



United Nations Development Programme

Country: GUYANA

Initiation Plan: Concept Note for Project Preparation

Project Title	Low Carbon Development Strategy (LCDS) Amerindian Development Fund: Village Economy Development under GRIF (Phase 1).
United Nations Development Assistance Framework Outcome(s): 2012-2016	Improved economic and social policies and programmes to enable the creation of a climate-resilient economy in the context of the Low Carbon Development Strategy.
Country Programme Document Outcome (2012-2016)	Strengthen institutional and regulatory capacities of government, civil society organizations to enable access to sustainable financial and business development services for the economic poor, women and indigenous populations.
Project Period:	2012-2014
Initiation Plan Start Date:	09 August, 2012
Initiation Plan End Date:	9 months from signature of the Initiation Plan
Expected Output(s):	<p>The expected outputs of the Initiation Plan for Low Carbon Development Strategy Amerindian Development Fund: Village Economy Development under GRIF (Phase 1) are:</p> <ul style="list-style-type: none">• A functional, scalable and transparent disbursement mechanism created;• The capacity of the Ministry of Amerindian Affairs (MoAA) to plan, manage, and support community development strengthened;• 15% of the Community Development Plans (CDPs) received funding to test the disbursement mechanism;• Selected indigenous communities have improved the planning, management, and support mechanisms in place for the implementation of the CDPs;• The full Project Document prepared and submitted for approval
Management Arrangement	Direct Implementation (DIM) by UNDP
Responsible Parties: For Preparation of the Project Document	Ministry of Finance, Ministry of Amerindian Affairs (MoAA), Office of the President, Ministry of Agriculture, Ministry of Tourism, Trade and Industry, Ministry of Local Government and Regional Development, Environmental Protection Agency, Amerindian and Private Sector Organisations
Project preparation budget:	1,760,400.
GMS (UNDP 7%)	123,228.
Total Preparation Budget	1,883,628.
PAC Meeting Date	22 March 2012
ATLAS Award ID	

Agreed by:
Ministry of Finance


Minister – Dr. Ashni Singh

9 Aug 2012
(date)

Agreed by: Ministry of
Amerindian Affairs


Minister – Pauline Sukhai

August 9, 2012
(date)

Agreed by: UNDP


Resident Representative – Khadija Musa

9 Aug 2012
(date)

PART 1: SITUATION ANALYSIS

1.1 The Low Carbon Development Strategy (LCDS) of Guyana sets out the vision through which economic development and climate change mitigation will be enabled in the course of the generation of payments for standing forest and eco-system services. The Guyana REDD+ Investment Fund (GRIF) has been established to channel results-based payments for avoided deforestation towards the implementation of the LCDS. Some of the resources mobilized through the LCDS are in part directed to more inclusive models of pro-poor growth, targeting those most affected by poverty. Critical to the realization of goals set out in the LCDS is recognition of the important role that indigenous communities play in protecting and sustainably managing the forests.

1.2 As part of national consultations on the LCDS, indigenous communities' participation was solicited, and currently many non-governmental organizations continue the deepening of knowledge sharing exercises to strengthen indigenous people's understanding of issues relating to the LCDS and their role and concomitant benefits.

1.3 There are in excess of 180 Indigenous communities located across Guyana but concentrated in a geographic space referred to as the rural interior/hinterland, situated mostly within the boundaries of regions 1, 2, 7, 8, and 9¹. The population of those communities range between 150 and 5,000 inhabitants. The poverty levels in the rural interior where most of the indigenous communities are located are high, combined 78.6 percent according to the household budget survey of 2006. This is a reflection of traditional lifestyle and cultural freedoms valued by different standards of wealth co-existing with gradual integration into relatively modern aspects of the wider production and consumption structures of the national economy. Like some aspects of the rest of the national economy, indigenous communities are primarily involved in subsistence, primary productive activities such as agriculture, hunting, fishing and small scale logging and mining, among others.

1.4 Amerindians own 13.9² percent of Guyana's land and constitute 9.2 percent of Guyana's population or 68,675 people, at the last population census in 2002. There are nine groups of Amerindian Peoples in Guyana - namely the Warrau, Carib, Arawak, Akawaio, Patamona, Arekuna, Macushi, Wapishana and Wai Wai – each of which has its own distinct cultural identity and heritage, language and traditional economic activities.

1.5 The diversity of their focus in community development priorities therefore is a reflection of self-determination revealing idiosyncratic features of communities, their traditions, and special interest in exploiting niche opportunities reachable through the GRIF window. Facilitating the access to niche opportunities allows a solidifying of national development goals related to economic development, and brings critical resources to almost 10 percent of Guyana's population, where it is most needed.

1.6 Community Development Plans (CDPs) identified their priority projects to be financed through the LCDS Amerindian Development Fund (ADF) (see Annex 1 for process of developing CDPs).

Consultations on CDPs were done at different levels:

- Community Level - The communities/villages carried out the consultations in their villages with the community members to determine their community development projects. The necessary guidance and support were provided by CDOs and Ministry staff, where necessary, in preparing the CDPs.

¹Amerindians are the dominant group in all the aforementioned regions except 2. Significant proportions of Amerindians reside in region 10 as well.

²This should increase after the completion of the Amerindian land titling project.

During the development of a CDP, the community identified issues, proposed potential projects and created an overall vision to ensure the long-term successful functioning of their Villages.

The village councils made submissions to the MoAA of the CDPs upon the approval of the village.

- Organizational Level – at the organisational level, discussions and consultations were done with Toshaos and village councilors on their community plans.
- National Level – During the National Toshaos conference, Toshaos engaged in group discussions and reviewed their CDPs. Ministers also provided information on CDPs and guidance to the Toshaos.

Following the discussions at the national level, some village Toshaos indicated their interest to return to their respective villages for further consultation and review. Following the community review process, CDPs were resubmitted with amendments and modifications. Taking inaccessibility and remoteness of the communities into consideration, MoAA has been facilitating the re-submission of CDPs all year.

1.7 Since access to development finance is a challenge, the GRIF ADF development financing will be streamlined into a transparent and accountable mechanism to support community development projects. This would entail setting up a structure, criteria, distribution mechanism among other things, for the easy access to financial resources for indigenous communities, taking into consideration lessons learnt from existing mechanisms. Additionally, the existing planning, managing, and implementation capacities will be strengthened for the sustainable livelihood activities undertaken by indigenous communities.

PART 2: STRATEGY

2.1 This Initiation Plan (Phase 1) operationalizes the development frameworks of the Government of Guyana as reflected in the LCDS and the Poverty Reduction Strategy Paper (PRSP 3).

2.2 Having regards to challenges of development in indigenous communities, and the opportunities presented by the GRIF, during Phase 1, the Ministry of Amerindian Affairs (MoAA) and UNDP, in collaboration with other relevant national stakeholders, will jointly design a Project Document in order to support sustainable livelihoods for the economic empowerment of indigenous communities, to arrest challenges to poverty reduction in its widest definition, via community development plans.

2.3 The objectives of Phase 1 are to:

- (a) Develop and test a financial disbursement mechanism with an accompanying operational manual.
- (b) Produce the full Project Document and
- (c) Strengthen the capacity of the MoAA to directly manage and support the implementation of the Project.

2.4 Phase 1 activities will include:

Objective (a)

- Conduct consultations with all relevant local stakeholders;
- Design and develop a model and scalable financial mechanism for the disbursement, monitoring, and reporting of development finance grants for rural communities;
- Design and develop an accompanying operational manual for the financial disbursement mechanism;
- Select communities to test the financial disbursement mechanism and commence disbursements and CDP implementation. It must be noted that the selection was only done for the pilot phase since all the villages/communities will receive financial support for all the CDPs regardless of their support or non-support of the LCDS (see Annex 4);
- MoAA and UNDP, in collaboration with national stakeholders, to work with and support selected communities to strengthen their capacities to implement CDPs with a view towards aligning projects with sustainable, scalable, environmental, social and economic safeguards.

Objective (b)

- Finalize the full Project Document which will be implemented by the MoAA under the national implementation modality (NIM), and to be fully funded under the GRIF, once approved by the GRIF Steering Committee³. Extensive consideration will be given to the likely impact of project activities on gender relations at the community level in keeping with UNDP's social safeguards, along with the development of appropriate gender strategy.

Objective (c)

- Conduct Capacity Assessment of the MoAA;
- Commence implementation of capacity building activities at MoAA for the full scale implementation of the ADF, including a robust monitoring and evaluation system.

³ See annual work plan for more details of the activities.

2.5 UNDP/Guyana Country Office will bring to bear UNDP's global knowledge and expertise to complement the local context and ensure the development of a relevant, functional mechanism for the effective and efficient delivery of the proposed CDPs.

PART 3: ANNUAL WORK PLAN

Year: August 2012 - April 2013⁴

EXPECTED OUTPUTS And baseline, associated indicators and annual targets	PLANNED ACTIVITIES List activity results and associated actions	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET	
		Q1	Q2	Q3	Q4		Funding Source	Amount
Output 1: A functional, scalable and transparent disbursement mechanism created with accompanying operations manual. Baseline: ADF exists, but is not developed to provide financial support to the CDPs Targets: Financial Disbursement Mechanism in place 27 Communities access GRIF ADF 27 communities begin implementation of CDPs Efficacy of the Financial Disbursement Mechanism documented	<ul style="list-style-type: none"> - Use existing national and international best practices to design a functional, scalable and transparent disbursement mechanism. - Develop an operational manual for the financial disbursement mechanism - Conduct consultations with stakeholders in the use of financial disbursement mechanism. - Fine-tune the mechanism. - Train communities & MoAA on access and use of the mechanism (application to receipt of funds). - Monitor the process. 					MoAA/UNDP	GRIF (WB)	50,000
								74200- Audiovisual & Print Production Costs
						MoAA/UNDP	GRIF (WB)	1,000
Subtotal								109,000

⁴ See Annex 7 for detailed budget

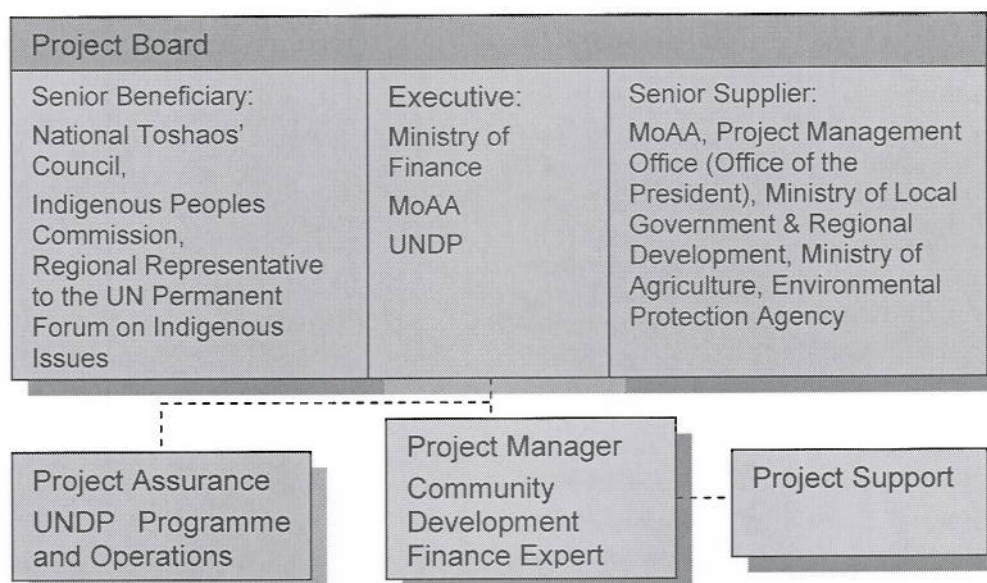
<p>Manual on Financial Disbursement Mechanism developed</p> <p>Indicators:</p> <ul style="list-style-type: none"> # of communities that have accessed GRIF ADF # of communities that have begun implementation of CDPs 	<ul style="list-style-type: none"> - Design selection criteria - Select communities to test financial mechanism - Elaborate CDPs by further integrating environmental, social & economic safeguards - Inter-ministry technical support - Funds disbursed to communities/villages - Capacity Development for the Communities selected to implement the projects - Monitor the process 			MoAA/JUNDP	GRIF (WB)	<p>71400- Contractual Services (Individuals) 10,000</p> <p>71600-Travel 20,000</p> <p>72100- Contractual Services (Companies) 200,000</p> <p>72600-Grants 675,000</p> <p>75700- Training, Workshops, Conferences 27,000</p> <p>932,000</p>
<p>Output 2: The full Project Document prepared and submitted for approval</p> <p>Baseline: Community development plans have been submitted by the MoAA to be upgraded into grant proposal for financing from the GRIF.</p> <p>Target: GRIF ADF Project Document</p> <p>Indicators:</p> <ul style="list-style-type: none"> GRIF ADF Project Document drafted # of communities consulted in the preparation of the project document 	<ul style="list-style-type: none"> - Procure consultant - Draft project document - Consultations on project document - Revision of draft project document - Project Appraisal Committee (PAC) Meeting - Posting of project document on GRIF website 			MoAA/JUNDP	GRIF (WB)	<p>71400- Contractual Services (Individuals) 10,000</p> <p>71600-Travel 10,000</p> <p>74200- Audiovisual & Print Production Costs 2,000</p> <p>75700- Training, Workshops, Conferences 40,000</p> <p>62,000</p>
	Subtotal					

<p>Output 3: The capacity of the Ministry of Amerindian Affairs (MoAA) to plan, manage, and support community development strengthened</p> <p>Baseline: MoAA has project implementation unit with not enough staff and other resources to support ADF implementation</p> <p>Targets: Capacity Assessment Report Capacity Development Plan</p> <p>Improved physical infrastructure, human resources capacity and project management process of the special projects unit</p> <p>Indicators: Capacity Development Report & Action Plan finalised</p> <p># of capacity development recommendations implemented</p> <p>Project Management</p>	<ul style="list-style-type: none"> - Procure consultants - Conduct capacity assessment and prepare report - Initiate capacity development support to MoAA in accordance with recommendations of the report 	<p>MoAA/UNDP</p>	<p>GRIF (WB)</p>	71600-Travel	10,000
				72200-Equipment & Furniture	35,000
				72800-Information Technology Equipment	25,000
				74100-Professional Services	30,000
				75700-Training, Workshops, Conferences	30,000
Sub-total					130,000
<p>Project Management</p>	<ul style="list-style-type: none"> - Procure project staff - Procure Community Development Finance Expert - Project staff fees - MoAA Special Projects unit - Set up project office - Project office operating costs - Monitoring & Evaluation 	<p>MoAA/UNDP</p>	<p>GRIF (WB)</p>	71200 - International Consultant	100,000
				71400- Contractual Services (Individuals)	83,000
				71600-Travel	55,000

- UNDP Technical support - UNDP Country Office Implementation Support Services (ISS)									72100- Contractual Services (Companies)	30,000
									72400- Communication & Audio Visual Equipment	20,000
									72500- Supplies	35,000
									72800- Information Technology Equipment	25,000
									74100- Professional Services	81,500
									74200- Audiovisual & Print Production Costs	5,000
									74500- Miscellaneous Expenses	4,900
									75700- Training, Workshops, Conferences	20,000
								Sub-total	527,400	
TOTAL									1,760,400	
GMS (UNDP 7%)									123,228	
TOTAL PREPARATION COST									1,883,628	

1200
20,000

PART 4: MANAGEMENT ARRANGEMENTS



Roles and Responsibilities

4.1 An Executive: The Executive is comprised of the Ministry of Finance, the MoAA and UNDP and its decisions will be made by consensus. The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. The Executive is responsible for overall assurance of the project as will be described. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

4.2 Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The National Toshias' Council, Indigenous Peoples Commission and the Regional Representative to the UN Permanent Forum on Indigenous Issues, will act as senior beneficiaries. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role will not be split between too many people.

4.3 Senior Supplier: The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. This includes technical guidance on designing, developing, facilitating, procuring and implementing the project. The MoAA, the Project Management Office (Office of the President), the Ministry of Local Government & Regional Development, the Ministry of Agriculture and Environmental Protection Agency will act as senior supplier for this project. The Senior Supplier role must have the authority to commit or

acquire supplier resources required. If necessary, more than one person may be required for this role.

4.4 Project Manager: The Project Manager is recruited by UNDP, in consultation with Ministry of Finance and MoAA. The Project Manager has the authority to run the project on a day-to-day basis on behalf of the project board within the constraints laid down by the Board and in coordination with the MoAA Projects Office. The Project Manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the project document-, to the required standard of quality, consistency with UNDP's safeguards and standards and within the specified constraints of time and cost. The Project Manager shall coordinate exchange of information between this and other projects developed under the GRIF. This includes ensuring open channels of communication with similar programmes/ projects in the country to facilitate synergies and upstream policy engagements.

4.5 Community Development Finance Expert: The expert brings expertise to the project. S/he is expected to use national and international best practices to design and develop a model and scalable financial mechanism for the disbursement, monitoring and reporting of development finance grants for rural communities, develop and operational manual for the financial development mechanism, implement capacity development activities at MoAA for the full scale implementation of the ADF and provide technical inputs to the full project document.

4.6 Project Support: The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

4.7 Project Assurance: Project Assurance is the responsibility of the Project Board. In addition, UNDP will augment this role to ensure that its fiduciary, environmental, social safeguards and standards are maintained. Further, the project assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Board

4.8 The Project Board (PB) is responsible for making management decisions, in particular when guidance is required by the Project Manager. The PB plays a critical role in project monitoring and evaluation by ensuring the quality of these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflict within the project or negotiates a solution to any problem with external bodies. The PB approves the Annual Work Plan, and can also consider and approve the quarterly plans. Its role will be to provide guidelines for general actions to the Project Manager, approve annual reports and annual operational plans, recommend or endorse substantive changes in the Project Document, follow up on midterm and terminal evaluations and suggest changes in activities without losing sight of strategic objectives. To ensure the project's results, board decisions must meet standards assuring best cost-benefit, integrity, transparency, and achievement of the best results and the competitiveness of the initiatives. Membership of the board may be revised as a result of the midterm evaluation.

4.9 In order to ensure project results, the PB's decisions will be made in accordance to standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition and ensure the integrity of UNDP's safeguards and standards included in Annex 2.

4.10 Representatives of stakeholders and rights-holders will be included in the Board as appropriate.

4.11 The PB will be convened and supported logistically by the project manager and will meet at least two times during the life of the Initiation Plan. These meetings will be financed by the project. The PB will provide overall guidance for the project throughout its implementation. Specifically the PB will be responsible for: (i) achieving co-ordination among the various government agencies; (ii) guiding the programme implementation process to ensure alignment with national and local planning processes and sustainable resource use and conservation policies, plans and conservation strategies; (iii) ensuring that activities are fully integrated between other developmental initiatives; (iv) overseeing the work being carried out by the implementation units and local committees, monitoring progress and approving reports; (v) overseeing the financial management and production of financial reports and, (vi) monitor the effectiveness of project implementation.

Standards

4.12 For project implementation of the Preparation Phase (Phase 1), and later of the full Project Document, UNDP Social, Environmental and Fiduciary Safeguards and Standards will apply (see Annex 2).

PART 5: MONITORING FRAMEWORK AND EVALUATION

5.1 Project monitoring and evaluation will be conducted in accordance with established UNDP procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP Headquarters and/ or Regional Service Centre (RSC) in Panama.

Project Inception Phase

5.2 A Project Inception Workshop (IW) will be conducted with the full project team, beneficiary Amerindian organisations, relevant national counterparts, and UNDP. A fundamental objective of this IW will be to assist the project team to understand the project's goal and objective, as well as finalize preparation of the work plan on the basis of the logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Work Plan (WP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

5.3 Additionally, the purpose and objective of the IW will be to: (i) introduce project staff to the UNDP team which will support the project during its implementation, (ii) detail the roles, support services and complementary responsibilities of UNDP- staff vis à vis the project team; (iii) provide a detailed overview of UNDP reporting and monitoring and evaluation (M&E) requirements, the Annual Review Report (ARR), as well as evaluations. Equally, the IW will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and mandatory budget rephasings. The IW will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase. Agreement on mechanisms for disbursements, financial reporting and information obligations and the date of the audit. The aide-memoire of the IW is a key document that must be prepared and shared with participants to formalize agreements and plans decided together during the workshop.

5.4 The Project Manager will fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the IW with support from UNDP. Specific targets for phase 1 implementation progress indicators together with their means of verification will be developed at this Workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the project team.

Monitoring responsibilities and events

5.5 A detailed schedule of project review meetings will be developed by the project management, in consultation with stakeholder representatives and incorporated in the Inception Report. Such a schedule will include: (i) tentative time frames for Project Board Meetings and (ii) project related Monitoring and Evaluation activities.

5.6 Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager based on the Work Plan and its indicators. The Project Manager will inform the Executive of any delays or difficulties faced during implementation and day-to-day problems of an administrative or managerial nature, so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

5.7 Periodic Monitoring through site visits: UNDP Country Office will conduct visits to project sites based on an agreed schedule to be detailed in the project's Inception Report/ Work Plan to assess first hand project progress. Additional visits may be carried out as necessary. Any other member of the Project Board can also accompany. A Field Visit Report/Back to Office Report (BTOR) will be prepared by UNDP and circulated. Monitoring will also occur through the Project Board Meetings (PBM). This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to PBMs at least two times in the initiation phase.

Reporting

5.8 The Project Manager will be responsible for the preparation and submission of the following reports that form part of the monitoring process.

Inception Report

5.9 A Project Inception Report (IR) will be prepared immediately following the IW. It will include a detailed Work Plan detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan will include the dates of specific field visits, support missions from the UNDP or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed budget, prepared on the basis of the Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted time-frame.

5.10 The IR will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation.

5.11 When finalized, the report will be circulated to participants of the IW who will be given a period of fourteen days in which to respond with comments or queries. Prior to this circulation of the IR, UNDP will review the document.

UNDP ATLAS Monitoring Reports:

5.12 A Combined Delivery Report summarizing all project expenditures is mandatory and should be issued quarterly by UNDP. The following logs should be prepared by the Project Manager: (i) The Issues Log is used to capture and track the status of all project issues throughout the implementation of the project. It will be the responsibility of the Project Manager to track, capture and assign issues, and to ensure that all project issues are appropriately addressed; (ii) the Risk Log is maintained throughout the project to capture potential risks to the project and associated measures to manage risks. It will be the responsibility of the Project Manager to maintain and update the Risk Log, and (iii) the Lessons Learned Log is maintained

throughout the project to capture insights and lessons based on experiences and behaviours. It is the responsibility of the Project Manager to maintain and update the Lessons Learned Log.

Project Terminal Report (Phase 1)

5.13 During the last month of the project the Project Manager will prepare the Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the Project's activities.

Project Publications

5.14 Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

Independent Evaluations

5.15 An independent Evaluation will take place in the seventh month of the project, and will focus on the effectiveness, efficiency and timeliness of project implementation; and will present initial lessons learned about project design, implementation and management; it will also look at impact and sustainability of results, including the contribution to capacity development, gender mainstreaming, poverty reduction and the achievement of global environmental goals. The Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to the UNDP Evaluation Office Evaluation Resource Center (ERC). The Terms of Reference for this evaluation will be prepared by the UNDP. The Evaluation will also provide recommendations for the full project.

Audit

5.16 The project will implement audit(s) according to UNDP Rules and Procedures.

Learning and knowledge sharing

5.17 Results from the project will be disseminated through existing information sharing networks and fora. In addition, the project will participate, as relevant and appropriate, in networks. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learnt. The project will identify, analyze, and share lessons learnt that might be beneficial in the design and implementation of similar future projects.

PART 6: LEGAL CONTEXT

6.1 This project document (Initiation Plan for Project Preparation) shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of Guyana and UNDP, signed on May 3, 1977.

6.2 Consistent with the Article III of the SBAA, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency⁵.

6.3 The executing agency shall:

put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

6.4 UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

6.5 The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document (Initiation Plan for Project Preparation).

6.6 Given that this Project Document (Initiation Plan for Project Preparation) is funded through a third party cost-sharing mechanism (GRIF Contribution through the World Bank acting as Trustee), UNDP will provide funding to this project only to the level of funds actually disbursed into the UNDP Account through the cost-sharing mechanism.

⁵ In this case the Implementing Partner

7. LIST OF ANNEXES

- Annex 1** - Process of CDP Development
- Annex 2** - UNDP Social, Environmental and Fiduciary Safeguards and Standards for the preparation and implementation of GRIF-UNDP Projects
- Annex 3** - Special Clauses
- Annex 4** - Processes and Criteria for Selection of Pilot Communities
- Annex 5** - Village Organizational Chart in Implementation of CDPs
- Annex 6** - Stakeholder Engagement Strategy
- Annex 7** - Risk Log
- Annex 8** - Detailed Budget

ANNEX 1: PROCESS FOR CDP DEVELOPMENT

The preparation and adoption of CDPs follow the same procedures and approval process as that of the annual village plans prepared by the Village Council, governed by Section 32 of the Amerindian Act of 2006. Thus, the CDP must be approved by a village general meeting, in which a decision should be made by consensus if possible, and if not possible, by vote, and which all residents are entitled to attend. The steps involved in preparing a CDP are outlined below.

Step 1: Template - The MoAA initiated the Community Development Planning Process to ensure that all communities abide by the National Law. In this respect, a template was drafted as a guideline for communities.

Step 2: Training Sessions – MoAA provided three sets of training for the Community Development Officers (CDOs) on the use of the template and importance of Community Planning. The training was conducted to ensure that adequate support can be provided to the local communities in the development of their CDPs.

Step 3: Community consultation and dialogue - The Principles of Free, Prior, and Informed Consent (FPIC) is entrenched in the Amerindian Act of 2006 Article 34 Para 1. The Toshias and the Village Councils initiated and facilitated discussions with the members of the village. CDOs and MoAA staff provide support in the facilitation of CDP discussions and guidance with Village Councils in Amerindian Villages, where all the necessary information for the template were collected. The Community decided on the priority development projects while the facilitator ensured the meeting moved smoothly, while also providing technical assistance in budgeting and areas necessary. The facilitators encouraged the village, Toshias and community to incorporate sustainability, capacity building, food security, and youth employment into economic development projects.

After establishing the quorum, entitlement to vote, and voting procedures as specified in the Amerindian Act Article 34 para 8, the village voted on the economic projects based on either consensus or majority (50% plus 1) by those who attended the meeting called for identifying priority projects. The village prioritized three projects, one of which is identified for initial funding.

The determination of objective of the project, its budget and costs to be incurred, as well as its sustainability was deliberated upon by the village in a series of meetings. This process ensured active participation of the people in the development of the CDP, and it also provides a sense of ownership of the proposed community projects.

Step 4: Documentation – Based on discussions during community dialogues, the draft CDP is drawn up by the Village Council. Upon review the CDPs were resent to the respective communities for final review and approval by the community.

Step 5: Validation - The completed CDP were then validated at the level of the village meeting. After this process, a copy of the minutes of the meetings and approval letter were sent to MoAA.

Submitted by Government of Guyana

ANNEX 2:

UNDP/GUYANA

Social, Environmental and Fiduciary Safeguards and Standards for the preparation and implementation of GRIF-UNDP projects

Introduction

The UNDP project cycle approach covers the entire project life cycle from idea generation to formulating a project, preparing a Project Document, implementing the activities in the project, monitoring and evaluating the project, and realizing project outputs and their intended contribution to programme outcomes.

At each stage, the Project Management section of the UNDP Programme and Operations Policies and Procedures (POPP) provides information to ensure that appropriate UNDP policies are followed, key stakeholders are properly involved, appropriate project management structure exists, outputs and activity deliverables are monitored, and the project is well managed.

The policies and procedures anchor accountability, risk management, and results-based management (RBM) concepts in the organization's business processes to enable good planning and a results focus.

General Standards

UNDP's programming process at the country level must remain within the overall UN system's programming process, normally called the 'CCA/UNDAF' process. Following are the common policy points that guide the CCA/UNDAF:

- National ownership that is inclusive of all stakeholders in all stages of the process;
- Alignment with national development priorities, strategies, systems and programming cycles;
- Inclusiveness of the UN system, with full involvement, as required, of specialized and non-resident agencies;
- Integration of five programming principles, tailored to the country context:
 - the human rights-based approach,
 - gender equality,
 - environmental sustainability,
 - results-based management, and
 - capacity development;
- Mutual accountability for development results.

Specific Standards

- Compliance with the safeguards and standards used by UNDP and UN-REDD for any REDD+ related project;
- Compliance with the United Nations Declaration on the Rights of Indigenous Peoples and other relevant UN human rights instruments;
- Definition of the consultation process to be used throughout the project cycle with the stakeholders and beneficiaries;
- Definition of the mechanism to obtain, in certain circumstances, the free prior and informed consent of beneficiaries and stakeholders, especially of the indigenous peoples;
- Definition of the mechanism to ensure that all relevant stakeholder groups are identified and enabled to participate in a meaningful and effective manner, following customary ways of decision-making;
- Definition of mechanisms to address conflicts and grievances;
- Ensure that special attention is given to most vulnerable groups;
- Ensure that transparent information is available and accessible to all parties concerned. There should be records of consultations and a report on the outcome of the consultations that is publicly disclosed in a culturally appropriate form.

Design Standards

- Comprehensive analysis of the baseline situation.
- In accordance with the Results-Based Management approach, define a detailed log frame, indicating baseline situation, targets, indicators to be used and assumptions, and define the M&E arrangements.
- Assess the potential social and environmental impacts of the project and in particular potential adverse impacts on the stakeholders' long-term livelihoods; and propose mitigation actions.
- Analyze and elaborate in a participative way on:
 - The potential risks associated with the project (potential impact and probability of occurrence), including financial, operational, political, regulatory, strategic and organizational risks.
 - The barriers and possible solutions.
 - The cost effectiveness of the proposed process and analyze possible alternatives.
 - The social and environmental sustainability of the project.
 - The cost and appropriate timeline for consultation/participatory processes.
- Carry out technical / administrative / capacity assessment of the Implementing Partner.
- Carry out Harmonized Approach to Cash Transfers (HACT) Assessment.
- Carry out Fiduciary Risk Assessment.
- Agree on the corresponding cost recovery (direct and indirect cost).

Operational Standards

- Comply with UNDP Financial Regulations and Rules;
- Project to be subject to internal and external audits;

- Comply with UNDP Procurement principles and standards: (1) Best Value for money, (2) Fairness, Integrity, Transparency, (3) Effective international competition (where applicable) and (4) the interest of UNDP.
- Ensure the continuity of the consultation process, how to monitor progress, how to address conflicts and possible grievance, and identify measures to be taken if needed.

Specific Principles and Guidelines

UNDP assisted projects are subject to the application of specific principles and guidelines included in UN/UNDP policies, which will be applicable in a general manner to the UNDP-GRIF projects in Guyana, such as:

- Draft UN-REDD Social & Environmental Principles and Criteria
- UNDP and Indigenous Peoples: A Policy of Engagement;
- Integrating Human Rights with Sustainable Human Development: A UNDP Policy Document;
- United Nations Development Group Guidelines on Indigenous Peoples Issues;
- Draft FCPF & UN-REDD Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest Dependent Communities (November 2010);
- Draft UN-REDD Programme Guidelines for Seeking Free, Prior and Informed Consent from Indigenous Peoples and other Forest Dependent Communities (June 2011)
- Draft UN-REDD Programme Guidance Notes on Environmental Assessment & Environmental Screening (November 2010);

ANNEX 3: SPECIAL CLAUSES

1. The schedule of payments and UNDP bank account details.

For this Initiation Plan – Phase 1, a one-time disbursement of USD1,883,628 is due upon approval from the GRIF Steering Committee.

2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.

4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.

5. All financial accounts and statements shall be expressed in United States dollars.

6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavours to obtain the additional funds required.

7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph [1] above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

- a. 7% cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
 - b. Direct cost for implementation support services (ISS) provided by UNDP (using UNDP's Universal /local price Lists).
9. Costs related to the provision of technical support by UNDP's HQ or Regional Service Centre, or other such support required by the project, will be considered direct costs and charged to the project budget. The same rule will be applied to the implementation support services (ISS) by the UNDP country office.
10. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
11. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the Financial Regulations, Rules and Directives of UNDP.

ANNEX 4: PROCESSES AND CRITERIA FOR SELECTION OF PILOT COMMUNITIES REPRESENTING 15% OF THE TOTAL COMMUNITY DEVELOPMENT PLANS

Stratified Sampling Method

Amerindian people are settled across the ten regions of Guyana and the diverse geographical location of the villages among other factors has created different contexts in which the economic development projects are going to be implemented. The proposed projects vary in nature but can be categorized into seven broad sectors namely: Agriculture including processing, Village Infrastructure, Tourism, Manufacturing, Village Business Enterprise, Mining and Transportation. While the population embraces a number of distinct categories, the *sampling frame* can be organized by these categories into separate "strata". As a remedy, we seek a sampling frame which has the property that we can identify every single element and include any in our sample.

Therefore, the sampling frame was based on three strata: sector, region, and proportion (which mean that since agriculture comprises 70% of nearly all the projects, then 70% of the sample comes from this sector across all Regions).

However, two conditions were applied in order to have a general and diverse picture of the whole Community Development Plans:

- i) There has to be at least one project from each region.
- ii) There has to be at least one project from each sector.

Where all else is constant, selecting which project between two or more villages was done randomly. The communities listed will be reviewed and 15% will be selected for pilot.

List of Communities and Priority Area of economic development focus

Village	Region	Top priority
Kumaka/Rincon	1	Red beans & peanut cultivation
Koko	1	Community shop
Kamwatta	1	Aquaculture
Karaburi	1	Poultry rearing
Santa Rosa Island	1	Food processing (from satellite farms)
Mora	1	Fruit orchard
Huradiah	1	Tourism
Manawarin	1	Mixed farming
Father's Beach	1	Fishing projects
Assakata	1	community farm, poultry
Warapoka	1	Large scale peanut and cassava cultivation
Chinese Landing & Tassawini	1	Poultry rearing
Kariako	1	Poultry rearing
Kokerite	1	Poultry rearing
Wallaba	1	Poultry rearing
Barabina	1	Poultry rearing

Village	Region	Top priority
Arukamai	1	Spring water bottling plant
Three brothers	1	Aquaculture
Red Hill	1	Village market
Tobago	1	Poultry rearing
White Water	1	Cocoa and coffee cultivation
Smith creek	1	farm/fish project
Barima Kariabo	1	Agricultural farm
Kamwatta (Mab)	1	Poultry rearing
Bumbury Hill	1	Craft centre/ IT centre
Wauna	1	Poultry - broiler and layer rearing
Yarakita	1	Poultry rearing
Kwebanna	1	Cassava processing by establishing a mill
Hotoquai	1	Village shop (local marketing centre)
Waramuri	1	Poultry rearing
Lower Blackwater	1	Agriculture-ground provision farm
Hoboedia	1	Spice project (ginger, tumeric etc)
Four Miles	1	Bee keeping
Baramita	1	Village shop
Waikarebi	1	sustainable logging
Sebai	1	cattle rearing
Canal Bank	1	Fishing project
Oronoque	1	tumeric or ginger cultivation
Arakaka	1	poultry rearing
Matthews Ridge	1	poultry rearing
Kabakaburi	1	Peanut farming
Haimacabra	1	Furniture making
Big Creek	1	livestock rearing
Lower Koriabo	1	Farming project
Five star	1	Fishing projects
koberimo	1	poultry
St.Dominic	1	farming
arau	1	farming
Sacred Heart	1	farming
unity square	1	farming
baracina	1	farming
Aruka mouth	1	Transportation (Bus)
bamboo landing	1	Poultry Rearing
Wakapoa	2	coffee rejuvenation
St. Monica/Karawab	2	Nibbi Furniture Project

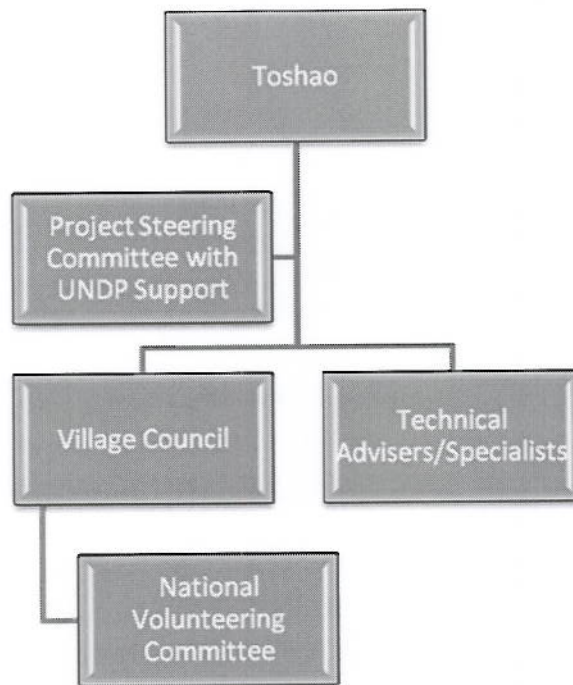
Village	Region	Top priority
Mashabo	2	Large-scale cultivation pineapples, peanuts, red beans, passion fruit, and peppers
Akawini	2	Large scale passion-fruit, sour-sop and spice (turmeric, black-pepper, nutmeg, and ginger) cultivation
mainstay	2	processing vegetables
Capoey	2	Nature based Tourism
Bethany	2	agricultural farm
Santa Mission	3	Bee Keeping
St. Cuthbert's Mission	4	Tourism resort
Moraikobai	5	Completion of Multipurpose Building
siparuta	6	furniture making
Orealla	6	Rice Cultivation
Waramadong	7	Joint Farm to Market Road
Kako	7	(40 Miles & 8 bridges)
Kamarang/Warwatta	7	Tractor & Trailer
Jawalla & Kwebenang	7	Farm to Market Road (2 miles & 3 bridges)
Phillipai & Wayalayeng	7	Upgrading of the airstrip (\$11M)
Chinoweing & Wax-creek	7	Farm to Market Road (15 Miles & 5 Bridges)
Batavia	7	Poultry Project
Karrau	7	Cash Crop Production
Kaburi	7	Lumbering & Furniture Making Project
Tassarene	7	Poultry Project
Kangaruma	7	fishing project
Isseneru	7	Village Farm
Kurutuku	7	Mining
Arau	7	Cash Crop and Poultry Rearing
Kaikan	7	Poultry Production
Paruima	7	village shop
Dogg Point/ Agatash	7	Multipurpose Skills Centre
Chenapou	8	Poultry Rearing
Taruka	8	Cattle
Micobie	8	Poultry Rearing
Tuseneng	8	Cattle Rearing
Kamana	8	Cattle Rearing
Waipa	8	Cattle rearing
Kato & chuing Mouth	8	cattle rearing
Karisparu	8	sustainable mining

Village	Region	Top priority
Monkey Mountain	8	tourism
Kopinanag	8	aquaculture
Kaibarupai	8	crabwood oil or peppers or casareep
Kurukabaru	8	cattle
Itabac	8	village farm
Princeville	8	village farm- in Cambelltown CDP
Cambelltown/ Princeville	8	Day care
Paramakataoi	8	tourism
El Paso/ Princeville	8	Agriculture farm
Fairview	9	Organic Agriculture Cultivation
Surama	9	Village Office
Wowetta	9	Ecotourism
Rupertee	9	Cassava Processing Facility
Kwatamang	9	Clay Brick Manufacturing
Annai Central	9	Aquaculture
Aranaputa	9	Access Road Rehabilitation
Toka	9	Cassava, Cash crop Cultivation
Yakarinta	9	Fish Farm
Massara	9	Cassava, Cash crop Cultivation
Kwaimatta	9	cassava
Apoteri	9	Multipurpose Skills Centre
Crash Water	9	Citrus farm & Other Crops
Rewa	9	Airstip
Karasabai	9	Ecotourism cottage
Tiperu	9	Community Resource Centre
Tiger Pond	9	Cassava Processing Facility
Taushida	9	Cattle & Sheep Rearing
Rukumutu	9	Village Shop
Yorongparu	9	Rice & Bean Cultivation
Paipang	9	cattle Project
Quatata (Central)	9	Farming Project (Watermelon, Passion Fruit)
FlyHill	9	Agriculture Project (Cassava and Peanut)
Kaicumbay	9	Cassava Processing Building (Value added cassava)
Yupukari	9	Cassava Processing Building (Value added cassava)
Katoka	9	Peanut Project
Semonie	9	Cattle Rearing
Nappi	9	Farming Project (Cassava and Blackeye pea)

Village	Region	Top priority
Parishara	9	Cattle Rearing
St. Ignatius	9	Farming (Oranges)
Kumu	9	Poultry Project
MocoMoco	9	Transportation (Bus)
Parikwaranau (S/Central)	9	Cassava Production
Potarinau	9	Farming Project (Cassava and Peanut)
Meriwau	9	Farming Project (Cassava and Fruits; watermelon and Passion fruit)
Shiriri	9	Extension and Upgrading of Livestock
Shulinab	9	Extension on Farming Project (Blackeye pea and Cassava)
Shea (South)	9	Agriculture Farm
Awarewaunau	9	Womens' Sewing Centre
Maruranau	9	craft centre/ IT centre
Churikadnau	9	Cattle Rearing
Aishalton	9	Extension on Farming Project (Paddy and Cassava)
Karaudarnau	9	Rice and Blackeye Farming
Achawib	9	Rice and Corn Production
Bashauzon		Cattle Rearing
Erfoimo/Parabara	9	Citrus and Cassava Farming
Masakenyari	9	Museum Building
Sawariwau		Cattle Rearing (upgrading of livestock)
Katoonarib	9	Extension of Peanut Production
Rupanau	9	Cash Crops Project (Blackeye pea, Corn and Red beans)
SandCreek	9	Eco Tourism Lodge
Riversview	10	Poultry and Crop Production
Rockstone	10	Cassava Processing Facility
Kimbia	10	Agriculture Farm (tractor & trailer)
Wikki Calcuni	10	Rice Cultivation
Kimbia	10	Joint large-scale Farm Project
Muritaro	10	Agriculture Farm
Malali	10	Agriculture/Road Construction to market
Hururu	10	Guest House
Wiruni	10	Peas & Peanut Farm
Sand Hills/ Hittia	10	Agriculture (beans, peanuts, cash crops - tractor and trailer)

Submitted by Government of Guyana

ANNEX 5: VILLAGE ORGANISATIONAL CHART IN THE IMPLEMENTATION OF CDPs



The Toshao is the Chairman of the Village Council and is mandated by the Amerindian Act 2006 to “ensure good governance including accountability and transparency within the Village Council.” [Sec. 20, par c.] Therefore, he shall be the top manager in so far as the implementation of the CDPs is concerned and will exercise authority and power to plan, delegate, coordinate, organize, mobilize the implementation of the projects. He shall be guided by the provisions of the Amerindian Act which defines and limits his powers.

The Village Council- is the main implementing body of the project/s. It is imbued with fiduciary accountability and responsibility as defined in the Amerindian Act. The Amerindian Act stipulates its functions as to the carrying out of projects and protection of the environment, and thus shall be guided strictly by the provisions of the Act.

The Project Steering Committee- is a ministerial advisory committee, and has no line authority. Its functions are basically technical in terms of overall management strategies and Monitoring and Evaluation of the projects. Its main task is to ensure the effective implementation of the projects through technical and organizational advice, and capacity building of the Village Council so that the latter will be better equipped in managing the project/s. It is headed by a **Project Manager**.

Technical Advisers/Specialists- are highly specialized people whose skills are needed in the implementation of the projects. They shall report directly to the Toshao, and work operatively with the Village Council and the National Volunteering Management Committee. Their tasks are mainly to advise, guide, and build capacity on their specific and specialized disciplines that are required in the implementation of the projects.

The National Volunteering Management Committee- is comprised of 2 local community-based volunteers and 2 members of the Village Council and the Community Development Officer (CDO). Its

main tasks are to: oversee on-the-ground implementation activities; monitor implementation and make timely interventions when necessary; report all shortcomings of the projects promptly; Keep monthly records of all transactions; train other community participants on skills and capacities that they have acquired from CDOs, Specialists and other bodies; and provide monthly reports to MoAA through CDOs or directly to M&E Staff of the Ministry.

ANNEX 6: STAKEHOLDER ENGAGEMENT STRATEGY

Introduction

The Government of Guyana and UNDP will work assiduously to ensure that informed inputs are given by all stakeholders in the development of the Amerindian Development Fund (ADF) Project. This engagement strategy is complementary to the consultations that have already been undertaken by the Ministry of Amerindian Affairs. In this regard, it builds on the extensive consultation process of the Guyana Low Carbon Development Strategy and the Free, Prior and Informed consent provisions embodied in the Amerindian Act.

Stakeholders are defined as those groups that have a stake/interest/right in the project and those that will be affected either negatively or positively by project activities. They include relevant government agencies and Indigenous Peoples. The importance of including these stakeholders in the project is reflected in the UNFCCC text on stakeholder participation and there is a recognition among decision-makers that the complexity of implementing this kind of project makes engaging multiple stakeholders a necessity. Engaging stakeholders in discussions regarding impacts on their interests and livelihoods will be important in designing, and implementing community development projects that speak to indigenous peoples' needs and recognise their rights.

The UN-REDD Programme and the Forest Carbon Partnership Facility (FCPF) have produced joint "[Guidelines on Stakeholder Engagement in REDD+ Readiness](#)", which describes (i) principles for effective participation and consultation; (ii) operational guidelines; and (iii) practical "how-to" guidance on planning and implementing consultations. This document takes the principles and guidance from the joint UN-REDD/FCPF guidelines, incorporates lessons from other countries, and analyzes these to generate a practical strategy for application. This information is organized according to various steps of consultation outlined in the Guidelines on Stakeholder Engagement in REDD+ Readiness. This analysis is supported by annexes and attachments providing more detailed examples as well as links to further resources.

Proposed Elements of a Consultation Process

1. Define the desired outcomes of consultations

For each series of consultations, specific Terms of Reference (ToR) will be drawn up identifying the purpose of the consultation, the number and locations of consultation events, the anticipation participants (by stakeholder groups), and providing a budget and anticipated schedule. These ToR will be communicated widely through any established appropriate networks and on the GRIF web-site. .

2. Define the issues to consult on

The key issues to be discussed will be decided and reviewed by the Project Board. Each quarterly work-plan will identify the issues requiring stakeholder consultations in the coming quarter, but the Project Board will also attempt to plan two quarters ahead. For each issue, specific ToR will be developed

3. Identify stakeholders

The ADF project may affect the following stakeholder groups:

- Government ministries, departments and agencies
- Local administrations
- Indigenous Peoples
- Civil society
- Academia
- Industry

For those groups, for which, representation is not self-evident (CSO, Academia,), a process of self-selection of representatives will be supported. The self-selection process will be undertaken at least 3 weeks in advance of each series of consultations. The results of the self-selection process will be communicated widely through appropriate networks and on the GRIF web-site.

4. Select the consultation and outreach methods

For each consultation process, the appropriate outreach methods will be identified in the ToR. Normally this will include:

- National newspapers, as appropriate
- radio and TV broadcasts
- Distribution of information (posters, brochures) as appropriate
- GRIF web-site
- Community mobilisation using existing communication channels

5. Conduct the consultations

The consultation process will normally consist of meetings using a format and in a setting designed to promote open discussion. This implies, *inter alia*:

- A location, time and duration that is convenient for stakeholders' participation
- The presentation of information in a manner designed to be comprehensible by stakeholders
- Appropriate participation, i.e. jointly identifying with community a list of stakeholders who need to be present for consultation Opportunities

6. Analyze and disseminate results

All documents related to the consultations, including:

- ToR for the consultations
- Background documents on the subject of the consultation
- Logistical arrangements for the consultations

... will be sent to participants in the consultation at least 2 weeks before the consultation, and posted on the GRIF web-site.

The results of the consultations, consisting of:

- Minutes of the consultation
- Analysis and reports

... will likewise be sent to all participants in the consultation, and posted on the GRIF web-site.

ANNEX 8: DETAILED BUDGET

Output 1	A functional, scalable and transparent disbursement mechanism created																	
	Planned activities	Activity Actions	Budget	Budget per budget line										75700- Training, Workshops, Conferences				
71200 - International Consultant				71300- Local Consultant	71400- Contractual Services (Individuals)	71600- Travel	72100- Contractual Services (Companies)	72200- Equipment & Furniture	72300- Materials & Goods	72400- Communication & Audio Visual Equipment	72500- Supplies	72600- Grants	72800- Information Technology Equipment		74100- Professional Services	74200- Audiovisual & Print Production Costs	74500- Miscellaneous Expenses	
1.1 Gather data and design the financial mechanism	1.1.1 Design disbursement mechanism using existing national and international best practices																	
	1.1.2 Develop an operational manual for the financial disbursement mechanism	18,000													18,000			
	1.1.3 Conduct consultations with stakeholders on experiences in the use of financial mechanisms	45,500				25,000											500	20,000
	1.1.4 Fine-tune the mechanism	0																
	1.1.5 Train Communities & MoAA on the use of the mechanism	45,500				25,000											500	20,000
Subtotal output 1.1			109,000	0	0	0	50,000	0	0	0	0	0	0	0	18,000	0	1,000	40,000
1.2 Select Communities to test financial mechanism & disburse funds	1.2.1 Design selection criteria	0																
	1.2.2 Elaborate CDPs by further integrating environmental, social & economic safeguards	10,000			10,000													
	1.2.3 Inter-ministerial technical support	200,000																

1.2.4 Funds disbursed to communities/villages	675,000																		675,000								
1.2.5 Capacity Development for the communities to implement the project	27,000																										27,000
1.2.6 Monitor the process	20,000																										
Subtotal output 1.2	932,000	0	0	10,000	20,000	200,000	0	0	0	0	0	0	0	0	0	0	0	0	675,000	0	0	0	0	0	0	0	27,000
OUTPUT 1 TOTAL per budget line	1,041,000			10,000	70,000	200,000													675,000	0	18,000	1,000				67,000	

Output 2		The full Project Document prepared and submitted for approval																											
Planned activities	Activity Actions	Budget	Budget per budget line																										
			71200 - International Consultant	71300- Local Consultant	71400- Contractual Services (Individuals)	71600- Travel	72100- Contractual Services (Companies)	72200- Equipment & Furniture	72300- Materials & Goods	72400- Communication & Audio Visual Equipment	72500- Supplies	72600- Grants	72800- Information Technology Equipment	74100- Professional Services	74200- Audiovisual & Print Production Costs	74500- Miscellaneous Expenses	75700- Training, Workshops, Conferences												
2.1.1 Procure consultant		2,000																											
2.1.2 Draft project document		5,000																											
2.1.3 Consultations on project document		45,000																											
2.1.4 Revision of draft project document		5,000																											
2.1.5 Project Appraisal Committee		5,000																											

Project Management	Budget per budget line													Budget				
	Planned activities	71200 - International Consultant	71300- Local Consultant	71400- Contractual Services (Individuals)	71600- Travel	72100- Contractual Services (Companies)	72200- Equipment & Furniture	72300- Materials & Goods	72400- Communication & Audio Visual Equipment	72500- Supplies	72600- Grants	72800- Information Technology Equipment	74100- Professional Services		74200- Audiovisual & Print Production Costs	74500- Miscellaneous Expenses	75700- Training, Workshops, Conferences	
Project Management	Procure project staff													3,000				
	Community Economic Development Expert/Economist	100,000																
	Project manager fees			45,000														
	Project assistant fees			18,000														
	MoAA Special Projects unit			20,000			10,000			10,000		10,000						
	Set up project office						10,000			10,000		15,000			2,000			
	Project office operating costs				20,000				20,000	15,000					2,000		10,000	
	Monitoring & Evaluation				35,000													10,000
	UNDP Technical support													81,500				
	UNDP Country Office Implementation Support Services (ISS)															48,900		
Subtotal		100,000	0	83,000	55,000	30,000	20,000	0	20,000	35,000		25,000	81,500	5,000	52,900		20,000	
TOTAL per budget line		100,000		83,000	55,000	30,000	20,000		20,000	35,000		25,000	81,500	5,000	52,900		20,000	
Total Costs																		
UNDP General Management Support (7%)																		
Total Project Preparation Cost																		

ANNEX 7: RISK LOG

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt. response	Owner	Submitted, updated by	Last Update	Status
1	Lack of shared commitment by Government, civil society, political parties and communities	May 2012	Political	If there is a lack of share commitment with the best of intentions, the project will not achieved its desired objectives. Should all groups not perceive themselves as having a stake in the success of the project, the probability of its benefits reaching the beneficiaries will be greatly reduced. I: 5 P:5	The development process was fully consultative. The management arrangements are designed to encourage continued engagement of varied stakeholders. UNDP will apply FPIC consistently at each phase of the project cycle.	Project Board	UNDP		
2	Inability to attract and retain relevant technical capacity at Community level: most communities suffer from low levels of available qualified resource persons.	May 2012	Operational	Management of community projects could be affected. Some communities may experience challenges in recruiting suitably qualified residents to implement project activities. I: 4 P:4	Emphasis will be placed on local community-based organizations, community leaders and concerned residents to expose them to a period of training to enable them to manage the identified projects.	Project Board	UNDP		
3	Changes in the leadership of targeted communities.	May 2012	Regulatory / Political	With new leadership new priorities could emerge. I: 5 P:3	In keeping with the ADF Project concept Note UNDP will work with the various communities to revisit where necessary and practical the individual projects.	Project Board	UNDP		
4	Funds from the GRIF are not released on a timely basis	May 2012	Financial	Will impact on the roll out of the individual projects. I: 5 P:2	Project disbursement schedules will be prepared shared with all stakeholders	Project Board	UNDP		

Probability scale from 1 (low) to 5 (high) P =
Impact scale from 1 (low) to 5 (high) I =

