



**Food and Agriculture Organization
of the United Nations**

**RESILIENT LIVELIHOODS OF VULNERABLE
SMALLHOLDER FARMERS IN THE MAYAN LANDSCAPES
AND THE DRY CORRIDOR OF GUATEMALA
–RELIVE-GUATEMALA–**

**Summary of Stakeholder Consultations and
Participation Plan**

(Annex 7)

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Content

Acronyms.....	1
Introduction	2
1. Summary of the consultations with Indigenous Peoples.....	4
1.1 Description of Indigenous Peoples in Guatemala	4
1.1.1 Distribution of the indigenous peoples in the country	4
1.1.2 Socioeconomic Conditions	5
1.2 Free, Prior and Informed Consent in Guatemala	6
1.2.1 Background of free, prior and informed consent in Guatemala.....	6
1.2.2 Basic standards for the implementation of FPIC, according to ILO Convention 169	6
1.3 FPIC Methodology	7
1.3.1 General methodology	7
1.3.2 Socialization sessions to obtain FPIC.....	9
1.3.2.1 Actors who participate in the free, prior and informed consent process.....	9
1.3.2.2 FPIC Sessions	9
1.4 Outcomes	10
1.4.1 Importance of the Project "REsilient LIVELihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala"	11
1.4.2 Project Implementation Agreement	11
1.4.3 Recommendations to be considered prior to the presentation of the project to the GCF	12
1.4.4 Disagreements or non-compliance	12
2. Summary of the consultations with other interested parties.....	13
2.1 Training workshop for GCF preparation and presentation of proposals	13
2.2 Workshop to present the Concept Note	14
2.3 Workshop for the presentation and validation of the project proposal.....	14
3. Stakeholder Participation Plan	15
3.1 Participation and consultation at country level	15
3.2 Multiple stakeholders Process	16
3.2.1 Setting up a Multi-Stakeholder Process	17
Phase 1: Initiate the process	17
Phase 2: Build Sustainable Collaboration.....	17
Phase 3: Manage collaboration.....	17

3.3 Green Climate Fund Guidelines for the Involvement of Stakeholders	17
Step 1: Develop a strategy	19
Step 2: Map stakeholders and issues	19
Step 3: Engage with stakeholders	20
Step 4: Implement the plan.....	20
Step 5: Monitor and Follow-up	21
3.4 Stakeholders' Participation and Engagement in the RELIVE Project	21
3.4.1 Project Strategy to Engage Stakeholders	22
3.4.2 Stakeholder Mapping	22
3.4.3 Stakeholder participation plan.....	24
3.4.4 Implementation Plan.....	24
3.4.5 Monitoring and Evaluation of the Participation.....	25
4. Bibliography	26

Acronyms

NDA	National Designated Authority for the GCF
CATIE	Tropical Agronomic Research and Training Center
FPIC	Free, prior and informed consent
CONADUR	Urban and Rural National Development Council
FAO	Food and Agriculture Organization of the United Nations
GCF	Green Climate Fund
INAB	National Forest Institute
INSIVUMEH	Seismology, Volcanology, Meteorology and Hydrology Institute
MAGA	Ministry of Agriculture, Livestock and Food
MARN	Ministry of Environment and Natural Resources
ILO	International Labor Organization
PMU	Program Management Unit
RELIVE	Project: " REsilient LIVELihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala"
SEGEPLAN	Planning and Programing Secretariat of the Presidency
SCDUR	Urban and Rural Development Councils System
INE	Institute of National Statistics

Introduction

1. The involvement of all actors, engaged on the activities developed in the different territories, is necessary for the preparation of proposals that are effective on the fight against climate change and its impacts.

“A stakeholder is a person who has something at stake from the outcomes of a planning process or project.” (CE-FAO, n/d)

2. The stakeholders include:
 - Key decision makers and institutional “leaders”
 - Parties who are affected by the decision or the action
 - Parties responsible for the implementation
 - Parties who might oppose the decision or action; and
 - Parties who might facilitate or accelerate the process or its outcomes; experts
3. The dialogue with stakeholders, knowing their visions, concerns and interests will allow a project design considering a broader range of perspectives, addressing the various problems and providing benefits better aligned with the reality of people in the territories and the country’s development plans. As actors gain ownership, the project’s outcomes will continue beyond the scope of the project.
4. Specially, taking into consideration the approach of RELIVE project which seeks the resilience of the livelihoods of populations living in poverty and extreme poverty, as the prioritized territories have high percentages of indigenous population.
5. In addition, as a signatory to the United Nations Declaration on the Rights of Indigenous Peoples (UN Assembly, September 2007) and Convention 169 of the International Labor Organization (ILO), Guatemala is compelled to comply with its obligations in relation to inclusion, respect for the rights of indigenous peoples and the search for Free, Prior and Informed Consent (FPIC). To carry out the project, it is essential to obtain the FPIC of the population located in the territories where the initiative is planned to be implemented.
6. Within this framework of international law, FAO recognizes that food systems are not only an indissoluble part of peoples’ way of life, identity and cultural heritage, but are key in the fight against hunger.

7. On the other hand, it is expected that the effects of climate change and variability will cause crop losses and, in some cases, cultural changes in food, which will lead to problems such as chronic and acute malnutrition, loss of agrobiodiversity, reduction of water sources, migration, conflicts, among others.
8. A study commissioned by FAO Guatemala and developed by the University del Valle of Guatemala (UVG) indicates that the most vulnerable areas of the country are in the departments of Petén, Alta Verapaz, Baja Verapaz, the Dry Corridor and the Highlands (Altiplano), where climate change might cause a reduction in maize and bean yields of up to 37 and 34% respectively. This same paper also indicates that small farmers are particularly vulnerable to droughts, which will increase in frequency as a result of climate change. (Pons, Brincker, & Castellanos, 2018).
9. Given this situation, FAO has made it one of its priorities to contribute to enhance the livelihoods of the populations most vulnerable to the effects of climate change; for which it has developed the project named " REsilient LIVELihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala " known as RELIVE.
10. Structured in three section, the first part of this document summarizes the consultations with indigenous peoples, the second part presents a summary of the consultations carried out with the project's governmental partners, and the third part exposes the procedures to be followed to ensure that all project stakeholders are identified and will properly and effectively participate in its execution, in compliance with the policies of the Green Climate Fund, as well as the country's regulations and planning.

1. Summary of the consultations with Indigenous Peoples

1.1 Description of Indigenous Peoples in Guatemala

11. Guatemala is a country with a great ethnic, cultural and linguistic diversity, where Maya, Garífuna, Xinka and mestizo peoples live together. In Guatemala, the Mayan languages account 22 linguistic communities which have their own structure. All languages have a common history as they descend from the Mayan mother tongue called Protomaya, which was tracked to 4000 BC (Ministry of Education, 2018).
12. The following is a brief description of the distribution and socioeconomic conditions of the indigenous peoples, as well as a general presentation of the selected Departments where the project to be presented to the GCF will be implemented.

1.1.1 Distribution of the indigenous peoples in the country

13. According to Institute of National Statistics (INE 2016), in 2014 38.8% of the Guatemalan population identified themselves as indigenous, being the K'iche', Q'eqchi, Kaqchikel and Mam the majority groups. Table 1 shows the distribution of the population by ethnic belonging and linguistic community for the period 2000-2014.

Table 1. distribution of the population by ethnic belonging and linguistic community

Ethnic Belonging	2000	2006	2011	2014
Maya	39.0	37.9	39.0	38.5
<i>K'iche'</i>	8.9	10.3	11.1	11.2
<i>Q'eqchi</i>	6.0	7.4	8.4	9.2
<i>Kaqchikel</i>	8.3	7.1	7.8	7.0
<i>Mam</i>	7.6	5.2	5.2	6.1
<i>Other Mayan Community</i>	8.1	7.9	6.4	5.0
Ladino (Mestizo)	60.6	61.4	60.3	60.9
Other groups	0.4	0.7	0.7	0.5
Total	100	100	100	100

Source: INE, 2016.

14. This publication also indicates that the Departments with the largest indigenous population are: Sololá (96.8%), Totonicapán (93.6%) and Alta Verapaz (93.5%), while El Progreso (0.1%), Zacapa (0.3%), Jutiapa (1.8%) and Escuintla (5.0%) have the smallest percentages. It also mentions that in 2014, approximately a quarter of the Mayan population (23.7%) were monolingual in the Mayan language, the Q'eqchi' community having the highest percentage (51.8%), followed by the Mam (17.3%). %), K'iche' (14.9%), and Kaqchikel communities (87.4%).

1.1.2 Socioeconomic Conditions

15. Data from the National Survey of Living Conditions (ENCOVI, in Spanish) revealed that in 2014 almost four out of every five indigenous persons (79.2%) were in poverty. When comparing this figure with the non-indigenous population, poverty in the indigenous population is 1.7 times higher (INE, 2015).
16. As for extreme poverty, INE (2015) indicates that this affects particularly a large group of the country's indigenous population (in 2014 it was three times higher than in non-indigenous group), and that numbers keep increasing from 27.1% in 2000 to 39.8% in 2014.
17. In 2017, the participation of the indigenous population in the Economic Active Population was 61.8%, and 98.1% in the Employed Population, where 85.8% are employed in the informal sector, and 77.1% of children who perform some kind of economic activity are indigenous (INE, 2017).
18. Disaggregated data from the 2014 Living Conditions Survey (ENCOVI), by sex and ethnicity, shows that indigenous population - aged 15 or older - have the lowest literacy rate, and indigenous women are positioned at the bottom. The average schooling for the group aged 15 years or older, is only 5.6 years nationwide: 4 years for the indigenous population and 6.6 for the non-indigenous. As for children under 7 years who were not enrolled in pre-school education, the rate for indigenous children is 91% while is 82.4% for non-indigenous children.
19. As for school absence for the group comprised between 7 and 12 years old, the difference is significant when comparing between the two ethnic groups: 13% for the indigenous population while 6.1% for non-indigenous population (INE, 2016).
20. When analyzing the distribution of the population enrolled in higher education, it is observed that the proportion is higher (86.2%) for the non-indigenous population than for indigenous population (13.8%) (INE, 2016).
21. Regarding public investment assigned to the indigenous peoples, ICEFI (2016) indicates that in 2015 of the total budget, Q42,623.7 million was directed to the citizens, a quarter of which was allocated to indigenous peoples (Q10,646.6 million). In other words, in 2015 the investment on indigenous peoples was equivalent to 2.2% of the gross domestic product (GDP), while investment directed to the non-indigenous population (mestizo) accounted for 6.5% of the GDP. The same source stated that when analyzing public investment at a geographical/administrative level, in municipalities where 90% of the population is indigenous the maximum level of daily investment per person is Q4.40, while in municipalities with 10% of indigenous population, the daily investment can reach up to Q21.90 per person.

1.2 Free, Prior and Informed Consent in Guatemala

1.2.1 Background of free, prior and informed consent in Guatemala

22. The right of Free, Prior and Informed Consent (FPIC) was instituted as a collective right of indigenous peoples in 1989 as part of the Convention No. 169 of the International Labor Organization (ILO) which was ratified by Guatemala in 1996, and in 2007 as part of the United Nations Declaration on the Rights of Indigenous Peoples. However, consultation as a method for decision-making within the communities and indigenous peoples of Guatemala, as in other Amerindian peoples, was a constant and a pre-Columbian practice, as shown in the Popol Vuh, a pre-Columbian Maya document, that describes how consultation is a method used for decision making by actors and characters of said literary work (Anonymous, 1997).
23. Thus, the Mayan indigenous peoples, like the rest of the indigenous peoples, in their long history and based on their community ethics, resorted and continue to use consultation and consensus for decision making, particularly if these decisions involve the community. These experiences were and are a constant in the daily life of Mayan families, communities and indigenous peoples. (Gonzáles, Rodríguez, & Gurri, 2007).
24. After the ratification of ILO Convention No. 169, this consultative practice was made visible and interpreted under the theoretical framework of FPIC, established in that agreement. Since 2005, the Mayan communities carried out different processes of self-consultations to make decisions about the presence of extractive companies in their territories. There is no official record of the number of self-consultations made, however, until 2016, close to a hundred consultations throughout the country were unofficially estimated: some at municipal level, others within indigenous communities threatened or affected by business activities or projects (Xiloj Cuin, 2017).

1.2.2 Basic standards for the implementation of FPIC, according to ILO Convention 169

25. Although there is no international consensus on a unified guide on how the FPIC process should be carried out, based on the contents of international and comparative law, minimum standards can be identified to make such consultations.
26. According to ILO Convention 169, "... consultations carried out pursuant to this Convention must be conducted ... to reach an agreement or to obtain consent on the proposed measures" (Article

6, paragraph 2). The consultation aims to reach an agreement, or to know whether there is a consent of the peoples on the consulted subject (ILO, 2014).

27. According to the same Convention, the consultation acquires special relevance in the following six cases:

- When planning legislative or administrative measures (Article 6, section 1)
- Before proceeding with the prospecting or exploitation of subsoil resources (Art. 15, Inc. 2)
- When considering the alienation of lands of indigenous peoples or the transfer of their rights over these lands to persons alien to their community (Article 17)
- Prior to the relocation of indigenous peoples, which must only be carried out with the consent given freely and in full knowledge of the facts (Article 16)
- In the organization and operation of special professional training programs (Art. 22)
- In measures designed to teach children to read and write in their own indigenous language (Article 28).

1.3 FPIC Methodology

1.3.1 General methodology

28. The Ministry of Environment and Natural Resources -MARN- (which is the Designated National Authority -DNA), with the technical assistance of the Fund for the Development of Indigenous Peoples in Latin America and the Caribbean -FILAC-, and FAO, as well as the Ministry of Agriculture Livestock and Food -MAGA, and the National Forest Institute -INAB- (which are the government partners that will jointly implement the project), developed a participatory methodology for this project to generate dialogue, the exchange knowledge and to achieve the consent of the participating indigenous peoples.

29. To this end, a series of preparatory meetings were held among the above-mentioned actors, which included a common understanding of the topic in order to apply the methodology and to achieve the objectives according to the available legal provisions previously exposed.

30. The methodology was designed from July to September 2018, for which secondary information related to the analysis framework of indigenous peoples was examined. Some of the main sources of information are: The Declaration of the United Nations on the Rights of Indigenous Peoples, the Declaration of the Organization of American States (OAS) on the Rights of Indigenous Peoples, the Policy on Indigenous Peoples of FAO, FAO Guidelines for field staff on Free, Prior and Informed Consent, and the recently approved GFC Policy on Indigenous Peoples. The 4-step process is described below:

1. **Identification of the affected indigenous peoples and their representatives:** to know who are the persons with whom to interact and how decision-making is structured in the community.
 2. **Documentation of geographic and demographic information:** to know where the indigenous populations are located, where are their lands and their natural resources.
 3. **Design of a communication plan to socialize the project's information:** this allows indigenous peoples to be informed in a proper and transparent manner, so that they can freely decide on the intended project. It also allows to establish a dialogue to share knowledge and to obtain inputs for the formulation of the project.
 4. **Achievement of consent and documentation of the needs of the indigenous peoples to be included in the project:** the objective of this step is to obtain consent from all parties engaged in the project prior to its start, as well as to document the needs of the involved actors in order to include that information in the project and therefore ensure that the implemented activities effectively resolve those needs.
31. It is important to note that the Ministry of Labor - which is the responsible body for the application of Convention 169 – participated on the development of the document and agreed with the methodology proposed by FILAC-FAO.
 32. Based on the contact list validated by the partner institutions, telephone calls were made to each of the leaders of the indigenous organizations located in the prioritized municipalities. The purpose of the FPIC was broadly explained, and they were asked whether they were interested in participating so they could receive a brief document with more details about the project, as well as the invitation.
 33. The invitation to participate in the session was extended by the Ministry of Environment and Natural Resources, specifically by the Coordinator of the Multiculturality Unit. Since MAGA has a wide network of technicians in the field, they were in charge of delivering the invitations to the different indigenous organizations.
 34. To ensure that the institutions received as much information as possible about the project, a background paper on the situation of climate change in Guatemala and the proposed measures was sent along with the invitation.
 35. Based on the above information, the organizations designated the participants who would represent them during the socialization sessions and could provide their consent.
 36. The consent, as well as the documentation of the needs of the indigenous peoples that will be included in the project (step 4 of the present methodology) was obtained through the socialization sessions, as described below.

1.3.2 Socialization sessions to obtain FPIC

37. This section presents the methodology used in the socialization sessions carried out to obtain FPIC as well as the actors who participated in the process.

1.3.2.1 Actors who participate in the free, prior and informed consent process

a. Indigenous peoples participating in the FPIC sessions (actors)

38. The indigenous peoples located in the territory where the project is to be implemented are: Maya Q'eqchi, Maya Poqomchi, Maya Achi, and Maya Ch'orti; where the Q'eqchi population is the majority.

b. Actors who carried out the sessions

39. In the absence of a regulatory framework officially approved by the State of Guatemala for the FPIC procedure, and following the customary practice of self-consultation in indigenous territories, the consent of this particular project was coordinated by MARN in its role of DNA with the support of the implementing partner institutions (MAGA and INAB). This process was also supported by FAO and FILAC, and by the representatives of the indigenous peoples and local communities.

1.3.2.2 FPIC Sessions

40. A total of eight FPIC sessions were carried out: four of them with the Q'eqchi 'population (as the majority group in the prioritized territory), two with the Ch'orti' population (because of distance and mobilization, as well as to ensure a representative participation of this group), one with Achi population, and one with the Poqomchi population.
41. Each session lasted approximately seven hours. The first activity was a self-presentation of the participants. Then, in a participatory manner, the attendees defined the rules to be observed during the meeting. Subsequently, the team, composed by MARN, MAGA, INAB, FILAC and FAO, explained the objectives of the activity and the work methodology. In this introduction, emphasis was placed on the fact that this exercise was carried out as a practice of the rights of indigenous peoples.
42. The methodology included: a) an introductory presentation on the importance of local participation in the elaboration of projects, and FPIC within the framework of the rights of indigenous peoples; b) a presentation on the current and foreseen impact of climate change in

the proposed area of intervention (southern Petén, Zacapa, Chiquimula, Alta and Baja Verapaz); c) presentation of the project and how the proposed actions would support an effective adaptation to climate change to mitigate its effects. Then, a space was opened for questions and to share the indigenous leaders' opinions, in order to provide more information about the project and its impacts.

43. Next, working groups (composed by six to ten persons) were formed so participants could share their experiences and concerns on climate change, and present their own experiences on adaptation and the use of traditional knowledge to overcome these situations. There was also room for reactions to the project proposal. These activities were conducted through a dialogue to share knowledge: participants exposed their ideas and opinions, enabling discussions within each group. To promote discussions, triggering questions were presented, such as: 1) the effects of climate change in their regions, municipalities and communities; 2) practices, measures or actions based on traditional knowledge that should be used to address the impacts of climate change at local level; 3) the role that men and women on implementing of these actions; 4) opinions about the project and its impacts after its implementation.
44. The outcomes of each working group were socialized and discussed in a plenary session, as well as whether it was pertinent or not to participate in the project, and if relevant, how local needs should be addressed.
45. During the plenary session, the main reflections and recommendations for the project and its development were systematized, as an essential input for the drafting of the Minutes of Agreement that were signed and sealed by the representatives of the participating indigenous peoples.
46. The Minutes were prepared and read; if any participant had observations, they were immediately incorporated. Once the consensus version was available, it was printed, signed and sealed by the participants.
47. Once the minutes were signed and sealed, the meeting was closed.

Outcomes

48. A total of eight socialization sessions were held in which 165 representatives of indigenous organizations and 184 persons representing the communities participated. Disaggregated data show that a total of 104 participants were women (57%) and 80 were men (43%).
49. For more details, see Table 2, which presents the results of the consultation with indigenous peoples.

Table 1. Number of participants and organizations in the socialization sessions disaggregated by sex and linguistic community.

Municipality	Men		Women		Total	Linguistic Community	Organizations (#)
	#	%	#	%	#		
Cobán	13	38%	21	62%	34	Q'eqchi'	18
Fray Bartolomé de las Casas	6	33%	12	67%	18	Q'eqchi'	18
Jocotán	13	57%	10	43%	23	Ch'orti'	19
La Tinta	12	60%	8	40%	20	Q'eqchi'	15
La Unión	5	63%	3	38%	8	Ch'orti'	8
Poptún	13	65%	7	35%	20	Q'eqchi'	18
San Miguel Chicaj	9	38%	15	63%	24	Achi	24
Tactic	9	24%	28	76%	37	Poqomchi	45
Total	80	43%	104	57%	184		165

1.3.3 Importance of the Project "REsilient LIVelihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala"

50. The representatives of the indigenous peoples who participated in the FPIC sessions agreed that there is a real need of the project and are in favor of its development, such as the proposed by FAO and MARN to help strengthening resilience capacity to climate change of vulnerable small farmers in the Mayan landscapes of Petén, Alta and Baja Verapaz, Zacapa and Chiquimula.

1.3.4 Project Implementation Agreement

51. As previously mentioned, the representatives of the indigenous peoples participating in the eight FPIC sessions considered that the project is relevant to support adaptation to climate change in their communities and territories, and from that account they ratified their interest and total agreement for the project to be managed and executed by the involved parties (MARN, MAGA, INAB, and FAO).

52. The details of the agreements reached are stated in the socialization Minutes of the sessions which are under the protection of the FAO office in Guatemala, and may be consulted at any time.

1.3.5 Recommendations to be considered prior to the presentation of the project to the GCF

53. Prior to the presentation of the project to the Green Climate Fund, the indigenous peoples suggested some items to be considered; some of the recommendations are:

- To the extent possible, the solutions proposed by the project should be based on the recognition of traditional knowledge and cultural practices.
- The gender issue should be addressed (with special recognition of the role of women, as carriers and transmitters of traditional knowledge); as well as including all actors involved in the management of natural resources (upper, middle and lower parts of the basins).
- The project should be based on local, formal and legal organizational structures with special emphasis on indigenous peoples.
- The action plans for each area should be developed according to the environmental and social conditions of each locality.
- The project's actions should promote the strengthening of community capacities, agricultural diversification, commercialization, and productive linkages.
- The proposed practices should be friendly to the environment and based on ancestral knowledge, promoting the use of native seeds and the protection of Mother Nature.
- The proposed solutions should focus on the protection of water sources, water harvesting, management and protection of forests, soil conservation, subsistence agriculture (maize, beans, poultry, family gardens), cash crops (coffee and cocoa), sowing calendars and crop management (due to the fact that climatic variability has increased in recent years), as well as managing crop diseases.
- Reforestation, protection of forests and agroforestry systems should be included in the forestry incentive program.
- Within the crop related actions, the collection of rainwater, the efficient use of water, the reuse of water resources, and the efficient use of energy sources should be considered.
- To the extent possible, actions should be promoted to raise awareness and provide training on climate change, environment and how to mitigate climate impacts.
- Prior to the start of project activities, a round of sessions should be held to socialize with Indigenous Peoples the final version of the project approved by the FVC.

54. The details of the suggestions made by the indigenous peoples in each of the socialization sessions are stated in the corresponding minutes.

1.3.6 Disagreements or non-compliance

55. In each plenary session it was agreed that the representatives of the organizations of the indigenous peoples can address any disagreement or non-compliance related to execution of the project to the responsible State bodies.

2. Summary of the consultations with other interested parties

56. Even though this section summarizes the three most relevant socialization and consultation events that have taken place with the stakeholders of the government institutions, it is important to highlight that from January 2018 to the present, there has been a sustained series of work meetings with the institutions that will be involved in the execution of the RELIVE project, in some cases to review specific sections of the proposal, others to coordinate exchange of information, and sometimes to clarify specific issues bilaterally with the government institutions that will implement the proposal
57. From January to March 2018, eight work meetings were held with technicians from FAO, MAGA, MARN and INAB to develop the project's concept note. During these meetings information was gathered and the different parts of the proposal as well as the progress on its construction were presented, and in a working session, FAO and Eco team incorporated observations and contributions from government entities. On March 16, 2018, the preliminary proposal was presented to the specialists representing the institutions' authorities.
58. The same procedure was followed with the project proposal, for which six work meetings were held between February and April 2019. During these meetings the project components and the other relevant parts of the proposal were presented, so that the technicians could provide inputs. As the preliminary proposal was already available, a socialization workshop was held on March 26, 2019, with the participation of specialists appointed by the MAGA, MARN and INAB authorities.
59. To participate in the socialization and validation workshops, the different institution authorities appointed technical specialists from the Managing and Thematic Units linked to the project, such as officials from climate change, watershed management, forest incentives, restoration of the landscape, projects, rural extension system units, etc.

2.1 Training workshop for GCF preparation and presentation of proposals

60. With FAO country office team, from January 15 to 19, 2018, a training workshop was held for the country team (officials from government institutions: MARN, MAGA, INAB, SEGEPLAN, INSIVUMEH) and FAO officials, on the aspects required to initiate the design of the GCF Financing Proposal.
61. The five-day event allowed time to discuss the GCF Financing Proposal and for training sessions.

62. As a result of the workshop, in consensus with the National Designated Authority (NDA) and the government bodies, it was decided to refocus the proposal and shift from the resilience of the ecosystem to a livelihoods resilience approach, which implied the rewriting of Concept Note presented to the GCF in 2018; however the importance of this result is that the document includes the results of the discussion among officials from the institutions that will be part of the execution, and that capacities were built.

2.2 Workshop to present the Concept Note

63. The goal of this workshop was to present to the government organizations, that will participate in the implementation of the proposal (MARN, MAGA, INAB, CONAP, SEGEPLAN, INSIVUMEH), the final version of the concept note developed from the inputs of the technicians of these institutions, in order to receive new feedback.
64. A total of 19 persons attended: 2 representatives of MARN (10%), 6 representatives of MAGA (31%), 2 of INAB (10%), one of INSIVUMEH (5%), 7 of FAO (36%), and a representative of the Independent Association of Latin America and the Caribbean (AILAC, in Spanish).
65. After the presentation, the representatives of the different organizations agreed with the proposal and requested a copy of the document to review and provide additional feedback. It was agreed that MARN, as Designated National Authority, would socialize the document to all parties by March 20 and the representatives of the institutions would send their comments by March 27.

2.3 Workshop for the presentation and validation of the project proposal

66. The purpose of this workshop was the socialization of RELIVE project proposal to be presented to GCF, so to obtain comments and inputs that allow the development of a consensus version. It was attended by 29 people, all government officials who were involved in the design: 5 representatives of MARN (17%), 6 of MAGA (21%), 8 of FAO (27%), 4 of INAB (14%) and 2 representatives of CATIE, 2 of SEGEPLAN and 2 of ECO (each 7%), the latter is the consulting company that supports the preparation of the proposal for to be finance by the GCF.
67. As a result of the discussions with government institutions, technical inputs were provided to complement the proposal, and the DNA (MARN) and government partners with whom the proposal will be implemented agreed on the arrangements for the implementation of the project. It was also agreed to move forward with the pending issues and to present the proposal to the FVC.

3. Stakeholder Participation Plan

3.1 Participation and consultation at country level

68. Guatemala is a signatory of Convention 169 of the International Labor Organization on Indigenous and Tribal Peoples in independent countries (ILO, 2014), which establishes the State's obligation to consult the peoples on legislative or administrative measures that might affect them directly, through the appropriate procedures, and particularly through its representative institutions, on (Article 6.1, paragraph a). According to the Convention, indigenous peoples must determine their own development priorities and must participate in the formulation, execution and evaluation of national and regional development plans and programs that might affect them directly (Article 7.1). The State recognizes the right of indigenous peoples to be consulted in a prior, free and informed manner (FPIC) before allowing any action that may affect their territory.
69. The Political Constitution of the Republic of Guatemala on the First Article establishes as its ultimate goal the fulfillment of the common good, and in Article 44 declares that "the social interest prevails over the private interest"; in Article 66, on ethnic groups, "The State recognizes, respects and promotes their ways of life, customs, traditions, forms of social organization, the use of the indigenous dress in men and women, languages and dialects"; also Articles 225, 226 and 228 regulate the National, Regional and Departmental Development Councils, which are complemented by the Municipal and Community levels through the Urban and Rural Development Councils Law (Decree 11-2002).
70. The K'atun National Development Plan: our Guatemala 2032 (CONADUR, 2014) focuses its implementation on governance, understood as the reconfiguration of relations between the State and society through consensus and coordination mechanisms to decide, execute and evaluate decisions related to national development, transforming the response capacity to the different challenges that face the country. The same Plan states that Guatemala has made progress in terms of opening participation spaces through the Urban and Rural Development Councils Act (Decree 11-2002) and the System of Urban and Rural Development Councils (SCDUR), opening a space for the proactive participation of the civil society in the decision-making, coordination and planning of the development, combining the citizens needs and proposals and the actions of public institutions.

71. In some national processes such as the preparation of the Strategy to Reduce Emissions from Deforestation and Forest Degradation (National REDD + Strategy), the land use sector has a series of experiences on stakeholder groups participation and consultation (Group of Inter-institutional Coordination, 2017).

3.2 Multiple stakeholders Process

72. The stakeholder analysis is a tool to identify the needs and concerns of the different stakeholders regarding the project and its implementation. It can help improve everyone's understanding and create consensus, communicate benefits of the proposed project, and design in an inclusive manner its implementation (CE-FAO, nd).

73. A multi-stakeholder process (MSP) is about participatory decision-making and information sharing at the country level. Key stakeholders should be represented and decide what issues to focus on and what actions to take. These processes range from simple processes, such as one-off consultations, to more complex ones such as multi-stakeholder networks and partnerships. The benefits of MSPs include:

- **Relevance:** Local stakeholders best understand which activities are truly relevant to their needs and are realistic in a specific context.
- **Ownership and sustainability:** Local stakeholders share information and jointly decide what actions to take. This leads to a greater local ownership of activities and outcomes, which makes them more sustainable.
- **Builds partnerships and alliances:** Sharing goals strengthens partnerships and creates opportunities for dialogue and sharing resources (FAO, nd).

74. FAO recommends some practices to carry out these participatory processes:

- Key stakeholders should be involved in designing the MSP and coordinating the process.
- Conducting a stakeholder mapping exercise will ensure that all stakeholders are represented, and will allow to learn about the power relations.
- Training local facilitators who speak the local language.
- Ensuring that women and traditionally marginalized groups have a voice and that meetings are truly participatory.
- Having a permanent platform for multi-stakeholder consultations will ensure that the benefits of MSPs continue beyond the scope of the project or program.
- During meetings, avoid long presentations by experts and maximize the time for discussions and group work.
- The process should be used to find common points / goals among the parties and build a shared vision of the project, even at a longer term, avoiding focusing on the differences between stakeholders.

3.2.1 Setting up a Multi-Stakeholder Process

75. Three main steps are proposed, each with specific objectives and actions, to achieve the main objective which is the involvement of all the stakeholders in a specific process, so that decision making as well as the execution of actions are carried out in a truly participatory manner. FAO proposes the following steps:

Phase 1: Initiate the process

76. This step aims to clarify the common objectives and the scope of the initiative. An initial situation analysis is conducted to identify the stakeholders: what are their interests, fears, expectations, issues and power relationships, as well as the policies involved. A coordination team is established and the main milestones are identified.

Phase 2: Build Sustainable Collaboration

77. Once Phase 1 has been completed and the process has started, the parties should seek a shared future vision, ensuring that the decision-making process is inclusive and participatory. Relationships of trust should be built through the sharing of values, concerns and interests of each of the involved groups; for it is important communicating progress and outcomes to the stakeholders regularly.

Phase 3: Manage collaboration

78. During the third phase detailed and concrete action plans will be developed, resources and support for the implementation of said plans will be managed, capacities should be strengthened, and implementation and management mechanisms will be established, including mechanisms for conflict resolution (FAO, nd).

3.3 Green Climate Fund Guidelines for the Involvement of Stakeholders

79. The Environmental and Social Policy of the Green Climate Fund (GCF) (Green Climate Fund, 2018), clearly states that the activities financed by this Fund must have the support and the participation of multiple actors throughout its development and implementation; it points out that the process should be inclusive, gender responsive and culturally appropriate, based on the publication of relevant information, in accordance with the GCF Information Dissemination Policy (Article 8i). It also states that for those activities that affect the territories of indigenous peoples, they should

be consulted and, if necessary, a plan for the management of the impacts should be established and built with the participation of the affected indigenous peoples.

80. In general terms, the latter applies to all persons who may be affected by the activities of a project or program, whether they are indigenous peoples or not (Art. 18, 46, 47). Section 7.2 (Art. 67 to 72) specifically addresses the involvement of stakeholders, understood as those actors who are affected or potentially affected by proposed GCF funded activities; it indicates the need for a participation plan and its requirements, with particular emphasis on vulnerable and / or marginalized groups or individuals.
81. The stakeholder participation plan will describe how information will be disclosed; the process by which meaningful consultation and informed participation will take place in a culturally appropriate and gender responsive manner; and in certain circumstances, how the free, prior and informed consent of indigenous peoples should be obtained, according to GCF social and environmental standards. Stakeholders participation will be guided by the principles of transparency, inclusiveness, non-discrimination, "do no harm" and accountability, as well as by international best practices.
82. The GCF requires and will ensure that meaningful consultations are carried out throughout the life cycle of the activities in a culturally appropriate manner, providing information in real time and in a friendly format, in local languages, through an inclusive and gender responsive process, free from coercion, and incorporating the visions of the actors in the decision-making processes. The entire process and specific cases will be supported by the objectives and requirements of the GCF social and environmental standards and other relevant policies.
83. For an Accredited Body and Executing / Intermediary Entities, stakeholder participation should be seen as an opportunity to improve each phase of its activities, and not only as a process to validate or confirm positions of individuals or groups (Green Climate Fund, 2019). These processes can be a great opportunity to innovate and collaborate on shared challenges, build trust and credibility, and improve outcomes.
84. It is necessary to differentiate between "consultation" and "participation". The first involves seeking the input of stakeholders to better understand their perspectives; if well designed, the consultation processes show due diligence in considering a range of opinions. "Participation" is a more in-depth process that gives stakeholders a larger role in framing questions and participating actively in the project discussions, it is an on-going and two-way dialogue.

A "meaningful" process has certain characteristics (Green Climate Fund, 2019):

- Flexibility, adapting to national and local needs, as well as the activity conditions and requirements;
 - The project general budget includes resources for participation activities, including salaries or fees for experts who facilitate the process;
 - The process starts early enough to identify problems and influence decisions;
 - Information is presented in understandable and culturally appropriate formats
 - Communication flows two ways;
 - The processes are inclusive for the different groups;
 - Free from coercion or manipulation;
 - The meetings are well documented to be able to follow up;
 - The process to timely reporting is clear and mutually agreed.
85. The GCF recommends following five steps to develop a meaningful involvement of stakeholders, as described below (Green Climate Fund, 2019):

Step 1: Develop a strategy

86. It is important that the project executing team and the stakeholders are clear about why the participation and engagement of the stakeholders is important; this will provide direction to the working teams and the actors in general. It can start from a brainstorm to develop the stakeholder's participation general strategy that articulates the purpose and objectives of the participation plan, guiding principles, commitments and success indicators, roles and responsibilities related to the stakeholder's participation, among others.
87. For an effective participation, the project management team should include specific personnel responsible for the participation and engagement of the communities, including gender and social / cultural specialists, and others with specific expertise.

Step 2: Map stakeholders and issues

88. Mapping exercises are the starting point for developing plans and strategies to effectively engage stakeholders, addressing their concerns and gaining their support. They help to organize people and groups of interest according to specific criteria related to the project, such as positions, interests, expectations, relative influence on the specific project or within an organization or community, the possible contributions to the project or to a specific activity, etc. They are useful to ensure that a wide range of participants and diverse perspectives are promoted.
89. Stakeholder maps are dynamic, which means that the perspectives and interests of the actors can change throughout the life of the project, as more information becomes available, or as a result of their involvement.

90. Not all interest groups will share the same concerns or perspectives, it is important to develop a prioritized engagement list using a hierarchy system. This implies an analysis of multiple factors related to the potential social and environmental impacts of the activity, and the level or intensity of engagement that may be required for each stakeholder group.

Step 3: Engage with stakeholders

91. Once the stakeholder groups, their problems and interests have been examined, it is important to validate the assumptions with the same groups and adjust what is necessary through initial approaches or "pre-consultations", which also offer the opportunity to share information about the project, gather ideas on how to handle communication and participation, etc. It is crucial to meet with all the stakeholders identified in the mapping exercise.
92. A practical approach to manage stakeholders is to divide them into three categories:
- **Those who are engaged**, are most likely to be affected by project activities, are the key stakeholders;
 - **Those who communicate**, are not as directly impacted, but might have a high interest in the activity and willingness to participate, as well as experience in issues relevant to the project. They are actors with whom it is important to maintain communication and with whom specific activities can be coordinated.
 - **Those who are informed**, they are less interested and less willing to collaborate directly with the project, however, they may wish to receive information and updates.
93. When engaging key actors, it is important to consider some good practices:
- Choose properly the meeting places
 - Provide information that responds to expectations and interests of the group of actors engaged in the project, that is understandable and contextualized;
 - Consultations and meetings are gender inclusive and culturally appropriate, where most vulnerable and marginalized groups are represented, which process is free from coercion, intimidation or reprisals;
 - Listen deeply, acknowledging participants' concerns, seeking common understanding and identifying areas of disagreement, be prepared to negotiate, change plans and explore alternatives;
 - Offer multiple opportunities for consultation and participation;
 - Keep track of all meetings and activities, with agreements and timelines for tasks;
 - Distribute summaries of meetings to stakeholders and appropriate interest groups

Step 4: Implement the plan

94. This is perhaps the most important step as it tries to translate the findings, agreements or recommendations into concrete actions. The action plan should be developed in two levels: internal that the Accredited Entity and the project partners will manage and execute directly, and

external actions that have to do with communications, specific engagements or stakeholders' meetings, it may involve external experience or partners.

95. The implementation plans must include clear descriptions of the commitments, the reason behind these commitments, decisions and their reason or justification; budget requirements, timelines and the roles and responsibilities of the executing team or interest groups who will implement the actions.

Step 5: Monitor and Follow-up

96. To ensure the success of the plan, a monitoring process must be included to understand how well the process is working and why, but also to respond to unexpected events as they unfold, such as changes in the scope, activities, locations or changes in external or project policies; all this can introduce new environmental and social risks and impacts, or increase the level of those already identified
97. Evaluation should be part of the overall participation strategy. Some projects align monitoring and evaluation of participation with project milestones, others conduct quarterly or semi-annual assessments of stakeholder participation.
98. In the following section, these five steps are developed as applied to the case of the project "REsilient LIVELihoods of vulnerable smallholder farmers in the Mayan landscapes and the Dry Corridor of Guatemala".

3.4 Stakeholders' Participation and Engagement in the RELIVE Project

99. Project stakeholders were identified and contributed to the design of the project, from national authorities to local, community-level associations, academy, farmers, etc. As mentioned in the consultation summary, in sections 1 and 2 of this document, the process was organized in several stages and resulted in a proactive participation during the initial phase and in the validation of the proposal, both with local actors in the territories, as with the Designated National Authority (MARN) and the other government institutions that will be involved in the execution of the project.
100. FAO consulted with indigenous communities located in the project area to ensure that the GCF was supporting concrete actions for indigenous peoples in a way that protects their rights and respects their social and cultural identity, including customs, traditions and institutions. FAO, in collaboration with MAGA, carried out a process to obtain free, prior and informed consent. The process involved indigenous populations within the jurisdiction of the 29 municipalities that

comprise the project area, including Maya Q'eqchi, Maya Poqomchi, Maya Achi and Maya Ch'orti. The consultation process was implemented through eight sessions in which the project was presented and opinions discussed. In total, 184 people participated (of which 57% were women). Consent was granted for the implementation of the project and an active commitment with the indigenous communities is foreseen for the successful achievement of the goals.

101. This process will be used as a basis to develop the stakeholder participation plan. The procedure to develop said plan is described below.

3.4.1 Project Strategy to Engage Stakeholders

102. At the start of the project, the Technical Committee of the project comprised of MAGA, INAB and MARN technical staff, led by the latter, and the technical secretariat in charge of FAO, will lay the foundations on the importance of the involvement of stakeholders for the RELIVE project and define the vision, scope and objectives, as well as some general guidelines based on the results of the consultation exercises carried out during the design phase of the project and the GCF provisions on gender, indigenous peoples and social and environmental policy. This will be carried out in one or two specific work meetings, facilitated by FAO specialists in social issues.
103. As part of the outcomes of these work sessions, it is expected to determine the specialized personnel who will be hired in the Project Management Unit (PMU) and the composition of the Territorial Operating Units, ensuring key personnel in both governance levels, who can follow up on everything related to the effective stakeholder's involvement.
104. These first general agreements will constitute the draft of the RELIVE project stakeholder's engagement strategy, which will be validated with local representatives of the institutions, farmers and beneficiaries of the project, to produce the final version of the strategy.

3.4.2 Stakeholder Mapping

105. Once the project's governance structures have been established and their operation has begun, one of the first activities to be programmed will be the mapping of stakeholders, in order to ensure that the project's different groups of interest have been identified and the level which its actions might affect them, the relationships between the actors and with the project. This will allow the classification of the groups according to their level of engagement throughout the life of the project. It is important to notice that at this stage the mapping of actors produced during FPIC will be used as an input and will be complemented with data obtained through the methodology detailed below.

106. For this task, a specialized team in social mapping will carry out the process through an appropriate, participatory and sufficiently robust methodology to ensure the effective identification of the key actors in the territories. The specialized personnel of the PMU and the Territorial Operative Units will coordinate the mapping.
107. It is expected to identify and classify actors in four main groups according to interest and influence on the project, as shown in Figure 1:

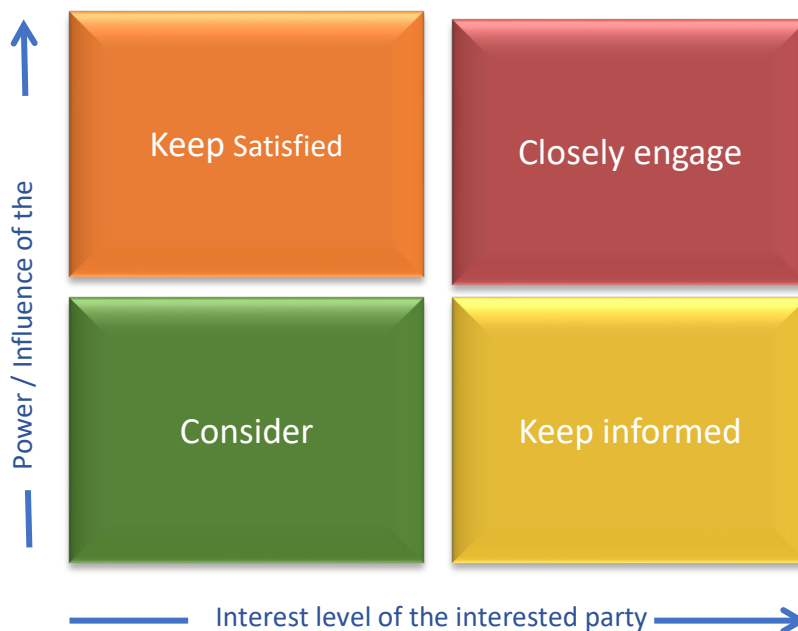


Figure 1. Typical map of actors according to interest and power / influence on an action or project
(Source: taken from Borealis in <https://www.boreal-is.com/es/blog/mapeo-partes-interesadas-grupos-interes/>)

108. It will be very important to establish who are the actors directly involved to the project's activities, as well as the groups who support and those who oppose, and then write down appropriate action plans to work with each group, which will result in a more effective participation of stakeholders.
109. It is important to highlight, as mentioned above, that during the execution of the project, actors' dynamics may change for different reasons, such as identifying new actors, changing vision and interest on the project, or changes in external circumstances or project internal policies; consequently, the initial mapping, as well as the stakeholders' participation plan, may need adjustments.

3.4.3 Stakeholder participation plan

110. The stakeholder map will be presented to stakeholders in the territories, as well as to the governance structures of the project, in order to review and validate the results, as well as sharing preliminary information about the project with different stakeholder groups and gather feedback inputs for its implementation. In the initial approaches with the identified parties, each group will work with the definition of their specific roles and interests, how they can collaborate and / or benefit from the project's activities.
111. Once the stakeholder mapping is validated and stakeholders are confirmed identifying their close medium or distant connection with the project, with additional inputs from the first round of approaches with the stakeholder groups, an action plan will be established for the involvement of the stakeholders. The plan will define specific approaches and actions for each group according the level of connection with the project and considering inputs provided by the same actors.
112. As recommended in the GCF Guide (Green Climate Fund, 2019), it is a two-level action plan: an internal level that directly concerns the Accredited Entity and executors of the project, and an external level that focuses on activities outside the executing structures of the project and / or carried out by external actors given the specificity of action and agreements reached with the stakeholders.
113. In each territory identified where the project is to be implemented, the participation plan may be adapted to specific circumstances, needs and interests of stakeholders in the territory, while maintaining the general vision of the project plan.
114. The action plan for the involvement of the RELIVE project stakeholders will have clarity on the actions, to whom they are addressed and who is responsible for its execution, identifying budgetary needs and defining achievement indicators to monitor plan. It is important to highlight that flexibility should be maintained as the original plan may undergo changes during the life of the project due to different circumstances.

3.4.4 Implementation Plan

115. According to the previous step, the specialized personnel of the PMU and of the Territorial Operative Units will establish operational plans and will follow the fulfillment of the proposed activities to ensure the participation and engagement of the stakeholders, promoting that each group gets involved as defined and receive the agreed information and / or benefits.

116. The implementation of the participation plan must ensure a balance in the involvement and benefits between men and women, as well as the participation of vulnerable and traditionally marginalized groups, ensuring that the project's objectives are met in terms of improving the resilience of the populations in poverty and extreme poverty located in the prioritized territories.
117. Regular meetings will be scheduled with the representatives of the groups of actors involved in the project, for the revision of the plan, activity progress and necessary adjustments according to probable changes in the initial context during the execution of the project.

3.4.5 Monitoring and Evaluation of the Participation

118. The monitoring and evaluation of stakeholders' participation will be based on the indicators that will be defined in the participation plan at the beginning of the project, and will be linked to the established periods for the general monitoring and evaluation of the project.
119. However, to ensure the plan objectives are met and to make adjustments it in real time - if issues arise such as changes in actors or particular situations during the implementation -, as already stated in the previous section, periodic meetings will be scheduled with the representatives of the groups of actors involved in the project, for the revision of the plan, activity progress and necessary adjustments according to probable changes in the initial context during the execution of the project.

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