

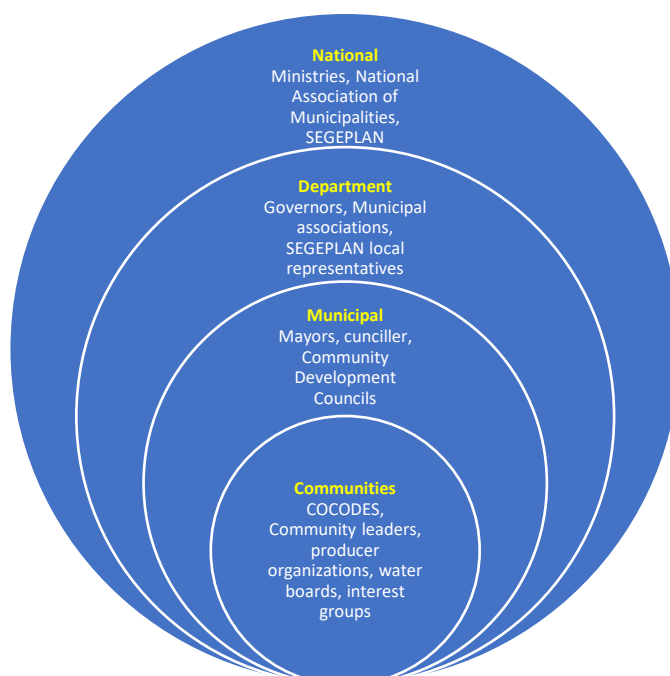
## ANNEX XXII – The Roles of Municipalities and Community-Based Organizations in Ensuring the Sustainability of Project Actions

### GREEN CLIMATE FUND FUNDING PROPOSAL

#### The Roles of Municipalities and Community-Based Organizations in Ensuring the Sustainability of Project Actions

The project will work with a range of key territorial actors in the target municipalities. Its overall approach will be to work within existing structures at both municipal and community levels that are formally recognised in national legislation with regards to roles, functions and responsibilities, and have been proven to work and to enjoy social legitimacy; and to exercise leverage on local planning processes. This will ensure sustainability, because new structures that are dependent on project funding will not be created; local processes and funding arrangements will be used and supported instead.

The levels of operation to be prioritized by the project are based on the levels of operation of institutions and organisations in Guatemala as shown below:



The project approach is in accordance with the principles of “nested governance”: Literature shows that cross-scale networks of resource management create more resilient governance but also governance that is more participatory and effective. Resource management based on integrated and well-linked resource systems (nested within national and international agendas, regimes, networks, and legal systems) and with multiple beneficiaries tends to be more robust/resilient than systems with greater or fewer linkages (Adger et al., 2005)<sup>1</sup>. The resilience and stability of governance systems depends on the distribution of benefits from cross-scale linkages, demonstrated by the ability of the system to command legitimacy and trust among resource users and governmental stakeholders. In this approach, it is shown that multilevel governance should be promoted not just for ecological reasons, but also because shared responsibility for management of resources creates positive incentives for sustainable use (Ostrom, 2012)<sup>2</sup>.

The project will therefore engage different levels of territorial actors, but will focus on municipalities and community-based organizations (CBOs) in particular Community Development Councils (COCODES),

<sup>1</sup> Adger, W., Brown, K. and E.L. Tompkins. 2005. “The Political Economy of Cross-scale Networks in Resource Co-management.” *Ecology and Society*. (10)2:9. <http://www.ecologyandsociety.org/vol10/iss2/art9>.

<sup>2</sup> Ostrom, E. 2012. “Nested externalities and polycentric institutions: must we wait for global solutions to climate change before taking actions at other scales. *Econ Theory*. (49). <https://link.springer.com/article/10.1007/s00199-010-0558-6>

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Community Development Associations, Producers Organizations, Water Boards and local interest groups, as primary institutions in implementation.

#### **Municipal Governments**

In practical terms, these constitute the most significant operational level of Government at sub-national level. The Constitution of the Republic, in Art. 134, grants Municipalities full independence; allowing them through the creation of Municipal Regulations to determine the main principles of their organization, and the operation and exercise of their independent powers. Art.142 and 143 of the law governing municipalities (*Código Municipal*) empowers municipalities to draft, approve and implement their own local land use and development plans. These articles also establish that plans will be developed based on the characteristics of the territory and the population growth trends.

Through Activities 2.1.1 (Establish or strengthen the capacity of 14 Local Water Committees for climate risk-informed integrated water resource management), 2.1.2 (Develop and implement 14 climate risk-informed water management plans at micro-basin level), 2.2.3 (Restore 13,000 ha through climate resilient management of forest ecosystems and agroforestry), and 2.3.1 (Provide trainings to improve technical capacity of 2,500 local officials and members of community organizations on the implementation and maintenance of micro-basin infrastructure) the project will operate and engage with the plans which municipalities are legally mandated to draft (please refer to last page of this document on how these plans interface with RELIVE). These are:

- a. Municipal development plans
- b. Land use plans
- c. Operative multiannual plan
- d. Operative annual plan

These planning processes are drafted by the municipalities during participatory processes with input from local community representatives, producer organizations, and other stakeholders. The sustainability of project interventions will be ensured by working with municipal government representatives and build upon into: -) land use and natural resources management, -) watershed planning and management, -) maintenance of micro-basin infrastructure, and -) implementation of annual plans that govern watershed management. Thereby ensuring the availability of municipal funds in the future as required in support of the oversight of the restored areas and to keep with actions established by the project.

These planning frameworks and arrangements have been used successfully in previous projects executed by FAO in Guatemala, including: Mesoamerica Sin Hambre project, Programa integral de desarrollo Ixil, Programa conjunto Alto Cuilco, and Resiliencia a la sequía en el corredor seco. The FAO country office therefore has significant experience in engaging in these processes and institutions, and will apply relevant lessons learned during the implementation of this project.

Representatives of municipalities will be empowered to influence project implementation directly, through their participation in the local level project Territorial Operating Units (TOU), alongside others including local staff from Ministry of Agriculture (MAGA), the National Forest Service (INAB), and Ministry of Environment and Natural Resources (MARN), Civil Society Organizations, Non-Governmental Organizations and producer associations, and representatives of project beneficiaries. The TOUs will serve as key channels of communication between the Project Management Unit (PMU) and key local stakeholders, and will assist in the implementation of stakeholder participation processes and the engagement plan. It will provide Municipal Government representatives with the opportunity, for example, to communicate their priorities for institutional strengthening to the PMU, and comment and advise on other issues including how project actions relate to their planning processes and instruments.

#### **Engagement with the project**

The project will interact with and strengthen Municipal Governments through a sequenced process, as follows:

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1. Formalization of the role of Environmental Management Units as project focal points in each municipality and development of a joint strategic/work plan with the Municipal Government to agree on the implementation of the project activities. Refer to Section B.4 (Funding Proposal).
2. Institutional strengthening of municipal governments. Under activities 2.1.1 (Establish or strengthen the capacity of 14 Local Water Committees for climate risk-informed integrated water resource management) and 2.1.2 (Develop and implement 14 climate risk-informed water management plans at micro-basin level), members of the TOUs will focus on developing and strengthening provisions for the municipal oversight, governance and implementation of watershed management plans (and the conservation of resilient landscapes). Including the definition of regulations and norms, and financing mechanisms (including Municipal recurrent budgets, complemented where feasible by other sources such as Compensations for Environmental Services).
3. Operational planning of the restoration activities. Under activities 2.1.1 (Establish or strengthen the capacity of 14 Local Water Committees for climate risk-informed integrated water resource management) and 2.1.2 (Develop and implement 14 climate risk-informed water management plans at micro-basin level), TOUs technicians will work with the staff of Environment Management Units in reviewing of existing land use plans and the territorial development plans to identify specific target sites based on the criteria of vulnerability of the communities. These analyses will then be subject to open consultation meetings, in order to ensure transparency and ownership by the local population.

#### Community-Based Organisations (CBOs)

Climate resilient landscape activities (Component 2) will take place at the scale of local communities within the target municipalities. It is at this level that the most direct practical influence on the success and sustainability of these activities can be achieved, by working with local community members who are familiar, and interact with, the target areas on a regular basis, and whose livelihoods are directly affected by their condition. While it is essential for the project to work with, and to strengthen, Municipal Governments in their planning and governance roles, sustainability will also be ensured by working with, and strengthening, community-based organizations under components 1 and 2. In this regard, these organizations and their members will be most directly involved in the implementation, maintenance and long-term oversight of the resilient investments.

The main entry point for the project at community level will be the Community Development Councils (COCODE). This are the legal community-based organization whose objective is to analyse community challenges and needs, and promote solutions and development of plans, programs and projects to improve the welfare of the community and its populations (Article 14, Decree number 11-2002, Law of Urban and Rural Development Councils)<sup>3</sup>.

COCODES have a unique role in local development and governance in Guatemala. They are groups of community members, which are legally authorized to ensure the welfare of their members and promote social and economic development at community level. They work together with Municipality offices to define community priorities, to have inputs in planning processes, to exercise oversight in order to ensure that the municipal governments implement activities according to agreed planning frameworks, and to implement projects with municipal funding that benefit the community and improve their living conditions, in areas such as agriculture, health, education, water or infrastructure. Among their responsibilities are coordinating and cooperating with other local groups to promote the progress of the community, promoting local organizations, and participating in the plans of local, regional, and national development.

An important function of COCODES is as a focus for self-oversight in local communities. They are important for community mobilization and can follow up and oversee actions on the ground. This will be key in ensuring the sustainability of RELIVE activities, particularly on watershed management. By

<sup>3</sup> For more detail on the legal basis and functioning of COCODES, please see [http://sistemas.segeplan.gob.gt/discode/sche\\$portal/documentos/ley\\_concejos\\_desarrollo\\_guatemala.pdf](http://sistemas.segeplan.gob.gt/discode/sche$portal/documentos/ley_concejos_desarrollo_guatemala.pdf)

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consulting and involving them fully, the project will work to ensure that COCODES have ownership of the actions of RELIVE in the target municipalities and communities (Activities 2.1.1 and 2.1.2).

COCODES can develop projects and if they are approved by the municipality, government funds will be provided for its implementation (these funds could be provided by Municipalities or Municipal Development Councils). Based on this, COCODES will play an important role in projects sustainability. The project will promote COCODES appropriation watershed management plans, and will work to encourage the development of projects to implement activities related with basin management. The idea is that at the end of the project local authorities will keep implementing (through COCODES and municipal projects) the actions of watershed plans.

#### **Engagement with the project**

Under Output 2.1 (Community-led Water Management Plans developed and implemented at micro-basin level to promote climate resilience and enhance economic productivity), the project, will support the development of Local Water Committees with the full participation of local community members and their organizations. The project will work in accordance with the following sequential process:

1. Participatory inception phase. As part of activity 2.1.1<sup>4</sup>. (*Establish or strengthen the capacity of 14 Local Water Committees for climate risk-informed integrated water resource management*) a participatory inception phase will be developed. The objective of this phase is to present the project, its components and the draft of the work plan, to the COCODES, representatives of the Municipalities and other relevant stakeholders. During this series of meetings, the work plan for the implementation of the activities will be redefined according to the local priorities and other existing plans. The idea is to reach an agreement on the overall terms for the project's interactions at community level. Furthermore, community-level information meetings will be organized by the COCODES to inform community members about the project and proposed activities and timeline and get their feedback. This information will be incorporated on the final version of the work plan. Once the work plan is prepared and validated, the annual operation plan will be developed and validated with the participation of local stakeholders.
2. Development of watershed management plans: For this activity the first step will be to train local stakeholder on the importance of watershed management, and the development of sustainable water management plans. After this, a series of participatory workshops will be implemented to develop plans and to establish local water committees. Once water committees are established, water management plans will be developed and implemented at micro-basin level. The inclusion of local stakeholders (such as COCODES, Municipalities, etc.) is important to ensure their appropriation and the sustainability of the project.

#### **Producer Organizations**

Producer organizations are integrated by small agricultural producers organized collectively to improve access to services such as markets, extension support, inputs and prices that otherwise would be more difficult to obtain at the individual level.

Work with these groups facilitates access to organized small agricultural producers, supporting the adoption of practices in a more simple and faster process. This is possible due to: 1) streamlining recognition of key producer organizations and their needs, 2) in most cases, these groups already have specialized teams that understand the importance of implementation practices from the technical perspective, 3) existing social structures allow for dissemination of ideas and management practices and 4) existing norms and organizational culture that facilitate technical work.

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<sup>4</sup> Please refer to Funding Proposal Section B.3 (*Project/programme description*) and H.1 (*Logical Framework*)

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On the other hand, as organizations respond to small producers needs, these ensure continuation of the work based on outcomes, lessons learned and experiences, promoting the sustainability of actions in the field once the project finishes.

#### ***Engagement with the project***

Producer organizations with the support of small producer members, are civil society organizations that in support with FAO will have a facilitating role also supporting the project providing technical services, to their members as well as other small producers in other organizations working at the local level.

Their participation is key for implementing Component 1. (Implementing resilient agricultural practices that improve producers livelihoods), they will be the entrypoint to accessing climate-vulnerable agricultural producers, and they will also engage in implementing actions. The process that will follow the implementation of activities under this component will include:

1. Start-up Phase (participatory): as explain in the previous section, the project will have a scoping phase during which the project will be disseminated and work plan will be discussed to review the work plan and adequate the annual operation plan to the needs of local stakeholders. During the first year of the project, the AOP will fine tune implementation practices that are climate resilient and dissemination of information on these practices (Output 1.1, 1.2 and 1.3)
2. Implementing phase: Capacity-strengthening activities will be implemented through capacity building and using an extension system based on cascade model that will allow fieldworkers from producer organizations and CADER<sup>5</sup> personnel to disseminate knowledge and methods to producers. Capacity building, technical assistance and technology transference will be done leveraging knowledge and experience of these field workers and CADER personnel using the peasant-to-peasant approach. Capacity building activities will include the recognition of priority areas for implementing restoration practices, promotion, information and training about climate-adaptation practices and elaborating management plans at the farm level, as well as their approval so that these can be included in forest incentive programs. Subsequently, management plans tied to forest incentive programs will contribute to improve resilience of vulnerable producers.
3. Monitoring and Evaluation Phase. A monitoring and evaluation system will be put in place to track implementation process and learning as well as training in the TOU, use and application of this system.

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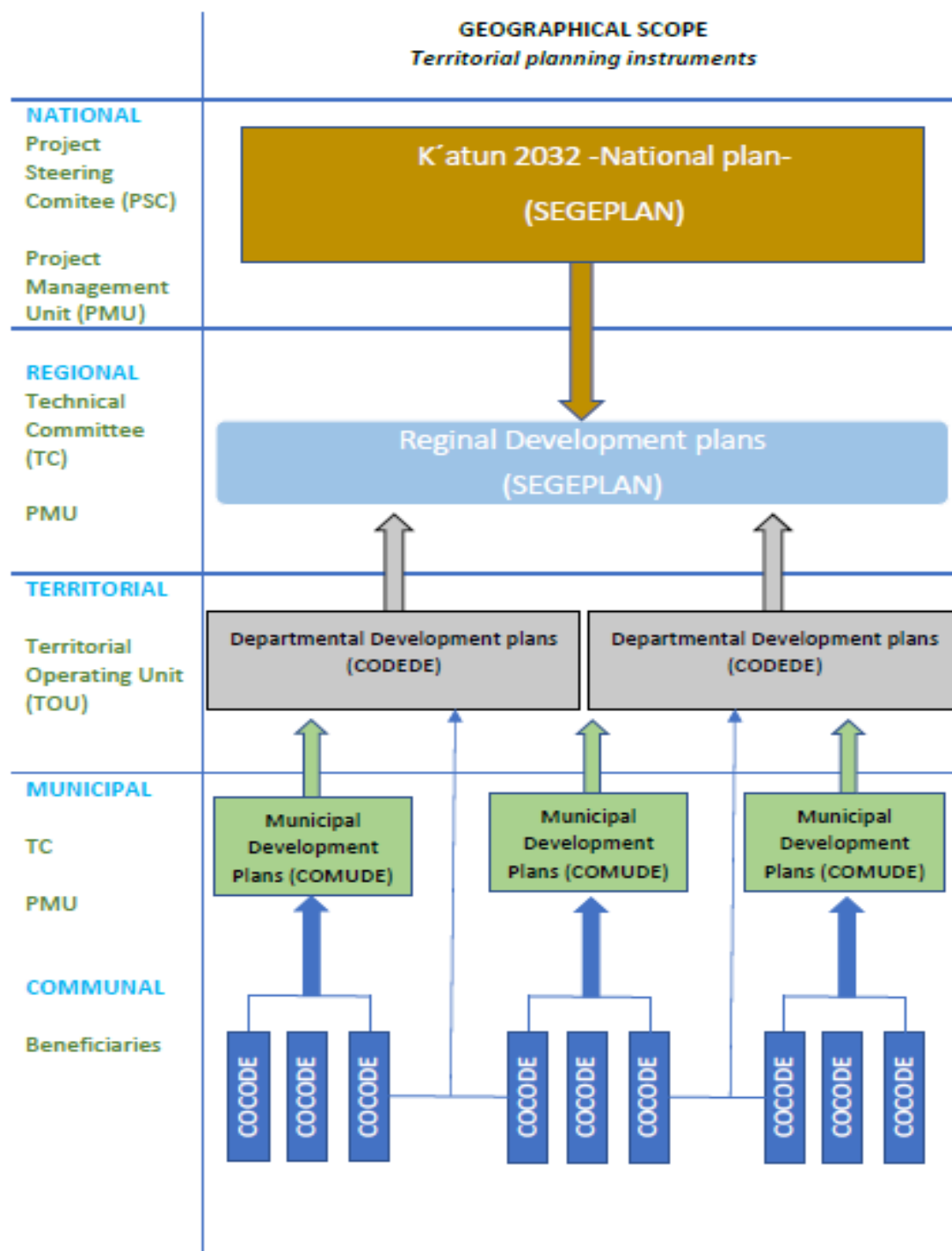
<sup>5</sup> CADER role and its structure is explained on section A.1.5 (Extension and training in the agricultural sector) of the Feasibility Study.

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### Complementary section

The following figure describes how the project is anchored in existing structures at municipal and community levels that are formally recognised in national legislation and will therefore secure sustainability and appropriation.



RELIVE