

**INTEGRATED SAFEGUARDS DATA SHEET  
APPRAISAL STAGE**

Report No.: 91649

**Date ISDS Prepared/Updated:** October 1, 2014

**I. BASIC INFORMATION**

**1. Basic Project Data**

<b>Country:</b>	Guatemala	<b>Project ID:</b>	P145410
<b>Project Name:</b>	Pilot to Improve the Development and Nutrition of Young Children in Poor Rural Areas in Guatemala ( <i>Nuestros Niños Listos y Sanos</i> )		
<b>Task Team Leader:</b>	Lucy Bassett		
<b>Estimated Board Date:</b>	N/A		
<b>Managing Unit:</b>	GSPDR		
<b>Sector(s):</b>	JB Other social services		
<b>Theme(s):</b>	68 Nutrition and Food security		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Project Financing Data (in USD Million)</b>			
Total Project Cost:	2,750,924	Total Bank Financing:	
Financing Gap:			
<b>Financing Source</b> JSDF Trust Fund			<b>Amount</b>
Borrower			
International Bank for Reconstruction and Development			
Total USD 2,750,924			
<b>Environmental Category:</b>	C		
<b>Is this a Repeater project?</b>	No		
<b>Is this a Transferred project?</b>	Yes		

**2. Project Development Objective**

The Project Development Objective is to strengthen the capacity of parents and communities to improve and monitor child development outcomes (physical, cognitive, socio-emotional, and linguistic skills) for children under two in Project intervention areas.

The grant is expected to reach 12,200 poor, primarily indigenous children under two years of age and at least 13,000 parents. The Project will be implemented in 100 communities in the northwestern departments of Huehuetenango, Quiche, San Marcos, and Totonicapán, where the

average chronic malnutrition rate is 70 percent, and the average poverty and extreme poverty rates are 89 percent and 40 percent, respectively.

### **3. Project Description**

The four-year Project has the following three components:

Component 1: Promotion of physical, cognitive, linguistic and socio-emotional development through a parenting and early stimulation intervention (US\$1,758,798): This component will introduce parenting and early childhood stimulation activities into existing health and nutrition community services under the Government's Zero Hunger Program (especially the AINM-C strategy and the Extension of Coverage Program which provides a basic package of health and nutrition services in most of the intervention areas) in order to improve children's physical, cognitive, and emotional development. Specific Component activities include:

Component 2: Enhanced social and behavior change communication to achieve improved child nutrition and development (US\$443,267). This component will develop a strategy to address social and behavioral change, tailored specifically to address concrete constraints caregivers face in adopting positive practices to ensure optimal child nutrition (e.g. early initiation of breastfeeding, exclusive breastfeeding, opportune introduction of complementary nutritious foods, improved hygiene practices in the household, timely health seeking behavior especially in the case of managing childhood illnesses, which affect nutritional status, etc.). The strategy will be based on culturally-appropriate and motivational communication delivered at critical moments in child development to have the greatest impact and using emotional/cognitive levers to link actions with expectations for the future with an aim to change the behavior of parents, as well as others, such as grandmothers and midwives, who influence mothers' choices in Guatemala. Specific activities include:

Component 3: Project management and administration, monitoring & and evaluation, and knowledge dissemination (US\$548,858): This component will support project management and administration, technical assistance and training for monitoring and evaluation (M&E), and knowledge dissemination.

### **4. Project location and salient physical characteristics relevant to the safeguard analysis (if known)**

The project will be implemented in a cluster of departments comprising Huehuetenango, Quiché, San Marcos, and Totonicapán where chronic malnutrition affects, on average, 70 percent of all young children, and poverty affects nearly 90 percent of the population. These departments are diverse in their ethnic and linguistic composition. In the state of Huehuetenango, 57.4 % of the population belong to one of eleven Mayan linguistic communities: Akateko, Awakateko, Chuj, Mam, Popti, Q'anjob'al, Tektiteko, Akateko, Awakateko, K'iche' and Chalchiteko; in Quiché, 88.6% of the population belong to one of five: K'iche', Ixil, Q'eqchi, Poqomchi' and Sakapulteko; in San Marcos, 27% of the population are either K'iche', Mam or Sipakapense; and 97% of the Totonicapán population belong to the K'iche' linguistic community.

In these departments, the project will be implemented in communities in 17 municipalities. These municipalities are characterized by: high rates of poverty, child mortality, and malnutrition; demonstrated need for child development and nutrition interventions; and community interest and demand for such interventions. In addition these municipalities have access to Ministry of Health facilities and interventions, active community participation, and the presence of the Recipient, which can increase the likelihood of delivering short-term results while securing long-term impact. Finally, these municipalities have been also prioritized by the Government of Guatemala's *Hambre Cero* (Zero Hunger) Initiative, which aims to reduce the prevalence of chronic malnutrition in children under-five and child mortality through the coordination of multisectoral interventions. However, the selected areas currently do not benefit from any parenting or early childhood stimulation activities, so this proposed Project will fill an important gap. Implementing such activities in the prioritized areas will contribute to improving child development outcomes and complement any other interventions (e.g. food distribution, water and sanitation interventions, etc.) to ensure optimal child development. The Project will also prioritize coordination with other stakeholders and institutions to facilitate effective synergies.

### 5. Environmental and Social Safeguards Specialists on the Team

Peter Lafere is the team's social development specialist to provide guidance on the preparation and implementation of the Indigenous Peoples Plan.

<b>6. Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	No	This policy is not triggered as impacts to the environment are highly unlikely.
Natural Habitats OP/BP 4.04	No	This policy is not triggered as the project will not impact natural habitats.
Forests OP/BP 4.36	No	This policy is not triggered given that the Project will not finance activities that affect forests.
Pest Management OP 4.09	No	This policy is not triggered given that the Project will not finance the purchase or use of pesticides.
Physical Cultural Resources OP/BP 4.11	No	This policy is not triggered given that there will be no expected impacts on physical cultural resources.
Indigenous Peoples OP/BP 4.10	Yes	<p>This policy is triggered given that the population in the project intervention areas (Huehuetenango, San Marcos, Totonicapán and Quiché) are diverse in their ethnic and linguistic composition and are considered indigenous for the purpose of this policy. It is expected that Indigenous Peoples will be the primary beneficiaries of this project.</p> <p>In accordance with the requirements of the policy, a social assessment commensurate to the size and impacts of the project was undertaken during the preparation of this project and its findings informed project design.</p>

		<p>Broad community support for the project was ascertained during a process of free, prior, and informed consultation with the affected Indigenous Peoples' communities and will be further ascertained at municipal level in accordance with Guatemalan legal requirements during project implementation.</p> <p>An indigenous Peoples Plan was prepared, consulted and disclosed in country and through Infoshop. The Indigenous Peoples Plan summarizes the findings of the social assessment, the measures undertaken to avoid negative impacts and ensure that the benefits of the project are culturally appropriate, and the consultation arrangements during project preparation and implementation.</p>
Involuntary Resettlement OP/BP 4.12	No	This policy is not triggered given that the project is not expected to have any involuntary resettlement impacts.
Safety of Dams OP/BP 4.37	No	This policy is not triggered given that the Project will not support the construction or rehabilitation of dams nor will support other investments which rely on the services of existing dams.
Projects on International Waterways OP/BP 7.50	No	This policy is not triggered given that the Project will not affect international waterways as defined under the policy.
Projects in Disputed Areas OP/BP 7.60	No	This policy is not triggered given that the Project will not affect disputed areas as defined under the policy.

## II. Key Safeguard Policy Issues and Their Management

### A. Summary of Key Safeguard Issues

#### 1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The Project will be carried out in the states of Huehuetenango, San Marcos, Totonicapan and Quiche in the western region of Guatemala with diverse ethnic and linguistic indigenous populations and is expected to have a positive impact on indigenous children development outcomes (physical, cognitive, socio-emotional, and linguistic skills).

Due to the particular emphasis on behavioral change implicit in the project development objective, two potential adverse effects related to indigenous socio-cultural beliefs, practices and interactions were identified during the social assessment: (a) disregard and/or misrecognition of Mayan health care and cultural illness belief systems and diet; (b) inadequate socio-cultural interaction and communication with beneficiaries and communities.

To ensure existing belief systems and diet are fully taken into account, a sub-component to map the early stimulation practices in participating communities was included in component 1 of the project, and an investigation of current child feeding and caring behaviors in component 2. Coordination and consultation with grassroots organizations, local partners and traditional healers, the establishment of an ethics code for socio-cultural interaction and dissemination of project information and activities in a culturally appropriate way will ensure appropriate communication with beneficiaries and communities.

No large scale, significant and/or irreversible adverse impacts are expected.

**2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:**

The expected impacts are improved child development outcomes and community ownership in tracking these indicators. There are no indirect and/or long term adverse impacts as a result of future activities expected for this project.

**3. Describe any project alternatives considered to help avoid or minimize adverse impacts.**

No alternatives were deemed necessary to avoid or minimize adverse impacts.

**4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.**

ChildFund International USA, the implementing NGO, carried out a Social Assessment during the preparation of the project to (a) review the legal and institutional framework applicable to Indigenous Peoples, (b) gather baseline information on the demographic, social, cultural, and political characteristics of the affected Indigenous Peoples' communities, (c) identify key project stakeholders and a culturally appropriate process for consulting with the Indigenous Peoples at each stage of project preparation and implementation, (d) assess the potential adverse and positive effects of the project, (e) identify measures necessary to avoid adverse effects. ChildFund International USA carried out several rounds of consultations on their findings, ensured that the design of the project was informed with the findings and the feedback gathered at the consultations. The findings of the social assessment are included in the Indigenous Peoples Plan.

The Indigenous People's Plan has been prepared by the Recipient and establishes project guidelines regarding culturally appropriate consultation activities and participation measures to ensure that they respond to local practices and beliefs and to ensure high indigenous peoples participation in the project throughout its implementation.

The Recipient has experience working with indigenous communities, and the Bank will work with the agency to further solidify their capacity to plan and implement the measures needed.

**5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.**

Project stakeholders include the target beneficiaries (the poorest and vulnerable members of the communities), as well as indirect beneficiaries, including the recipient communities at large, local leaders, midwives, etc.

ChildFund International USA, the implementing NGO, carried out several rounds of consultations with the target beneficiaries of the Project in the northwestern municipalities of Guatemala to clarify their priority needs. Consultations included targeted small-group discussions as well as field visits to health centers, community centers, and directly with families. The NGO has been instrumental in organizing these small group discussions and the field visits. Consultations with target beneficiaries at municipal level will continue during project implementation.

**B. Disclosure Requirements**

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	N/A
Date of submission to InfoShop	N/A
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	N/A
"In country" Disclosure	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	N/A
Date of submission to InfoShop	N/A
"In country" Disclosure	
<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	August 13, 2014
Date of submission to InfoShop	October 14, 2014
"In country" Disclosure Given the low risk of the operation, and that steps for the consultation process at the municipal level have already taken place, hard copies of the IPP and project paper will be available at the ChildFund office and published on the website. Subsequently, a Spanish version of the IPP will be disclosed in country	
<b>If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why:</b>	
N/A	

**C. Compliance Monitoring Indicators at the Corporate Level**

<b>OP/BP/GP 4.01 - Environment Assessment</b>			
Does the project require a stand-alone EA (including EMP) report?	Yes [ ]	No [ ]	NA [X]
<b>OP/BP 4.11 - Physical Cultural Resources</b>			
Does the EA include adequate measures related to cultural property?	Yes [ ]	No [ ]	NA [X]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [ ]	No [ ]	NA [X]
<b>OP/BP 4.10 - Indigenous Peoples</b>			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [X]	No [ ]	NA [ ]
If yes, then did the Regional unit responsible for safeguards or	Yes [X]	No [ ]	NA [ ]

Sector Manager review the plan?	
If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Sector Manager?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
<b>OP/BP 4.12 - Involuntary Resettlement</b>	
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input checked="" type="checkbox"/>
If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan?	Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input checked="" type="checkbox"/>
<b>The World Bank Policy on Disclosure of Information</b>	
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
<b>All Safeguard Policies</b>	
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Have costs related to safeguard policy measures been included in the project cost?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>

### III. APPROVALS

Task Team Leader:	Name: Lucy Bassett	
<i>Approved By:</i>		
Regional Safeguards Advisor:	Name: Glenn Morgan	Date: September 18, 2014
Sector Manager:	Name: Margaret Grosh	Date: September 26, 2014