



USAID
FROM THE AMERICAN PEOPLE



INDIGENOUS PEOPLES' ENGAGEMENT STRATEGY

USAID/Guatemala

In today's globalized world, ensuring the rights of indigenous peoples is everyone's responsibility. Respect for their rights is not only necessary for their continued survival as distinct cultures, but also to help ensure the well-being of the entire planet. Whether we are talking about biodiversity protection, climate change or sustainable development, indigenous peoples have much to offer. Their ancestral knowledge, developed over millennia, has been vital to preserving what's left of the world's critical ecosystems, and can play a key role in finding solutions to challenges that humanity is currently facing.

Senator Patrick Leahy, 2014

PURPOSE

The Indigenous Peoples'¹ Engagement Strategy is designed to dovetail with the USAID Guatemala's strategy to: 1. Create innovative and substantive partnerships between indigenous entities, government and the private sector, including non-governmental organizations and other groups within civil society; 2. Increase awareness, knowledge and recognition of indigenous peoples' rights, culture, history, and knowledge systems; and 3. Increase the participation of indigenous women and men in development interventions through USAID, implementing partners and others. This strategy complements USAID's portfolio of activities which work to increase self-reliance of indigenous people through inclusion in Guatemala's social, economic, and political systems.

VISION OF SUCCESS

Through a process of strategic stakeholder engagement in Guatemala, USAID will demonstrate the benefits of social, political, economic, and cultural inclusion of indigenous people to fostering and accelerating inclusive development across Guatemala. This change will be achieved through systematically engaging an increasingly wide set of stakeholders beginning with USAID and other U.S. government agencies with the intention of influencing donors, the Guatemalan government, the private sector and non-governmental organizations. Improving indigenous peoples' participation in decision-making processes that impact their lives, their communities, and their country will result in the promotion of their economic opportunities and the recognition of indigenous peoples' social, political, and economic rights.

¹USAID identifies indigenous peoples as distinct social and cultural groups possessing the following characteristics to varying degrees:

- a) Self-identification as a distinct social and cultural group and recognition of this identity by others;
- b) Historical continuity with pre-colonial or pre-settler societies;
- c) Collective attachment to territories and surrounding natural resources;
- d) Customary social, economic, or political systems that are distinct from mainstream society;
- e) Distinct language or dialect;
- f) Often form non-dominant groups of society; and/or
- g) Resolve to maintain and reproduce their ancestral environments and systems and distinctive peoples and communities; and
- h) Social indigenous movements that promote positive values associated with indigenous identity and rights.

The first step is to enhance interactions between indigenous communities/leaders and USAID staff and implementing partners (both directly and through our portfolio of activities). USAID will lead by example and encourage donors, the private sector, and the Government of Guatemala to take similar approaches to substantive engagement with Guatemala’s indigenous communities. This strategy has three components: focusing on strengthening USAID staff knowledge of indigenous issues, history and culture; strengthening the quality of interactions with indigenous populations in the development of USAID’s programming; and, finally, encouraging partnerships with indigenous entities. By working in these three areas, USAID expects to achieve more sustainable development outcomes in Guatemala while offering a model for engagement that can be used throughout the country.

THEORY OF CHANGE

CONTEXT

Development Challenge

The Guatemalan population is severely stressed, suffering high levels of poverty, extreme inequality, violence from organized crime, low quality of/access to education services, the sixth highest rate of chronic malnutrition in the world, and high infant and maternal mortality from preventable causes, among other things. The indigenous populations suffer a significantly higher share of these stresses than the general population. The map of indigenous populations of Guatemala closely aligns with the areas with the country’s highest rates of poverty, illiteracy, infant and maternal mortality, and chronic malnutrition thereby demonstrating that historic and systematic exclusion have led to poor development outcomes. The persistence of these conditions has engendered a sense of hopelessness that has triggered internal and international migration, especially to the United States.

Strategic Alignment

The international community has a particular interest in issues related to inequality and the exclusion of indigenous peoples and is committed to working with Guatemalan people and institutions to strengthen indigenous rights. The Indigenous Peoples’ Engagement Strategy is intended to enhance the effectiveness of development interventions intended to address the inequities suffered by indigenous Guatemalans and to promote the visibility of their contributions and knowledge within Guatemalan society. This engagement should be based on national and international legal frameworks and align with the principle, “do nothing about them without them.”

International Accords

Guatemala’s internal conflict ended twenty years ago and, while Guatemala has signed several international accords related to indigenous rights, Guatemala continues to suffer the effects of its divisive history. Institutionalized racism and systematic exclusion of indigenous peoples have created a divided society within the country: broadly, one where ladinos/mestizos² have significantly greater access to decision-making and opportunities, while indigenous communities have continued to suffer inequitable conditions and human rights violations. Recent studies indicate that, of the 12 agreements constituting the 1996 Peace Accords, the two in which there has been the least progress are those related

² A westernized Spanish-speaking Latin American

specifically to indigenous issues, specifically: 1. The Agreement on Identity and Rights of Indigenous Peoples, and 2. The Agreement on Social and Economic Aspects and Agrarian Situation.

Gender

Women in indigenous communities face an elevated burden of discrimination. The social and economic indicators for indigenous women are the worst in the country. Guatemala is a patriarchal and male-dominated society, characterized by the historical exclusion of indigenous populations in general and women in particular. Gender inequality gaps are present in all sectors and domains, with broad impacts on decision-making at the household and community level, political and social participation and leadership, access to assets and resources, and the distribution of domestic and reproductive work and time use. Traditional gender roles prevail: women are primarily responsible for household work and family care, while men generate income and manage household resources. This division of labor is particularly rigid and pervasive among rural indigenous communities. Limiting women's opportunities through this societal structure hinders development outcomes because it significantly constrains the activities of half the population.

LEVERAGE POINTS

Bright Spots

Guatemala's indigenous peoples have made numerous contributions to the country's development, including: contributions to tourism (as Mayan culture constitutes a significant tourist draw); provision of health services to expectant mothers and communities through indigenous midwife organizations and healing centers; provision of justice through conflict resolution approaches at the community and departmental level; protection of ecologically diverse land, specifically natural reserves; and provision of expertise in the area of agriculture and food security through knowledge on water use and seed preservation. Building on the successes and lessons from these experiences will strengthen Guatemala's development outcomes.

Window of Opportunity

Guatemalan indigenous people have a rich history and culture, and deep knowledge of their country. Empowering and strengthening indigenous institutions and celebrating and recognizing the rights, history, culture, knowledge, and language heritage is key to advancing Guatemala's development. Guatemala is a diverse country with numerous opportunities to work with a variety of indigenous stakeholders, leaders, and institutions around issues such as justice, medicine, agriculture, environmental practices, etc. Many of these institutions have outstanding organizational experiences. Indigenous leaders are practitioners of different languages, histories and cultures. Indigenous knowledge varies between people of different genders, ages, and ethnicities. Engagement with the indigenous populations must be strengthened for Guatemala to fulfill true national potential and achieve self-reliance.

OUTCOMES

USAID's goal is to move from a traditional donor-aid recipient relationship with indigenous communities to a true partnership where activities are jointly and collaboratively designed, risks are shared, and where activities are aligned with local priorities and implemented through local systems. This model of

engagement will lead to deeper, more sustainable programmatic impacts. By adopting a partnership model of engagement, USAID seeks to help Guatemala take ownership of its own development. This strategy aligns with USAID’s inclusive development policy goal to “improve the impact and sustainability of programs by ensuring USAID staff and implementing partners respect indigenous peoples’ rights and engage indigenous peoples as authentic partners in the development process.” The implementation of this strategy should result in greater recognition of indigenous peoples’ rights as they play a more prominent role in addressing the development challenges facing their communities.

ASSUMPTIONS

For the successful implementation of this strategy to occur, the following three conditions must remain true:

1. Sustained commitment to the implementation of strategy by USAID/Guatemala leadership;
2. Alignment with future USAID/Guatemala strategies; and
3. Participation of other U.S. government entities, donors, and other stakeholders.

INTERVENTIONS

The implementation of this strategy will address development and gender gaps by strengthening engagement with indigenous people and establishing new partnerships to move Guatemala towards self-reliance. USAID must develop processes of continuous engagement with indigenous men, women, youth, elders, leaders, and organizations by using their own organizational and communication mechanisms. The process of identification, inclusive development analysis, engaging and partnering will lead to new alliances to address Guatemala’s development challenges. Successful execution of this strategy will help lead to greater indigenous participation in social, economic and political systems in Guatemala.

GUIDING IMPLEMENTATION PRINCIPLES

The principles listed below will guide the implementation of this strategy to enhance the effectiveness and obtain sustainable results of USAID’s programs, activities and projects. The principles, adapted from the United Nations³, are:

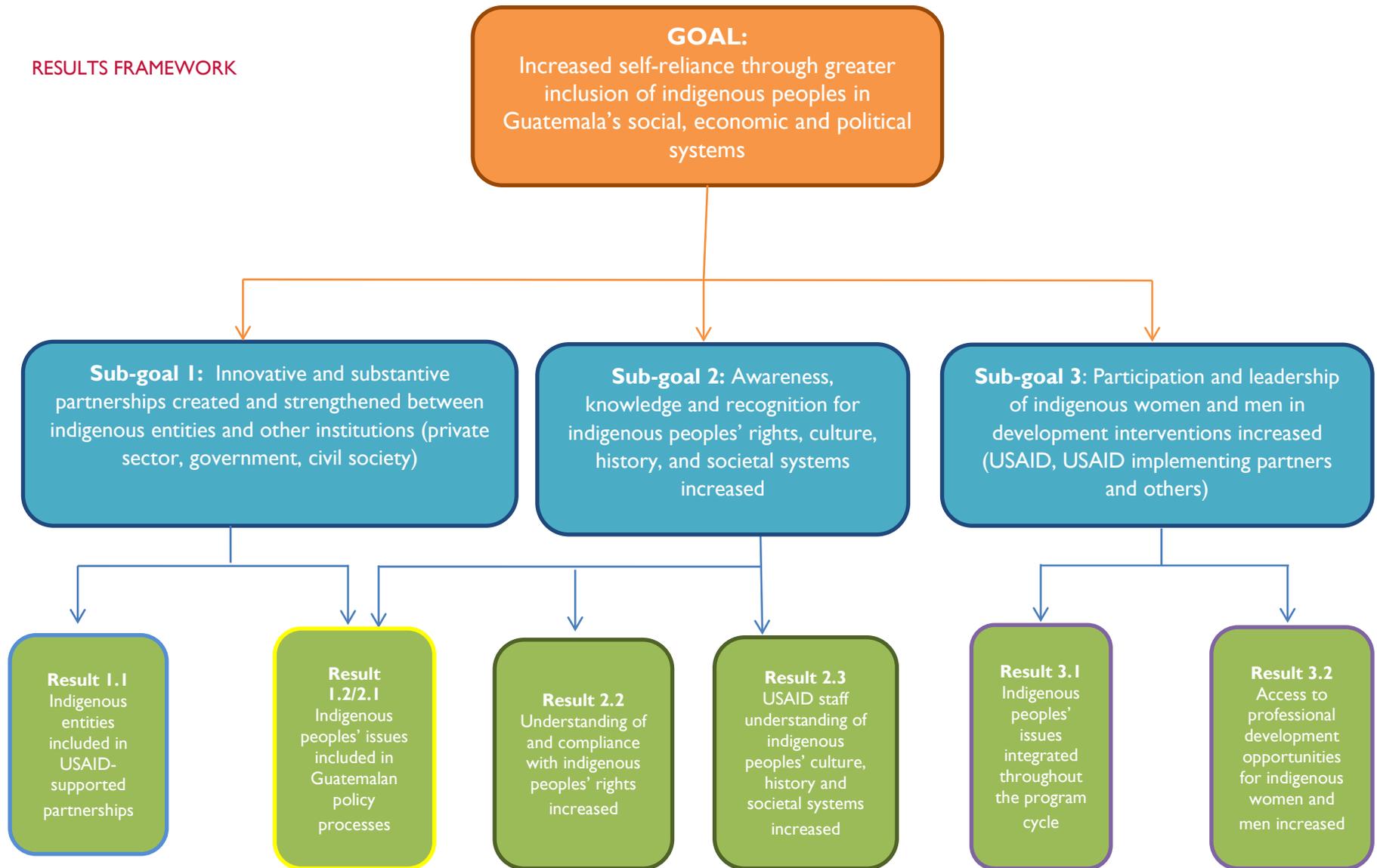
1. Recognition of indigenous history, cultural heritage and identity as assets;
2. Emphasis on shared decision-making responsibility;
3. Emphasis on community-driven sustainable development;
4. Fair use/recognition of indigenous land, territories and resources;
5. Understanding of indigenous knowledge systems;

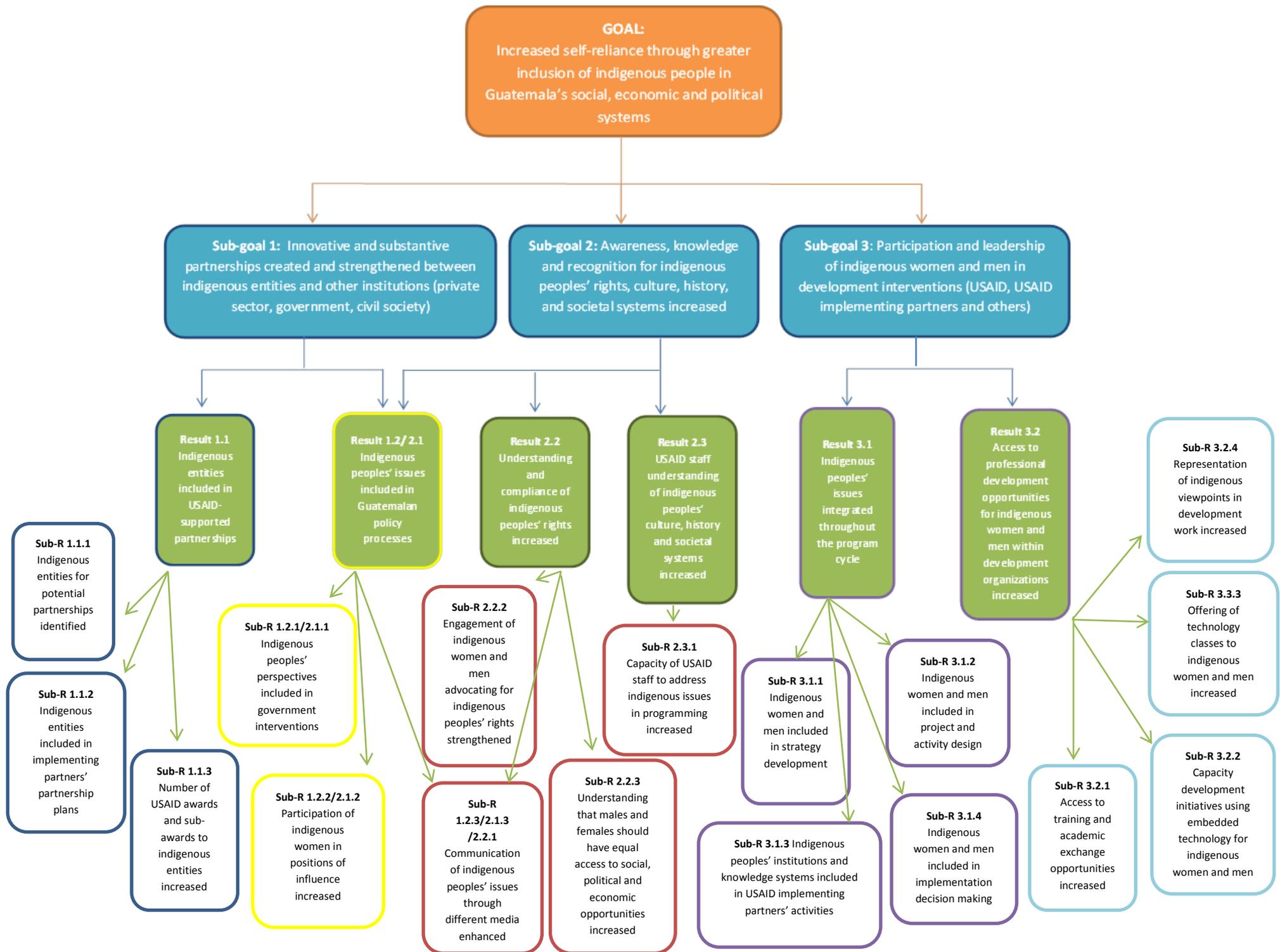
³ United Nations, *United Nations Indigenous Peoples’ Partnership Strategic Framework 201—2015* (Geneva, International Labor Organization, 2011), 4.

6. Addressing of environmental issues and climate change;
7. Access to labor markets;
8. Promotion of empowerment; and
9. Promotion of gender equality.

Working with a diverse set of stakeholders as development partners will generate knowledge and alliances fundamental to building more stable communities and institutions. This model of engagement is essential to address Guatemala's most pressing development challenges in a sustainable manner.

RESULTS FRAMEWORK





ANNEX I: RESULTS AND ILLUSTRATIVE INDICATORS

GOAL: INCREASED SELF-RELIANCE THROUGH GREATER INCLUSION OF INDIGENOUS PEOPLE IN GUATEMALA'S SOCIAL, ECONOMIC AND POLITICAL SYSTEMS

Sub-goal 1: Innovative and substantive partnerships created and strengthened between indigenous entities and other institutions (private sector, government, civil society)

Result 1.1: Indigenous entities included in USAID-supported partnerships

Sub-result 1.1.1: Indigenous entities⁴ for potential partnerships identified

Sub-result 1.1.2: Indigenous entities included in implementing partners' partnership plans

Sub-result 1.1.3: USAID awards and sub-awards to indigenous entities increased

Indicators:

- Number of annual program statement (APS) awards to indigenous entities
- Number of (non-APS) awards and sub-awards to indigenous entities
- Number of partnership plans that include indigenous entities

Result 1.2: Indigenous peoples' issues included in Guatemalan policy processes

Sub-result 1.2.1: Indigenous peoples' perspectives included in government interventions

Sub-result 1.2.2: Participation of indigenous women in positions of influence increased

Sub-result 1.2.3: Communication of indigenous peoples' issues through different media enhanced

Indicator:

- Number of initiatives led by indigenous groups that advocate for indigenous peoples' rights
- Number of facilitated conversations to increase understanding/awareness of indigenous rights and issues
- Number of indigenous women in elected positions
- Number of initiatives that support empowerment of indigenous women

Sub-goal 2: Awareness, knowledge and recognition for indigenous peoples' rights, culture, history, and societal systems increased.

Result 2.1: Indigenous peoples' issues included in Guatemalan policy processes

⁴Indigenous entities are defined as entities that are active in indigenous communities with an understanding of indigenous issues such as indigenous knowledge systems, history and culture.

Sub-result 2.1.1: Indigenous peoples' perspectives included in government interventions

Sub-result 2.1.2: Participation of indigenous women in positions of influence increased

Sub-result 2.1.3: Communication of indigenous peoples' issues through different media enhanced

Indicators:

- Number of initiatives led by indigenous groups that advocate for indigenous peoples' rights
- Number of facilitated conversations to increase understanding/awareness of indigenous rights and issues
- Number of women in elected positions
- Number of initiatives that support empowerment of indigenous women

Result 2.2: Understanding of and compliance with indigenous peoples' rights increased

Sub-result 2.2.1: Communication of indigenous peoples' issues through different media enhanced

Sub-result 2.2.2: Engagement of indigenous women and men advocating for indigenous peoples' rights strengthened

Sub-result 2.2.3: Understanding that males and females should have equal access to social, political and economic opportunities increased

Indicators:

- Number of facilitated conversations to increase understanding/awareness of indigenous rights and issues
- Number of participants reporting increased understanding that males and females should have equal access to social, economic and political opportunities
- Number of advocacy campaigns developed by indigenous organizations

Result 2.3: USAID staff understanding of indigenous peoples' culture, history and societal systems increased

Sub-result 2.3.1: Capacity of USAID staff to address indigenous issues in programming increased

Indicator:

- Number of events organized featuring indigenous peoples' rights, culture, history and societal systems

Sub-goal 3: Participation and leadership of indigenous women and men in development interventions increased (USAID, USAID implementing partners and others).

Result 3.1: Indigenous peoples' issues integrated throughout the program cycle

Sub-result 3.1.1: Indigenous women and men included in strategy development

Sub-result 3.1.2: Indigenous women and men included in project and activity design

Sub-result 3.1.3: Indigenous peoples' institutions and knowledge systems included in USAID implementing partners' activities

Sub-result 3.1.4: Indigenous women and men included in implementation decision-making

Indicators:

- Number of meetings with indigenous women and men in strategy development
- Number of meetings with indigenous women and men in project and activity design
- Number of adaptive management meetings held with indigenous women and men at implementation inflection points
- Number of partners' work plans that incorporate indigenous knowledge and existing societal systems
- Number of activities that include indigenous knowledge systems
- Inclusion of indigenous women and men in implementing partners' monitoring, evaluation, and learning plans

Result 3.2: Access to professional development opportunities for indigenous women and men increased

Sub-result 3.2.1: Access to training and academic exchange opportunities for indigenous women and men increased

Sub-result 3.2.2: Capacity development initiatives using embedded technology for indigenous women and men increased

Sub-result 3.2.3: Offering of technology classes to indigenous women and men increased

Sub-result 3.2.4: Representation of indigenous viewpoints in development work increased

Indicators:

- Dollars of higher education scholarships awarded to indigenous women and men
- Number of initiatives to improve access to professional opportunities for indigenous women and men
- Number of capacity development initiatives using embedded technology for indigenous women and men
- Number of indigenous professional development programs created or strengthened
- Number of indigenous women and men nominated for exchange opportunities and academic growth
- Number of alumni of Indigenous Professional Program formally employed
- Number of vocational workshops offered to indigenous women and men
- Number of entrepreneurship classes offered to indigenous women and men

ANNEX II: ADDITIONAL RESOURCES

USAID/Guatemala Resources

- [USAID Guatemala Audience Research for Development Communication](#)

USAID Resources- Indigenous Engagement

- [USAID Policy on Indigenous Peoples' Issues](#)

USAID Resources- Inclusive Development

- [Promoting Non-discrimination and Inclusive Development \(ADS\) Chapter 200](#)
- [Suggested Approaches for Integrating Inclusive Development Across the Program Cycle and in Mission Operations](#)
- [Inclusive Development Terminology](#)
- [Domains of Inclusive Development Analysis](#)
- [Illustrative Questions by Domain](#)
- [Inclusive Development Analysis Matrix](#)

USAID Resources- Additional Topics

- [Youth in Development Policy](#)
- [USAID Biodiversity Policy](#)
- [Key Sources for International Gender Data PPL \(2017\)](#)

United Nations

- [UN Indigenous and Tribal Peoples Convention \(1989\)](#)
- [UN Declaration on the Rights of Indigenous Peoples \(2007\)](#)
- [UNDG Guidelines on Indigenous Issues \(2008\)](#)
- [UN-REDD Program Guidelines on Free, Prior and Informed Consent \(2013\)](#)
- [UN Sustainable Development Goals](#)
- [UN Guiding Principles on Business and Human Rights \(2011\)](#)
- [Indigenous Peoples and the UN Human Rights System \(2013\)](#)
- [UN Expert Mechanism on the Rights of Indigenous Peoples \(2013\)](#)
- [The Imperative of Inclusive Development \(2017\)](#)
- [Acuerdo Sobre Identidad y Derecho de los Pueblos Indígenas \(1995\)](#)