge and practices are highly relevant for a successful implementation and they are the basis for the project activities in the communities. According to the Mayan Cosmovision (World View), all elements (water, fire, air, and soil) should be in balance and unbalance puts life on earth at risk. The project will support the communities in restoring this balance.

<table>
<thead>
<tr>
<th>Selected Risk Factor 3</th>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communities are accustomed to emergency interventions that provide short-term assistance and communities prefer these interventions because of their level of vulnerability, where a temporary solution is provided.</td>
<td>Social and environmental</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>
Mitigation Measure(s)

The project will clearly communicate the objectives of the project, the implementation mechanisms, the participating population and the benefits of the activities. Beneficiaries will be involved during the entire process of project formulation and implementation, which will contribute to local ownership. The project will actively involve the most vulnerable groups that are not in positions of power or decision-making processes. This will be done through community consultations to identify and include these groups in the project. The project will clearly indicate the efforts expected by the participants and the resulting benefits for them.

Selected Risk Factor 4

<table>
<thead>
<tr>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>The establishment of tree nurseries puts pressure on the available water resources.</td>
<td>Social and environmental</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
</tr>
</tbody>
</table>

Mitigation Measure(s)

The establishment of tree nurseries will be combined with rainwater and dew harvesting systems, improving the availability of water for these and other activities.

Selected Risk Factor 5

<table>
<thead>
<tr>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uncertainty of land tenure in selected communities and municipalities, impacting the dimension of soil and water conservation measures.</td>
<td>Social and environmental</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
</tr>
</tbody>
</table>

Mitigation Measure(s)

In close coordination with the communities and the municipalities, land tenure will be mapped and after that, for each category of land tenure, measures will be defined for climate change adaptation. In the department of Totonicapán, communities use to have communal lands, which requires a different approach than for private lands.

Selected Risk Factor 6

<table>
<thead>
<tr>
<th>Description</th>
<th>Risk category</th>
<th>Level of impact</th>
<th>Probability of risk occurring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited governmental capacities at the local level.</td>
<td>Social and environmental</td>
<td>Low (&lt;5% of project value)</td>
<td>Low</td>
</tr>
</tbody>
</table>

Mitigation Measure(s)

This risk will be mitigated by capacity building at the national and local level on climate change, climate change adaptation and early warning systems. The project will promote regular dialogue and a broader coordination at the local level between municipalities and communities.

G. Multi-Stakeholder Engagement

At national level, WFP has been working with national stakeholders on other projects and for this intervention, the stakeholders engaged in the design stage are:

- Ministry of Environment and Natural Resources (MARN);
- Ministry of Agriculture, Livestock and Food (MAGA);
- Food and Nutrition Security Secretariat (SESAN);
- National Coordinator for the Reduction of Disasters (CONRED);
- National Forest Institute (INAB);
- Experts in field of climate change, such as: Rainforest Alliance, Guatemalan System of Climate Change Science (SGCCC), and Institute of Climate Change (ICC).

During the elaboration of the concept note, local stakeholders have been consulted. This concerns general consultations in order to determine the local needs and interests related to climate change. However, it is important to be very careful during this stage in order to avoid raising high expectations at local level. This consultation process assures that the proposal is aligned with the actual situation in the intervention area. The main stakeholders at local level are:

- The four Municipalities;
- The Indigenous Authority of Totonicapán (48 Cantones);
Departmental Commission of Environment (CODEMA);
Red Suroccidental de Cambio Climático (Southwestern Network on Climate Change);
Local organisations;
The Mancomunidad Metrópoli de los Altos (MMA);
International Cooperation projects (Helvetas, USAID, Ageexport);
Departmental delegation of MARN, MAGA, SESAN, and CONRED (CODRED).

For this consultation process, a template and a guideline were created for the meetings with the different stakeholders. This information is summarised in the following table that collects the information resulting from this process: Institution, name of the person(s) consulted, date, and summary of subjects discussed.

**Stakeholder consultation results.**

<table>
<thead>
<tr>
<th>Institution</th>
<th>Persons consulted</th>
<th>Consultation date</th>
<th>Main subjects discussed</th>
</tr>
</thead>
</table>
| Guatemalan System of Climate Change Science (SGCCC) and Centre for Environmental Studies and Biodiversity (CEAB) | Jackeline Brincker, Ana Lucía Solano | November 28, 2016     | • The proposed intervention area is appropriate. Very important to base the intervention on indigenous traditions and community processes.  
• Outcomes are in line with climate change adaptation. At local level, materials and training should be in local language.  
• Measures should be implemented based on a community diagnosis.  
• The SGCCC is a scientific advisory unit for high level government entities, as well as other governmental and non-government bodies, which is an important source of information and technology transfer.  
• Both the SGCCC and the CEAB are very interested in participating in the project, especially through providing training workshops and elaboration of informative leaflets in local languages. |
| Food and Nutrition Security Secretariat (SESAN)                           | Carlos Heer                | November 29, 2016     | • The selection of the intervention area is appropriate. In the area, UNICEF has worked on the establishment of Sub-commissions for the communication, which have functioned very well. This would be a good basis for the project, especially to involve youth.  
• The project should focus on training local forces (such as midwives), which are not part of formal structures and therefore they will remain in the communities.  
• The outcomes are suitable for climate change adaptation. There should be less focus at national level.  
• Capacity building should include family planning, natural resources management, climate change. Focus training on new generations and give follow-up. |
| National Coordinator for the Reduction of Disasters (CONRED)               | Obdulio Fuentes            | November 30, 2016     | • The intervention area is acceptable. It would be good to include neighbouring municipalities of other departments, such as Santa Lucía Utatlán of Sololá.  
• The outcomes should remain at two levels: communities and municipalities, because the national level has not been able to implement actions at local level. |
<table>
<thead>
<tr>
<th><strong>National Forest Institute (INAB)</strong></th>
<th>Deniz Garcia</th>
<th>December 1, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measures should focus on prevention instead of reconstruction after disasters.</td>
<td>Selection of intervention area is suitable, especially San Andrés Xecul has high potential. It is important that populations do not depend only on the natural resources.</td>
<td></td>
</tr>
<tr>
<td>Local and traditional knowledge should be included.</td>
<td>INAB has an important project near the proposed intervention area and it would be interesting to link these areas.</td>
<td></td>
</tr>
<tr>
<td>Successful measures: improved seeds, reforestation with local species, livestock to complement income, risk management with climate change approach.</td>
<td>Agroforestry is a good option: combine with alternative, local crops, such as Tamarind, Loroco, Roselle. The trees can be for firewood or timber.</td>
<td></td>
</tr>
<tr>
<td>CONRED needs strengthening on climate change regarding methodologies to create vulnerability maps at community and municipal level (access to map layers, software).</td>
<td>The technical team of the project could assist with the forest certification process (field visits, training, measuring) in order to increase the amount of certified hectares.</td>
<td></td>
</tr>
<tr>
<td>CONRED is interested to continue the joint work with WFP.</td>
<td>Very interested in working together on this project.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Ministry of Agriculture, Livestock and Food (MAGA)</strong></th>
<th>Edwin Rojas, Mario Mejía</th>
<th>December 6, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measures should focus on prevention instead of reconstruction after disasters.</td>
<td>The Ministry of Agriculture is focusing on the Dry Corridor for interventions, however the entire country is vulnerable to climate change, because of which interventions in different regions are appropriate.</td>
<td></td>
</tr>
<tr>
<td>Local and traditional knowledge should be included.</td>
<td>The proposed intervention outcomes are suitable. It should include training and capacity building at national and local level regarding management of climatic information, early warning systems, alternative energy and agricultural value chains.</td>
<td></td>
</tr>
<tr>
<td>Successful measures: improved seeds, reforestation with local species, livestock to complement income, risk management with climate change approach.</td>
<td>The Ministry is participating in the elaboration of a regional proposal for the Green Climate Fund and is interested in further discussing the proposal with WFP to define the possible, future contributions.</td>
<td></td>
</tr>
<tr>
<td>CONRED needs strengthening on climate change regarding methodologies to create vulnerability maps at community and municipal level (access to map layers, software).</td>
<td>A good measure would be to train local promotors on climate change adaptation and involve local organisations.</td>
<td></td>
</tr>
<tr>
<td>CONRED is interested to continue the joint work with WFP.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Institute of Climate Change (ICC)</strong></th>
<th>Luis Reyes</th>
<th>December 5, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measures should focus on prevention instead of reconstruction after disasters.</td>
<td>The proposed intervention area is in line with vulnerability levels.</td>
<td></td>
</tr>
<tr>
<td>Local and traditional knowledge should be included.</td>
<td>The objective and outcomes of the project are achievable and realistic.</td>
<td></td>
</tr>
<tr>
<td>Successful measures: improved seeds, reforestation with local species, livestock to complement income, risk management with climate change approach.</td>
<td>The Institute operates in the Southern part of Guatemala and counts on 25 meteorological stations and early warning systems for floods. Its function is to</td>
<td></td>
</tr>
<tr>
<td>CONRED needs strengthening on climate change regarding methodologies to create vulnerability maps at community and municipal level (access to map layers, software).</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
investigate and develop projects on climate change mitigation and adaptation. The interventions are based on watershed management.

- There exists an interest to work together in the project; the highest part of their intervention area is located in Totonicapán.
- It is important to implemented practical measures and use the local languages.

<table>
<thead>
<tr>
<th>Stakeholders at local level</th>
<th>Proposed intervention results</th>
<th>Rainforest Alliance</th>
<th>Oscar Rojas</th>
<th>October 15, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Red Suroccidental de Cambio Climático (Southwestern Network on Climate Change)</strong></td>
<td>Successful measures: rainwater harvesting for irrigation, home gardens with native plants, rainwater harvesting for drinking water, cash-for-work for short period while livelihoods are created or diversified. It is important to assess measures and to evaluate the cost-benefit ratio.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The proposed results are suitable for the intervention area and at national level. It is important to include adaptation plans in the municipal development plans.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The intervention area is appropriate, because of the observed changes in rainfall patterns, the increased drought and other risks because of climate change in the municipalities.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>It is very important to take cultural pertinence into account and recognise the importance of traditional practices.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indigenous Authority of 48 Cantons of Totonicapán</th>
<th>Rufino Zapeta</th>
<th>November 22, 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Successful measures: reforestation adapted to local risks, such as frost; implementation of agroforestry systems; rainwater harvesting system with irrigation systems. Training material should be adapted to level of literacy and local language of the people.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Proposed intervention results 1 and 2 are suitable and should represent 80% of the intervention. Result 3 is less important, because the information is already available at that level.</td>
<td></td>
</tr>
<tr>
<td>Municipality of San Francisco El Alto</td>
<td>Antonio Pérez</td>
<td>November 22, 2016</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>---------------</td>
<td>--------------------</td>
</tr>
<tr>
<td>• Proposed intervention area is in line with the high vulnerability to climate change of the municipalities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The elder people have a lot of knowledge that is useful for climate change adaptation, such as weather predictions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Municipality of San Cristobal Totonicapán</td>
<td>Carlos Say</td>
<td>November 22, 2016</td>
</tr>
<tr>
<td>• The municipality does not have experience with climate change adaptation. People from communities do manage a tree nursery for reforestation purposes, without the intervention of the municipality.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Results 1 and 2 are very appropriate, because in this municipalities, there is little knowledge on the legal and practical framework for climate change adaptation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The intervention area is suitable based on progress of the agricultural frontier, deforestation in certain areas and increase of droughts.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mancomunidad Metrópoli de los Altos</td>
<td>Fredy Samayoa</td>
<td>November 23, 2016</td>
</tr>
<tr>
<td>• The municipality does have knowledge on climate change, but the financial resources are not sufficient to cover measures.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Results 1 and 2 are well perceived and necessary to assist the municipality and communities to adapt to climate change. Result 3 is as well important to link local level to national level.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The area is highly vulnerable, making the selection of the intervention area appropriate.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The municipality recently joint the Mancomunidad Metrópoli de los Altos, which is a relevant fact, because they will work together with 8 other municipalities on the development agenda, including climate change adaptation and watershed management.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• It is important to involve governmental institutions at municipal level in order to achieve a higher impact.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

During the full proposal development and the implementation stage, mentioned national and local stakeholders will be involved and the following actors will be added:

- Ministry of Public Health and Social Welfare (MSPAS);
Ministry of Social Development (MIDES);
National Council for Protected Areas (CONAP);
The United Nations System (FAO, IFAD and UNICEF).

During the full proposal and implementation stage, mentioned local stakeholders will be broadly involved.

H. Status of Project/Programme

1) A pre-feasibility study is expected to be completed at this stage. Please provide the report in section J.

2) Please indicate whether a feasibility study and/or environmental and social impact assessment has been conducted for the proposed project/programme: Yes ☐  No ☒
   (If ‘Yes’, please provide them in section J.)

3) Will the proposed project/programme be developed as an extension of a previous project (e.g. subsequent phase), or based on a previous project/programme (e.g. scale up or replication)? Yes ☐  No ☒
   (If yes, please provide an evaluation report of the previous project in section J, if available.)

I. Remarks

J. Supporting Documents for Concept Note

- Map indicating the location of the project/programme
- Financial Model
- Pre-feasibility Study
- Feasibility Study (if applicable)
- Environmental and Social Impact Assessment (if applicable)
- Evaluation Report (if applicable)