

Mid-Term Evaluation

**Low Carbon Development Strategy (LCDS) Amerindian Development Fund (ADF):
Village Economy Development (Phase II) under the
Guyana REDD+ Investment Fund (GRIF)
(ADF Phase II Project)**

Timeframe: September 2014-November 2016

Guyana, LAC

Evaluator

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December 13, 2016

United Nations Development Programme

Table of Contents

Abbreviations and Acronyms:	3
Executive ummary.....	4
1. Introduction	7
2. Object of the evaluations:.....	9
3. Evaluation purpose objective (s) and scope.....	16
4. Evaluation Methodology.....	23
5. Findings.....	25
6. Conclusions	33
7. Recommendations.....	36
8. Lessons Learned	37
Annex	38
Annex 1 TORs	37
Annex 2 Field Mission and list of interviewees	38
Annex 3 Documents.....	42
Annex 4 Evaluation	49
Annex 5 Logical Resource Framework	52
Annex 6 Annual Work Plan	53
Annex 7 Matrix Risk Log.....	59
Annex 8 CDP Selection Process.....	

Abbreviations and Acronyms:

ADF	Amerindian Development Fund
APA	Amerindian Peoples Association
AVC	Amerindian Village Councils
CDO	Community Development Officer
CDP	Community Development Plan
CMT	CDP Management Team
CSO	Community Support Officer
DPC	Direct Project Cost
FAO	Food and Agriculture Organization
FPIC	Free, Prior and Informed Consent
GD	Guyanese Dollar
GGMC	Guyana Geology and Mines Commission
GFC	Guyana Forestry Commission
GLDA	Guyana Livestock Development Authority
GoG	Government of Guyana
GMS	General Management Services
GOIP	Guyanese Organization of Indigenous Peoples
GRIF	Guyana REDD plus Investment Fund
HEYS	Hinterland Employment Youth Services
HIES	Household Income and Expenditure Survey
IT	Information Technology
LCDS	Low Carbon Development Strategy
MoAA	Ministry of Amerindian Affairs
MOA	Ministry of Agriculture

MoNR	Ministry of Natural Resources
MoF	Ministry of Finance
MoLGRD	Ministry of Local Government and Regional Development
MoIPA	Ministry of Indigenous People's Affairs
MSSC	Multi Stakeholder Steering Committee of GRIF
NTC	National Toshias' Conference
NGO	Non-governmental Organization
NIM	National Implementation Modality
OP	Office of the President
PM	Project Manager
PMO	GRIF Project Management Office (PMO)
PA	Project Associate
PAC	Project Appraisal Committee
PMB	Project Management Board
PO	Project Officer
PPP	Public Private Partnership
PSC	Private Sector Commission
REDD+	Reducing Emissions from Deforestation and forest Degradation plus conservation, sustainable forest management and enhancement of forest carbon stocks
SPU	Ministry of Amerindian Affairs Special Projects Unit (SPU)
TAAMOG	The Amerindian Action Movement of Guyana
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
VC	Village Council
VED	Village Economy Development

Executive Summary

The Amerindian Development Fund (ADF) has been established to provide support for the socio-economic and environmental development of Amerindian communities and villages, through the implementation of Community Development Plans (CDPs). The proposed projects cover agricultural production and processing, village infrastructure, tourism, manufacturing, village business enterprise, and transportation, among others.

This project, implemented by the Ministry of Amerindian Affairs –MOAA- now Ministry of Amerindian Peoples ‘Affairs –MOIPA-, and supported by UNDP, is based on a transformational approach that aims to strengthen the entrepreneurial capacities and capabilities of Amerindian communities through the provision of micro-capital grants (provided by the GRIF-ADF) while engendering a supportive landscape for private enterprise development. This approach aims to facilitate the gradual integration of remote Amerindian communities and economies into the regional and national economy.

The specific objectives of the evaluation are:

- i. Analyze the progress in terms of outcomes and outputs as well as their efficiency, effectiveness and impact;
- ii. Evaluate the contribution of the activities and tools towards the achievement of results;
- iii. Determine lessons learned for their sustainability and further impact on beneficiaries; and
- iv. Enhance the MoIPA and UNDP’s contribution to the project’s execution and sustainability

The potential users of this MTE are:

- The MoIPA
- UNDP and in particular it’s areas of sustainable development and M&E
- Donors and particularly the Kingdom of Norway’s cooperation funds
- The beneficiaries from CV, VCs, CMTs, CDOs and other main stakeholders and implementing partners

The MTE covers the execution between September 2014 and November 2016, with almost 50% of the implementation achieved, while outputs 2 and 3 are just starting. The project contemplates the engagement with the private sector through the promotion of value chains to contribute to inclusive and sustainable growth as well as the contribution of the CDPs to local economic development.

The evaluation matrix was based on the TOR guidelines and covered all important aspects such as relevance, effectiveness, efficiency, sustainability, impact, lessons learned. Aspects related to theory of change have been specifically taken into account.

The selection of 11 villages in 4 different regions was made by the Guyana UNDP CO based on the following criteria: geographic distribution, logistics, sector and varying degrees of progress of the CDPs. Approximately 90 persons were interviewed or participated in the meetings in Georgetown and community villages.

Main Conclusions

- The coverage of 160 villages, + 1 left from phase I, 161 total, and allocation of 5 million GYD seems appropriate in the interest of equality and fairness, allowing for political and policy considerations and seems to have worked appropriately with 159 grant agreements signed, 104 first and 36 second tranche disbursement

- The role, structure and operation of the PMU and performance of the PM is good, given the extensive geographical and sector coverage for their task
- The role of the Community Development Officers –CDOs-, which work for MoIPA, is also relevant, since they are always on the ground, and may provide support and be the linkage with CDPs, CMT and the PMU.
- Insufficient community participation, understanding, buy-in and commitment has contributed to governance issues, together with the political changes due to elections and alternation between Village Council Toshao and Councilors, especially when there were pre-existent draft CDPs from 2010 to 2012
- The selection of Community Management Teams –CMTs- plays an important management role and therefore ownership, commitment and capacity building has to be ensured. This was not always the case
- The ADF is considered relevant to avoid deforestation, environmental-friendly economic and social development
- Most CDPs and business initiatives implemented and on track to achieve expected outputs and have improved productivity, incomes, jobs and welfare for the communities, while contributing to sustainable development. However, further job and management skills, sector technical assistance and accountability and oversight could improve effectiveness and efficiency
- Some of the binding constraints faced by CDPs are: community participation and ownership, access to financing, insufficient work and management skills, access to markets, infrastructure and transportation and, in some cases, solid and updated business plans
- Governance is an issue due to divisions along national party lines, religion and internal tensions within some Communities which affects the implementation of some CDPs, which still has to be addressed
- Indigenous Peoples' Rights, Customary Rights, 2006 Amerindian Act, FPIC have been respected and addressed. Gender equity and women empowerment and mainstreaming has also been addressed
- UNDPs support and engagement strategy has been good and proved to have adequate capabilities and response capacities
- MoIPA support and Management Information Systems –MISs- were good but could be improved especially through support from CDOs
- The screening, selection and approval process done by MoIPA PMU was good through scoping missions but could be improved by building local capacities and CDO support
- The role played by other Ministries, Agencies, UN Agencies and different stakeholders is crucial to support CDPs and MoIPA's and PMU responsibilities
- Some further issues related to CDPs and livelihoods should be considered and were suggested:
 - Access to internet connectivity and communications
 - Improvement of road infrastructure and transportation
 - Enhanced road and boat security measures to avoid accidents and other inconveniences
 - Issues with cattle rustling

Main Recommendations

- i. Ensure community ownership and participation through periodic meetings in which the status, progress and key issues related to the CDP is communicated and discussed with community members and beneficiaries
- ii. Address the local governance issues that are outstanding and anticipate potential problems through community participation that promotes and ensures coordination between the Village Council and CMT

- iii. Progressively, by allowing for the development of absorptive capacity of trainees, provide job and management training and skills to both CMT and workers with incentives to allow them to do their work efficiently
- iv. Provide compensation through more intensive training and support to isolated and backward regions contributing to equity and a leveled playing-field among villages
- v. Strengthen and coordinate the support provided by other government agencies, UN Agencies and other institutions and CSOs at local village level to provide technical assistance, public goods and externalities that benefit the CDPs
- vi. Provide further advisory support to CDPs through CMOs and eventually ToT mechanisms supported by NUNVs to enhance the rhythm and quality of implementation of CDPs
- vii. Contribute to the efficient design of projects through sector oversight and coordination provided by the PMU, sector agencies, CDOs or exchange of experiences among similar projects to avoid mistakes and pitfalls that hinders the quality, profitability and sustainability of the proposed business venture: guest house, tourism, eco-lodge, Village Shop, Transportation, agriculture, livestock, etc.
- viii. Promote networking and clustering as well as exchange of experiences among similar projects through project twining that may lead to economies of scale and saving time and resources
- ix. Consider and explore the possibility of having child and family care through a network of women which contributes to their active participation and paid income
- x. Establish a saving fund that contributes to maintenance, expansion and replication within each community as well as provide leverage capacity to mobilize local and external financial resources through self-saving groups and financial literacy
- xi. Start implementing outputs 2 and 3 that will further contribute to inclusive business and growth and local economic development
- xii. Request a no cost extension for the ADF Phase II due to the fact that the estimated remaining funds are USD 3,197,564 and that based on past rhythm of execution cannot be spent by September 2016

1. Introduction

Background and Context

In anticipation of the establishment of a full international REDD+ (Reducing emissions from deforestation and forest degradation) mechanism, the Guyana REDD+ Investment Fund (GRIF) was created to receive payments for Guyana's climate services. The GRIF represents an effort to create an innovative climate finance mechanism which balances national sovereignty and investment priorities while ensuring that REDD+ funds adhere to the highest internationally recognized standards for financial, environmental and social safeguards.

The GRIF finances activities identified under the LCDS by channeling results-based payments for avoided deforestation towards environmental-friendly development initiatives. Among the projects the GRIF will finance is the Amerindian Development Fund (ADF), a project in support of the development of the village economy in Guyana's vast hinterland and interior. The Government of Guyana wants to transform Guyana's economy while combating climate change. The LCDS has two key goals, namely to:

- Transform Guyana's economy to deliver greater economic and social development for the people of Guyana by following a low carbon development path; and
- Provide a model for the world of how climate change can be addressed through low carbon development in developing countries, if the international community takes the necessary collective actions, especially relating to REDD+.

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. Guyana has the lowest level of deforestation in the World, maintaining 99.5% of her forests.

There are about 212 Indigenous Communities located across Guyana, concentrated in a geographic space referred to as the rural interior/hinterland, situated mostly within the boundaries of regions 1, 2, 7, 8 and 9. 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. As an income indicator, the average monthly salary for the Community Development Officers is 30,000 GDs, while Amerindian family in the villages is reported by most community members to be an annual income of close to 200,000 GDs.

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. Amerindians own 13.9 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, Patamona, Arekuna, Macushi, Wapishana and Wai Wai – each of which has its own distinct cultural identity and

heritage, language and traditional economic activities. 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.

The LCDS ADF Village Economy Development (Phase II) under the GRIF project has been established to provide support for the socio-economic and environmental development of Amerindian communities and villages, through the implementation of Community Development Plans (CDPs). As a precursor to the full-scale project design for the provision of micro-grants under the Amerindian Development Fund Village Economy, 27 Amerindian communities were selected for the disbursement of grants in a pilot phase that lasted in excess of 9 months. This pilot phase was known as the Initiation Plan (IP).

The Initiation Plan sought to: 1) Develop and test a financial disbursement mechanism with an accompanying operational manual; 2) Produce the full Project Document; and 3) Strengthen the capacity of the Ministry of Amerindian Affairs –MoAA- to directly manage and support the implementation of the Project. Phase II will cover an additional 160 communities through CDPs¹ proposed in agricultural production and processing, village infrastructure, tourism, manufacturing, village business enterprise, and transportation, among others.

This initiative will build on the cultural and communal strengths of Amerindian Communities' practices. Based on their access to the natural resources and ownership of forestlands, Amerindian Communities are optimally placed to enable conservation and preservation of standing forests. Indeed, the LCDS critically recognizes the important role that Amerindian communities can play in protecting and sustainably managing the forests. With the aforementioned in mind, this project addresses specific barriers to income poverty within Amerindian Communities, noting the potential impact on sustainable development.

2. Object of the evaluation

In 2009, the Government of Guyana (GoG) launched the groundbreaking Low Carbon Development Strategy (LCDS). The LCDS aims at combating poverty while responding to the impact of climate change by avoiding deforestation and creating a low carbon, climate-resilient economy as the basis for the environmental, social and economic transformation of the country. This strategy supplements the National Development Strategy (2000-2010), the National Competitiveness Strategy (2006), and the Poverty Reduction Strategy Papers - PRSPs (2004-2008) and (2011-2015). The LCDS represents complementarity of environmental responsibility and economic growth, and functions to mobilize financial payments for the climate services provided by Guyana's vast standing forests.

Table 1: Key Project Information

Name of Project	Low Carbon Development Strategy (LCDS) Amerindian Development Fund: Village Economy Development (Phase II) under GRIF
UNDAF Outcome(s):	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

¹ Due to the fact that 26 out of 27 CDPs were developed during the ADF GRIF Phase I pilot, the remainder CDP has been included in Phase II. Therefore, the total amount of CDPs is 161 (160 Phase II + 1 Phase I)

Expected CP Outcome(s):	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.		
Intermediate Outcome	Improved Socio-Economic Development of Amerindian Communities		
Expected Output(s):	(a) Strengthened entrepreneurial and Institutional capabilities of the village economy of Amerindian communities (b) Improved linkages with the private sector to further develop value chains. (c) Strengthened Institutional framework to support local economies.		
Total Budget Guyana REDD+ Investment Fund	USD 6,259,414.32		
Government Coordinating Agency:	Ministry of Finance		
Implementing Partners	Ministry of Indigenous People's Affairs (formerly, Ministry of Amerindian Affairs at approval date)		
Approval date	September 2014	Date of transfer of funds	
Closing Date	September 2017		

The Amerindian Development Fund (ADF) has been established to provide support for the socio-economic and environmental development of Amerindian communities and villages, through the implementation of Community Development Plans (CDPs). The proposed projects cover agricultural production and processing, village infrastructure, tourism, manufacturing, village business enterprise, and transportation, among others.

Micro-capital grants, through a SGP (Small Grant Programme), will be made available through the LCDS GRIF for Amerindian Communities to pursue business ventures and village infrastructure development. These ventures are developed through a process that will culminate in the graduation of a Community Development Plan (CDP) to a full Business Plan. A variety of capacity strengthening exercises are to be undertaken to support the CDPs. Strategic partnerships to close market access gaps for targeted communities are to be established. In this regard, the creation and strengthening of a system of value chains is the mechanism through which the support to Amerindian communities will transform their village economies.

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To achieve the intended impact of this project implemented by the MOAA from now addressed as MOIPA, and supported by UNDP will focus on five primary functions critical to the socio-economic development of Amerindian villages:

- **Investment** avails the financial input in the form of grants which enable the target communities to start, continue, scale-up, and grow business ventures;
- **Information** provides communities with the awareness, knowledge, technology and technical know-how required to operate in their identified markets;
- **Incentives** provide communities with the impetus to engage with private sector (and markets) by strengthening business acumen, optimizing opportunities emanating from positive externalities, and reducing the cost inefficiencies of doing business by decreasing information asymmetry, and the discovery of new networks and niche markets for supplies and produce;
- **Implementation support** provides the logistics, transaction, marketing and communication, and micro-business support services that will allow inclusive businesses to function in a variety of dynamic environments;
- **Engaging with energy needs:** to enhance the productivity of the project given the level of dependence on fossil energy, and the role of energy in the viability of CDPs; by engaging with local and sustainable solutions and energy sources.
- **Anchor firms within inclusive value chains.** A first key aspect of the project's value chain framework will be the identification of private sector champions who have the capacity to absorb the outputs resulting from the business ventures of the Amerindian Communities. Private sector lending agencies can be identified to bridge the gap, once the incentives are appropriate.

Without prejudice to the mandate of the Village Council it would be useful to explore, with them and the direct beneficiaries, the possibility of formalizing community business structures for the CDPs to allow the sector initiative and its management team as a resident business entity with sufficient capacity for future negotiations, business development and access to credit. Such a move would ensure that the human and institutional capacity accrued by the communities during the course of the ADF project is formalized and used as a base for future projects or business endeavors. It is through this Inclusive Business approach that UNDP envisages supporting the MOAA in the socio-economic transformation of Amerindian Communities, starting with their CDPs.

A. Objective, outcomes and outputs

Description of Outcome and Outputs

Expected CP Outcome(s):

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.

Intermediate Outcome:

Improved Socio-Economic Development of Amerindian Communities

Output 1: Strengthened entrepreneurial and institutional capabilities of the village economy of Amerindian communities.

This output will be achieved through the following activities:

- Organize inception events for new Amerindian Communities eligible for micro-grant
- Identify and coordinate relevant stakeholders to facilitate support to communities
- Transform CDPs to business plans
- Sign grant agreements with eligible Amerindian Communities
- Disburse grants to eligible communities in line with approved CDPs and business plans
- Conduct business development and project management training to communities
- Facilitate technical assistance for the business ventures specified by respective CDPs
- Develop a community knowledge management network to strengthen community capacity to respond to business development needs

Output 2: Improved linkages with the private sector to further develop value chains.

This output will be achieved through the following activities:

- Assess, facilitate, and improve policy framework that facilitate or inhibit linkages with the private sector
- Map the value chains for production inputs, and markets for outputs
- Support development of clusters to facilitate market access and efficiency in production
- Explore feasible clustering, resource-pooling options as incentives of costing-saving and profits
- Identify and select private sector champions to facilitate market linkages
- Provide market information on commodity prices, access information, inter alia
- Convene and facilitate dialogue among the relevant institutional stakeholders on market access and business development
- Work with private sector to identify renewable energy solutions for Beneficiary Communities where necessary on an ongoing basis.

Output 3: Strengthened Institutional framework to support local economies.

This output will be achieved through the following activities:

- Problem-solve community barriers related to awareness, knowledge, technology and know-how required to operate in identified markets
- Provide market information, appropriate technologies and other useful information in relevant formats
- Provide technical expertise, logistics, and oversight support to the relevant institutional stakeholders to adequately deliver technical assistance/field expertise to community project
- Produce policy and institutional frameworks that identify relevant institutions and their roles for remote community development
- Assess business survival rates as part of guiding future expectations for small and micro enterprises in the rural interior
- Develop dialogue mechanisms and capacities for resolving conflicts or disputes between and among stakeholders, without undue usurpation of the Village Council's authority and functions

The Amerindians are the original inhabitants of Guyana. Each nation came with their own distinctive identities and cultural heritage distinguished not only by their language but also by the nature and the extent of their economic activities².

Generally, Guyana's indigenous population has remained in the hinterland, separated from each other by natural environment and by their use of distinct languages, and they are proud of their distinct identities and cultural heritage. They perceive themselves as an unconquered people entitled to own and control their own lands.

Today, Guyana is home to approximately 70,000 Amerindians settled in more than 212 Communities across our Country and accounting for about 9.3 % of our population. The census (2002) found that Amerindian population was the fastest growing population compared to other ethnic groups. Amerindian Villages are administered by the Village Toshias and Village councils; these local government bodies have a duty to maintain and protect public property, improve living conditions, preserve law and order, consolidate the rule of law and safeguard the rights of citizens, preserve traditional culture and promote Amerindian development.

The National Toshias Council (NTC) Conference held on July 25-29, 2011 where all the Toshias and senior village councilors from across the country participated concluded that there were no known Indigenous Peoples in voluntary isolation. The conference highlighted that all villages and communities have access to social services in the sectors of health, education, transportation, communication, etc., and that Indigenous Peoples have chosen to link with the wider society of Guyana despite of some groups choosing to live in remote locations.

The current government's policy is for the integration, development and advancement of Amerindians and Amerindian communities. The Amerindian Act 6 of 2006 was passed by the National Assembly in February 2006 and assented to by the President in March of the same year. The Act provides inter-alia for the "recognition and protection of the Amerindian Villages and communities and the promotion of good governance within Amerindian villages and communities". It defines an Amerindian community as "a group of Amerindians organized as a traditional community with a common culture and occupying or using state lands which they have traditionally occupied or used."

The Amerindian Act establishes a procedure for land claims to be settled and it transfers authority from the Government to Amerindian village and village councils, thus supporting and facilitating local governance. The human rights and fundamental freedoms of persons are protected through constitutional as well as statutory measures in Guyana.

The political structures of Amerindian Villages are linked to the local government system and village Toshias and their councilors are elected to serve for three years. In the last few years, the government through a participatory process with the Amerindian communities has granted legal communal land title to 97 villages representing approximately 14 per cent of Guyana's land mass. As a result, today Amerindians live in communities that are defined – demarcated and titled, that they own collectively. Furthermore, Amerindians are free to acquire private land and /or lease land in their individual capacity as all other Guyanese. Guyana wishes to emphasize that Amerindian communities are not reservations. They are free to leave, travel and live in any part of the country.

Once a land title is transferred to an Amerindian community, the Community owns the forest and natural resources on that land. However, in consultation with the Minister of Amerindian Affairs, GFC, and EPA, the community can give permission to persons who wish to use forest lands and/or

² The Amerindians in Guyana 2012

forest produce. There are constitutionally established bodies that represent Amerindians and Amerindian communities and villages. There are over 134 communities that elect their Village Councils and Toshaos every three years and these Toshaos comprise the National Toshaos Council (NTC), the legitimate authority for the Amerindian Communities.

The Indigenous Peoples Commission is a Parliamentary Committee. Three of the members of IPC are nominated by the National Toshaos Council in accordance with the Amerindian Act and the Constitution of Guyana. The IPC's mandate is to establish mechanisms to enhance the status of indigenous peoples and to respond to their legitimate demands and needs. The IPC joins the list of commissions established under the constitution of Guyana to promote the fundamental rights and rule of law. Among them are the Commissions on Human Rights, Women and Gender Equality and Rights of the Child.

The Ministry of Indigenous Peoples' Affairs (MoIPA):- is mandated by the Amerindian Act 2006 to "provide for the recognition and protection of the collective rights of Amerindian Villages and communities, the granting of land to Amerindian Villages and communities and the promotion of good governance within Amerindian Villages. Therefore, MoIPA's mission is to enhance social, economic and environmental well-being of Indigenous Peoples and their lands through collaboration, sustainable development and appropriate legislation, while at the same time ensuring the preservation of Indigenous culture and traditional knowledge.

The Ministry undertakes a number of projects and programmes to develop Amerindian villages and to transform villages. Such as the National Secure Livelihood, Presidential Grants for economic initiatives of the villages, ADF GRIF grants and CDPs, and Hinterland Employment and Youth Service (HEYs) that will guide development processes at the local village levels, and also inform the national decision making processes. The MoIPA coordinates and oversight the overall government policy and represents issues affecting the Amerindian communities. Within the ministry, there is a departments that are dedicated to Labour, social and welfare development, community development and governance, hinterland scholarships, Projects and Programmes, and Administration.

The Amerindian Development Fund was established to provide funding to support the socio-economic development of Amerindian communities and villages, through the implementation of their Community Development Plans (CDPs). CDPs are identified and developed by the Amerindian Villages themselves which proposed their priority projects to be financed under the GRIF ADF. The CDP must be approved by a village general meeting, via consensus or by majority vote. All residents are encouraged and entitled to participate in the entire process. The proposed projects vary in nature but can be categorized into the following broad sectors: Agriculture including processing, Village Infrastructure, Tourism, Manufacturing, Village Business Enterprise, and Transportation. The ADF financing is streamlined by a transparent and accountable mechanism to support community development projects.

The basis for the ADF has been the Poverty Reduction Strategy coupled with the ground breaking LCDS. Overall, the LCDS aims at combating poverty while responding to the impact of climate change by avoiding deforestation and creating a low carbon, climate-resilient economy as the basis for the environmental, social and economic transformation of the country. This strategy supplements the National Development Strategy (2000-2010), the National Competitiveness Strategy, and the Poverty Reduction Strategy Papers - PRSPs (2004-2008) and 2011-2015). The LCDS represents complementarity of environmental responsibility and economic growth, and functions to mobilize financial payments for the climate services provided by Guyana's vast standing forests.

The project's expected Outcome is to: 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. To achieve this it has established the following outputs: Output 1: Strengthened entrepreneurial and institutional capabilities of the village economy of Amerindian communities; Output 2: Improved linkages with the private sector to further develop value chains; and Output 3: Strengthened Institutional framework to support local economies.

There are in excess of 212 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 9. To date the ADF is based on 9 Regions, there are 161 CDPs & 10 functional Areas.

Execution/Implementation Arrangement

- This project will use the national implementation modality (NIM) through the MoAA (now **MoIPA**). The already completed Capacity Assessment of the MoAA (now **MoIPA**) and the outstanding capacity building activities recommended in the report will be incorporated into the project.
- UNDP will be the Partner Entity and the recipient of funds from the GRIF. UNDP will offer specific implementation support to the project, these are: capacity building to strengthen the MOAA (now **MoIPA**), business development training and value chain establishment, procurement and administrative support on demand, strengthening CDPs where necessary, and monitoring including spot checks.
- The Amerindian Village Councils and CDP Management Teams (CMT) will be fully engaged in the management and implementation processes for the realization of activities within community development plans. Support and capacity building, and strengthening will be provide to the CMT, in addition to the elevation of the CDPs to business plans, in adherence to the FPIC process.
- The Executive will agree on representatives for the Project Board.
- The MoAA (now **MoIPA**) will recruit a full-time Project Manager (PM), two Project Associates (PA), and two Community Development Facilitators for implementation. This team will supported by the UNDP Project Assurance team.
- The Private Sector will provide information, technical advice, and business to ventures where they are feasible; and other inputs as may be necessary for partnerships.

The total ADF GRIF Phase II budget is USD 6,259,414.32. The amount of Amerindian Villages are 161 and the average amount allocated for each CDP is 5 million GDS.

The key participants and stakeholders are: MoIPA, UNDP that is the project's Partner Agency, MOF PO, Amerindian VC, Community Management Team –CMT-, Community Development Officers –CDOs), Project Management Unit –PMU- Project Manager –PM-, Project Associates –PA-, Programme Board: MoIPA, UNDP, Private Sector and CSOs.

This evaluation is intended to assess progress made in implementing the ADF Phase II Project. The ADF Phase II project document envisages that an independent Mid-Term Evaluation will be undertaken at exactly the mid-point of the project lifetime.

The Mid-Term Evaluation will determine progress being made towards the achievement of outputs and outcome 1, that is, “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.”

B. Project Beneficiaries

The main beneficiaries of the project were Amerindian communities who live in isolated villages, scattered over vast areas in the country's interior with a minimal transport network. The Amerindian population of 68,675 people live in Indigenous Communities, according to the last population census in 2002. Amerindians own 13.9 percent of Guyana's land and constitute 9.2 percent of Guyana's population.

Senior Beneficiary: This is defined as the individual or group of individuals representing the interests of those who will ultimately benefit from the project. 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 primary function of the Senior Beneficiary (SB) within the Board is to represent the interests of project beneficiaries. Representing the interests of The SB includes validating the needs assessment and monitoring that the proposed actions will meet those needs within the constraints of the project. The SB monitors progress against targets and quality criteria.

3. Evaluation Purpose, Objective(s) and Scope

A. Evaluation purpose

This evaluation is intended to assess progress made in implementing the ADF Phase II Project. The ADF Phase II project document envisages that an independent Mid-Term Evaluation will be undertaken at exactly the mid-point of the project lifetime.

The Mid-Term Evaluation will determine progress being made towards the achievement of outputs and outcome 1, that is, "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."

The purpose of the evaluation is to assess a) project performance in terms of relevance / appropriateness, effectiveness and efficiency; b) sustainability of results and c) lessons learned that will be inputs to guide the second half of the project's execution.

Considering that this evaluation comes in the second full year of implementation of the ADF Phase II project, this evaluation is intended to identify course correction if needed; highlight issues requiring decisions and actions; present initial lessons learnt about project design, implementation and management and examine sustainability issues. Findings of this evaluation will be incorporated as recommendations for enhanced implementation during the final half of the project's term.

The evaluation has as its primary audience the Government of Guyana (with an emphasis on the Ministry of Indigenous People's Affairs), UNDP and Amerindian communities. However, it is also relevant to implementing partners, donors and the development community in Guyana.

The methodology followed by the mid-evaluation is to review all documents provided by the project team, while supplementing and verifying this information. Due to paucity of reports on the current status of individual community development plans (CDPs). It will also draw profoundly on information collected in the course of field visits to actors and stakeholders (public institutions at national and sub national levels, private sector, CSOs, implementing partners, UNDP and other UN

Agencies such as FAO, donors, Communities, Village Councils, CDPs, etc. The evaluation will also tap into information provided by key informants, interviewed in groups or individually as feasible.

The mid-term evaluation has three phases. The inception phase that produces this inception report, which detailed the approach that would be adopted in carrying out the evaluation and relevant contextual issues that might impact the evaluation. The second phase which is the evaluation mission phase that is planned from November 29th until December 10th. The final phase will start with the ending of the mission on 10th December and continues until finalization of the evaluation report in January 2017

B. Scope and coverage of the evaluation

The Evaluation will consider the project, inputs, activities, outputs and the project's contribution to CPAP outcome 1.

The primary issues would be the relevance/appropriateness, efficiency, effectiveness, and sustainability of the outputs.

Specifically, this exercise will:

- (1) Provide evidence to support accountability of the project
- (2) Identify current areas of strengths, weaknesses and gaps, especially with regard to:
 - (i) The appropriateness of UNDP's implementation support
 - (ii) Impediments to achieving the outputs
 - (iii) Adjustments to be made

The Consultant is expected to take the following factors into account:

- Geographic and sectorial coverage of CDPs;
- Timeframe of the project;
- Nature and number of partnerships.

The evaluation should provide insights on the successes and challenges of the project thus far, identify important lessons that UNDP and the Government of Guyana can use to inform future interventions in the area of Amerindian village economic development. More specifically, consideration should be given to the effectiveness of the project and the outputs it has produced, as well as the timeliness of implementation to date. The evaluation should also assess linkages between Amerindian village economic development and poverty reduction in a sustainable development milieu.

Furthermore, a review of the project implementation arrangements including the process of community engagement should also be carried out to identify practical, implementable recommendations to improve current and future project design, implementation and management measures.

A comprehensive list of communities and villages for ADF Phase II will be provided to the Consultant to aid in carrying out the consultancy.

C. Evaluation Criteria

The evaluation should generate information on:

Relevance: concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to UNDP corporate plan and human development priorities of empowerment and gender equality issues. Relevance concerns the congruency between the perception of what is needed as envisioned by the initiative planners and the reality of what is needed from the perspective of intended beneficiaries. It also incorporates the concept of responsiveness—that is, the extent to which UNDP was able to respond to changing and emerging development priorities and needs in a responsive manner.

- What is the extent to which the LCDS Amerindian Development Fund and the Special Purpose Fund are relevant to national development priorities?
- How relevant is the project design in addressing the outputs?

Effectiveness: measures the extent to which the initiative's intended results (outputs) have been achieved or the extent to which progress toward outputs or outcomes has been achieved:

- Has there been progress made towards the achievement of the intended outputs?
- How effective has been UNDP's community engagement strategy?
- How have UNDP's practices, policies, decisions, constraints and capabilities affected the achievement of the outputs?
- To what extent have project outputs contributed to achieving UNDP Country Programme (2012-2016) Outcome 1
- Is UNDP's partnership strategy appropriate, effective and viable for the achievement of the outputs?

Efficiency: measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources:

- Has UNDP's strategy in producing the outputs been efficient and cost-effective?
- How efficient has the engagement and coordination been among the various stakeholders in implementing the project? What specific roles have they played?
- Has there been any duplication of efforts among UNDP's interventions and interventions delivered by other organizations in contributing to the outputs?
- What is the assessment of the capacity and institutional arrangements for the implementation of the project?

Sustainability: measures the extent to which benefits of initiatives continue after external development assistance has come to an end. Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results in the future:

- What aspects of the socio-political context of the project are barriers to and drivers of sustainability?
- What are the underlying factors beyond UNDP's control that influence the outputs (including the opportunities and threats affecting the achievement of the outputs)?

- What is the extent to which UNDP established mechanisms ensure sustainability of the outputs?

The evaluation will also:

- Isolate and elaborate lessons emerging from the programme of work implemented so far;
- Provide recommendations for improvement of the project in terms of partners, programming, operations;
- Provide recommendations on how UNDP can better fulfil its commitment to key programming principles and cross-cutting issues (gender mainstreaming, knowledge management, result-based management, capacity building, human-rights based approach and environmental sustainability).

The list of proposed 11 communities to visit during the in-country mission from November 28 – December 9 are:

Region 1

Rincon – village shop
Koko- village shop
Santa Rosa – transportation
Kumaka – manufacturing

Region 2

Mainstay/Whyaka – agriculture
Tapakuma – agriculture

Region 8

Mountain Foot – village shop
Paramakatoi – guest house

Region 9

Surama/Rewa – Infrastructure/Tourism
Aranaputa – Cattle
Katoka – fruit farm

The selections were made by the Guyana UNDP CO based on the following criteria: geographic distribution, logistics, sector and varying degrees of progress of the CDPs. The sample selected included CDPs that were considered successful, normal and with problems.

➤ Issues to be addressed

There are formidable challenges to be overcome in the process of arresting poverty in Amerindian communities while simultaneously promoting environmental best practices.

Selected key challenges are listed below:

- 1. Geography:** physical conditions: due to terrain and other natural conditions including accessibility and logistics
- 2. Demographic and governance dynamics:** the statutes mandated by the Amerindian Act, Act # 6 of 2006, govern all Amerindian villages. The Amerindian Act have established governance structures similar to Amerindian village councils. In this regard, strengthening the management structures of the villages is critical to the successful implementation of the CDPs. Communalism: by nature, Amerindian communities evolve and reform through community ownership, responsibility, volunteerism and communal labour. As such, there is a significant gap between livelihood needs and

economic enterprises that requires careful and attentive support including nurturing, monitoring and rapid response troubleshooting. There is a noteworthy absence of technical expertise and specialized soft-skills, which are necessary for cutting-edge business development and success.

3. Market Intelligence and Productive Capacity: Market information, language gaps, media access, absence of ICT infrastructure, challenges of telecommunication etc., are all major factors magnifying barriers to the socioeconomic development of Amerindian Communities.

4. Financing and optimal investment opportunities: Finance or capital grants are not readily available for Amerindian Communities to fund enterprise for development. This is also the case for investment opportunities in the rural interior and hinterland communities. Collateral requirements of local banks, and the absence (or limited availability) of banks in remote locations, for instance, makes it difficult for enterprises emanating from remote Amerindian Communities to start-up and/or take off.

5. Energy constraint: This challenge relates to the type/source of energy used and the accessibility to energy for remote low-income communities. Energy is a critical input to production and its high cost dampens the likelihood of success (and profitability) of some community ventures. The LCDS, The GRIF-ADF green energy use and sources are important considerations for the success of the strategy.

Additionally, there are social and environmental underlying risks considered to be crosscutting which affect the feasibility and sustainability of business ventures within Amerindian Communities

➤ **Experiences and Lessons Learned from the Initiation Plan (ADF Phase I)**

Summarized below are the critical lessons from the IP and their relevance in the development of this project document:

1. Community ownership and participation is fundamental to the preservation and respect for Amerindian Rights, traditional knowledge and practices, and the implementation of this project: It was recognized that changes to CDPs may arise for several varying reasons: the feasibility of project; the lapse of time from when the community submitted their plan; change in community leadership; internal community sensitivities and the need for consensus on proposed CDPs; etc. An agreement at the level of the village council general meeting is required to address situations where there is an issue. Free, Prior and Informed Consent (FPIC) adherence allows communities to change their CDP.

2. The distribution of a micro capital grant for business development to Amerindian communities cannot by itself be the panacea for socio-economic development, though it does have the potential to stimulate economic activities further. The project aims to establish market access and improve linkages with players in the private sector. The task at hand therefore is to address specific capacities and capabilities related to communal business development and management for implementation; negotiations and bargaining with private enterprise; information asymmetries; and market integration of the beneficiary communities.

3. An inception and/or start-up orientation is crucial as an entry point for all institutional stakeholders and beneficiary communities: The inception event for the IP served as a very useful tool for several reasons. It facilitated networking between counterpart institutions and resource persons and institutions and beneficiary communities; it served as a springboard for core institutions to define relationships on information sharing, and communication, and to stimulate collective discussions on likely issues that would have affected implementation of the project; it identified support needs of project clusters; it identified the main technical support available and the basic requisites for accessing it; it identified the main stakeholders offering technical support. The scoping missions facilitated a better understanding of the level of preparedness exhibited by communities, the level of community participation, and the degree of community consensus on the proposed business venture.

4. Development of the village economy is critically linked to clustering, marketing, availability of economic opportunities, and other industry linkages, inter alia: it was recognized that traditional knowledge emanating from the community proved useful. Further, communities were receptive to technical advice. These are critical elements in making the village economy sustainable with resident capacity. **Another issue that was deemed relevant to strengthening the village economy is the various leadership roles of the Village Council.** The Community Management Team will work under the supervision of the village council in the day-to-day functioning of the project and its implementation. In the context of economies of scale and mechanisms to build partnerships for increasing the sustainability and profitability of the village venture it is optimal for communities to work together, and specialize and promote a division of labour where it is practicable (as this has major cost reduction potential).

5. Partnerships, and roles and responsibilities of the CDOs, and POs are essential to the project implementation: The valuable inputs of CDOs and POs were noted during the project implementation processes, particularly in the areas of mobilization, communication, and support logistics, facilitation of meetings, training, and monitoring. Given that more than 85% of projects are of an agriculture nature it is necessary for the MOA to be a major supplier for the capacity strengthening required at the community level for related projects. Furthermore, private sector firms must be identified to provide the necessary access to markets, as communities individually may not be able to overcome existing barriers on their own. Beyond facilitating market access or directly absorbing community output, the private sector can also lend its market knowhow and can help build links to networks that can support the business ventures of the Amerindian Communities. Partnerships with private sector enterprise will be enabled through facilitation by the MOAA.

6. Modalities for the disbursement of funds should be mindful of risks, costs and delays in situations where communities cannot use bank accounts: Most communities in the pilot group had bank accounts. In cases where cost of transportation to banks was high it was recognized that this could deplete a sizeable proportion of the micro capital grant. Further, there is a high transportation cost for obtaining commodities for project implementation, and for the withdrawal of funds. Another observation is related to delays when the mode of direct procurement is used which may also have cost implications. Proposals of alternatives are highlighted in the operations manual.

7. Expenses to be covered should be agreed to in advance of budgeted expenditures: All costs should be reflected in the project budget of the community plan. Additionally, the eligibility of expenses should be clear in recognition of community contribution versus the expenses to be covered by the micro capital grant. This necessitates a procurement plan (at least a list). A miscellaneous component of the budgets is necessary in recognition of inflationary pressures that may arise for varying reasons. The micro-capital grant is a standard allocation of G\$ 5 million to implement each CDP.

8. Energy Issues: The cost of energy is high and affects, in some communities, production processes, transportation, and the type of method and technology adaptation. Remote low-income communities are especially affected through access, and price, which leads to less than optimal energy use and minimal sources being utilized. This can affect how lucrative a business venture is in some instances. Since energy is an important input (and cost), additional resources should be allocated to address this need where necessary.

9. Logistical costs, risks, weather, and mitigation measures should be fully considered in the planning and delivery of project activities: Logistics represents one of the main challenges for project implementation and should be reflected in the planning stage. The range of those challenges include:

- Transportation costs (usually high due to distance and terrain, fuel prices, number of suppliers etc.)
- Bad and unpredictable weather may also result in delays in project activities. ;
- Communication with beneficiary's community, and standardization practice for sharing information with stakeholders;

- Distribution delays of items through direct procurement, which may have cost and other implications;
- Limitations of suppliers in which case the stipulated three or more quotations cannot be sourced because there is only one supplier; or for remote communities, only one supplier/vendor for most commodities exists — single source supplier; and risks to implementation staff in the field.
- Release of funds- some Toshaos have a difficulty in fulfilling the requirement of the reporting system especially for verification.

All these risks need to be recognized and mitigated going forward.

The aforementioned lessons informed the development of the policies and procedures constituting the ADF Operations Manual and community organizational structure for the implementation of CDPs.

D. Project Financing to Date

Financial Performance 2016

LCDS ADF GRIF Phase II	
Description	USD
Total Project Funds January 2015	6,259,414
Expenditures year 2015	1,562,107
Balance January 2016	4,697,307
Expenditures January-October 2016	1,249,786
Projected Expenditures Year 2016	1,499,743
Estimated Balance December 2016 / Project Remaining Funds	3,197,564

Based on the expenditures, the rhythm of execution of the project has been approximately the same between 2015 and 2016. Therefore it's unlikely that the ADF Phase II can be finished by September 2017.

4. Evaluation Methodology

The Inception Report followed the TORs and was based on desk work that analyzed the available background information and documents, with particular attention to the recent Final Evaluation Report of the ADF GRIF Phase I, the Annual Work Plans and available quarterly reports and other key documents.

The evaluation matrix was based on the TOR guidelines and covered all important aspects such as relevance, effectiveness, efficiency, sustainability, impact, lessons learned, gender equity and woman empowerment and human rights as well as others related to the specific context in which the project is being implemented. Aspects related to theory of change have been specifically taken into account.

A preliminary list and guide for meetings and interviews for the field work / in-country mission was drafted, contemplating those in Georgetown and the villages in the hinterland with key stakeholders from public sector ministries and agencies, National Toshaos Council –NTC-, Project Management Unit –PMU-, UNDP related technical staff and Senior Management, implementing partners, private sector and CSOs. In the hinterland meeting with the Village Councils, Senior Councilors, Community Management Teams –CMT-, Community beneficiaries, Community Development Officers –CDOs-

and other important stakeholders.

The selection of 11 villages in 4 different regions was made by the Guyana UNDP CO based on the following criteria: geographic distribution, logistics, sector and varying degrees of progress of the CDPs. Approximately 90 persons were interviewed or participated in the meetings in Georgetown and community villages.

The evaluator was accompanied by a UNDP staff responsible for M&E, an Advisor to the Minister of Indigenous Peoples' Affairs and in most cases the CDO responsible for the CDP oversight.

Questionnaires were prepared, based on the evaluation matrix, with mixed information based on qualitative and quantitative data that was then subject to triangulation –founded on available secondary information as well as the primary information collected in the field- and cross-sector analysis, when possible. Individual or bilateral interviews, group meetings and focus groups were contemplated in Georgetown and the villages in the hinterland covering all the aspects from the OECD / DAC guidelines as well as particular inquiries related to the specific context, project cycle as well the lessons learned and possible perspectives. Also, beneficiary satisfaction with different dimensions of project was considered to provide this important perspective to the assessment being conducted.

The limits of the evaluation was due to the extensive time needed to visit the 4 remote regions and 11 villages covered by the sample established by UNDP CO, which allowed to visit different coastal and mountain and forest regions and sectors. Possible language barriers, due to difficulty in understanding and responding precisely to the some evaluation questions, moreover during collective meetings. And the availability of some stakeholders in Georgetown due to the fact that there was the ongoing budget approval process, that apparently would conclude in December 21st and the seasonal constraints, given that some were busy with the closing of the year activities.

The study and survey was supposed to address the project's main development aspects as well as the possibility of achieving the expected results and outputs and their sustainability. The indicators used are those provided by the project document and reports complemented by those collected during the field work.

During the field visit some questions were added or rephrased to allow for better understanding and precision in the responses. Measure were taken to ensure quality as well as active participation of beneficiaries to address issues such as commitment, ownership, and appropriation allowing for sustainability of outputs. The evaluation matrix used to collect and process the information is annexed.

For the mid-term evaluation the following activities and instruments were initially suggested:

Activities and methodological tools	Objectives
Analysis of secondary sources	Background, context, studies, reports and other available documents that have contributed to the design and project implementation
Studies from the ADF, internal and M&E documents	The reports that analyze the evolution of the projects 'execution, performance and its indicators
Surveys, if possible with semi-structured bilateral questions with representative actors and stakeholders of the PSC, PMU and M&E	Application of pre-defined surveys

Semi-structured bilateral surveys with key actors and stakeholders of the public sector. Ministries, Decentralized institutions, municipalities, villages, communities, FAO, private sector, SCOs –local and international-, donors, etc.	Use of pre-defined quantitative and qualitative consultant survey
Semi-structured bilateral surveys with Village Councils, Communities, Village Chiefs, beneficiaries, women, youth and vulnerable population	Use of pre-defined quantitative and qualitative consultant survey
Semi-structured bilateral surveys with UNDP and other donor related agencies, if any	Use of pre-defined quantitative and qualitative consultant survey
If possible at least 1-2 workshops with beneficiary groups and village-community representatives and leaders	Perception of beneficiaries and actors
If possible, at least 1-2 feedback workshops	Presentation of preliminary results ; thoughts, conclusions and recommendations

5. Findings

A. Findings related to the theory of change of the project

Although the indigenous Amerindian population lives in harmony with nature within their ancestral lands, the relative levels of multidimensional poverty which includes mainly income, health and education is high, moreover affecting the access to jobs, incomes and livelihoods.

This ADF GRIF Phase II programme, based on a SGP, is geared towards promoting sustainable economic and environmental development opportunities in sectors in which there are competitive advantages, transitioning from subsistence to market, through development of labor skills and management and entrepreneurship capacities that may be shared and replicated within the villages in the Amerindian hinterland.

These CDPs should be determined through a participatory process that allows for ownership, empowerment, commitment and accountability within each Community Village as well as the ADF project itself. Therefore, community participation and ownership are key success factors, while access to markets provides for the economic achievement and sustainability.

The institutional and capacity building of the MoIPA, sector support of other key ministries and government agencies, participation of implementing partners and agencies and the active participation and empowerment of the communities, VCs, CMTs, support provided by the PMU and CDOs are convergent to the programmes' outcomes and outputs.

Therefore, the first phase contributes to the capacity building at national and village / local levels, followed by the CDPs as final output and scoping missions. The execution phase of CDPs also has job training and managerial support provided at local levels by the MoIPA through the PMU, CDOs, sector agencies and implementing partners to the respective projects beneficiaries and CMTs allowing for their absorptive capacities of labor and managerial skills to ensure productivity and competitiveness that leads to sustainability.

Special attention is and should be given to human rights, gender equity and women empowerment, youth and vulnerable population.

Project procedure and steps

The structure of **CDPs** that had technical assistance and support provided by UNDP and the MoIPA which was screened and approved consisted of the following: Background Legislation affecting the Village, the Consultation Process, Community background; Profile and governance structure; Village Meeting and its Outcome; Main Issues discussed; Village Rule; Economic Development Projects; Rational for the selected Proposal; Economic and Financial Feasibility; Environmental Impact Assessment; Implementation Plan; Roles and Responsibilities for Implementation; Implementation Work Plan; M&E; Sustainability; Contingencies; and Future Planning Priorities.

The implementation of CDPs was assigned to the existing local governance structure in indigenous communities, with the village councils given pre-eminence as a corporate body. The elaboration of some CDPs started before the ADF II implementation, mainly during 2010-2012, and had been carried out with technical support from the Ministry of Amerindian Affairs. The arrangement implicitly assumed that elected bodies, which by necessity change with elections held every three years, are an appropriate setting for managing what were supposed to be commercially viable projects on a continuous basis. The creation of a dedicated CDP management team to be chosen by a general community meeting was expected to provide a professional structure to manage these commercial projects.

However, due to the existence of divisions along different national party lines within the communities, different religious groups and local interest, sometimes governance issues appeared with risks of capture of the project and CMT by vested interests affecting governance and the implementation of the selected CDP. The quality and implementation of CDPs is dependent on the level of community participation and ownership as well as the accountability provided by the CMT.

The **scoping missions** consisted of business assessment, followed by main findings and actions and proposal of actions to be taken. The scoping mission conducted an assessment of the business activity proposed; the capacity assessment of managerial and labor skills; the identification of target market and access to markets; the expected price for products of goods and services; costs, expected production level, capacity and benefits; analysis of local conditions and project site, infrastructure and equipment needs; management structure required; job and management skills and training; investment and administrative and management support needs.

In the majority of cases, funds were transferred to communities in two instalments, with the first payment being around 60% of the agreed grant, with the balance released upon satisfactory accounting of expenditures out of the first instalment. For this transfer the CDPs had to open a bank account. Due to the logistical and costs entailed in withdrawals, they often have extracted significant amounts each time operating on cash basis, with the security and accountability risks this means, since tracking of bank transfers is not possible. Nevertheless, the scoping missions, field visits and other mechanisms have been used for follow up of expenditures, receipts and records.

The disbursement mechanism seems to provide a reasonable balance between the need for accountability and difficulty of accessing banking services in its areas of operation. In the majority of cases, funds were disbursed in two tranches, with the release of the second tranche being

conditional on receiving an acceptable accounting for expenditures incurred with the initial disbursement. While second tranche disbursements were made following submission of financial and narrative reports and spot check missions.

During the latter part of 2016 the project, through UNDP support, started and activity of Training of Trainers –ToT-.This training is designed to build capacities of persons mainly in Financial Management, Monitoring and Evaluation and Project Management. It is expected that upon successful completion of this training, the trainer is supposed to return to his her community with the aim of conducting training with the CDP management team (CMT) and the Village Council (VC) or Community Development Council (CDC). She or he is expected to work closely with these individuals to provide continued support throughout the duration of the CDP life cycle to impart relevant knowledge and skills.

Upon completion of this training Village Leaders, CDP Management Team and Community Representatives should have: 1. Understood basic Project Management Structures; 2. Have been introduced to Project Management Focus Areas; And 3. Built an appreciation of the Project Cycle. This activity has started through support of national support officers

B. Findings related with the evaluation criteria and main key questions

The ADF GRIF Phase II project didn't benefit from the lessons learned from the final evaluation of the ADF Phase I project, since this was finalized in February 2016 while the former project became effective in September 2014. Nevertheless, there was transfer of knowledge and experience from the initial project which was used as input for the latter's design.

The evaluation proved that human rights, moreover the Indigenous Peoples' Rights, Customary Rights, the 2006 Amerindian Act, and Free Prior and Informed Consent –FPIC have been respected and addressed, since there was appropriate communication and advocacy promoted within each village. Also, gender equity and women empowerment and mainstreaming has been addressed in the projects, especially, given the fact that in some villages women have a relevant role in terms of child and family care as well as household heads, when men are away working in mining and other activities.

The sectors chosen for the CDPs were mainly related to previous selections done, primarily between 2010 and 2012, and were done given the previous experience of the community. In a few cases the previous CDP needed to be reexamined due to changes in context and market conditions, which has affected the implementation of some projects.

Perhaps, a mapping of potential sectors for each community village would have allowed to identify alternative sectors that could have been selected based on potential markets, competitiveness as well as other economic, social and environmental conditions augmenting the potential impact and sustainability of these projects.

Nevertheless, each village went through a participatory selection process and 161 communities have started, implemented or have CDPs in the project pipeline. As in most projects, with the benefit of hindsight, there is room for improvement that might be achieved during the final stage of the project that will probably have to be extended for another year.

From the different projects visited the most successful seem to be those related to tourism, which are already sharing experiences among villages and regions. However, other projects such as village shops, agriculture, livestock, transportation and manufacturing show different levels of progress,

mainly due to either initial design and selection issues, or moreover, governance and skills problems within communities, which should be addressed during the final stage.

Insufficient promotion and development of handicrafts and artisanal indigenous products such as those made of textiles, wood, stone, metal, balata, natural soap and cosmetic products, paintings, music and others as well as sustainable artisanal mining such as that done in Colombia: Green Gold in Chocó region, Nicaragua and other LAC countries could build on local talent and skills and have a competitive advantage through differentiation in markets. This may also be the case of organic fruits, such as pineapple in Mainstay or maybe organic honey.

Increasing value added through sector value chains such as livestock, agriculture, wood and furniture could also provide further jobs and income to the communities. This would be the case for having abattoirs and meat processing centers, which could contribute with sub products as well as that for other primary sectors.

C. Findings based on the evaluation criteria

- **Relevance**

The project is expected to contribute to the national objectives of reducing poverty and sustainable environment within a LCDS. The successful implementation of the project was expected to reduce poverty by increasing opportunities for income earning activities. It should also have reduced pressure on the environment by providing communities with income earning opportunities that do not degrade or abuse natural resources.

The ADF is considered relevant to avoid deforestation and for environmental friendly economic and social development by all participants and stakeholders. It is therefore pertinent to transform the Amerindian people's livelihoods, while following a LCD strategy. The project was also considered relevant for national development priorities by its main national stakeholders.

The ADF has been appropriately designed to achieve the outputs, while the community participation, planning and ownership was considered good by most beneficiaries. The CDPs were also considered appropriate by community beneficiaries. However, the fact that some CDPs had been designed before the project started, between the years 2010-2012, and in many cases under the mandate of a previous Village Council sometimes created governance and management issues that create tensions and discomfort within some communities affecting the rhythm of execution and efficiency.

The project's contribution to poverty reduction and environmental protection and sustainability of Amerindians while contributing to LCDS was considered good by all beneficiaries. Nevertheless, the lack of appropriate data does not allow to measure these results, the fact that jobs and income were created; pollution was limited by the use of public transportation for children, elderly, vulnerable and local population; access was improved through better infrastructure such as updating an aircraft airstrip; lodging for tourists with attractions such as alternative paths and routes; affordable products such as staple goods, groceries, nonperishable products, hardware and local production such as dried fish, cassava; and local agro industrial production has been promoted has direct and indirect effects on communities. In some cases, such as tourism and village shops and lodges income increased and access to goods and affordability improved. Most projects have benefited of renewable energy through solar energy provided by Presidential Grants and other public sources

Although some CDPs improved productivity, benefits, jobs and income the limited period of time for implementation is insufficient to determine the impact and its long-term sustainability.

The ADF is therefore relevant for the operationalization of a Green Development strategy since the CDPs contribute to sustainable development and green jobs.

- **Effectiveness**

In most cases there has been progress towards achievement of the intended outputs. In those for which there are governance, capacity building or other issues, there is still room and time for adjustment to reach the expected results.

Some of the binding constraints that CDPs face is, in some cases, a solid and detailed business plan with sufficient community participation and ownership and market access. The Inception Workshop and scoping mission wasn't always sufficient, especially for those more remote and isolated villages in which the population faced language and education and poverty barriers.

Labor and management skills were also limitations together with market access, production scale, which leads to low competitiveness and market power for both purchases and marketing, and, in some cases, access to capital and credit, the latter was raised in some cases, since there still need to raise financial literacy in many villages.

Networking, clustering and cross-fertilization among CDPs has been done but is yet insufficient, since this could contribute to scale up similar sector projects, steepen the CDPs learning curve and contribute to a learning by doing process that enhances the afore-mentioned competitiveness, productivity and market access.

Although equality, participation and stability existed in most communities during the project design process. There were cases in which there was an unlevelled playing-field that would have required further compensation and support, for those that were more isolated or poor as well as in those that presented conflicts of interest when transitioning from one elected VC to another, thus raising governance problems.

Most CDPs haven't tapped into international support and good practices which could improve the economic and social conditions of CDPs during the final stage.

As stated before, human rights, the Indigenous Peoples' Rights, Customary Rights, the 2006 Amerindian Act, and Free Prior and Informed Consent –FPIC have been respected and addressed, since there was appropriate communication and advocacy promoted within each village. Also, gender equity and women empowerment and mainstreaming has been addressed in the projects. Further support for women providing job and management skills and also considering collective child and family care in communities, using women support networks could be considered.

Progressive job and management skills throughout the implementation period should be done allowing for the targeted beneficiaries absorptive capacity that will improve its effectiveness and efficiency. Although community expectations have been met it would be useful to have periodic meetings convened to ensure voice and accountability. While CDPs have contributed to community participation, ownership, empowerment and accountability, further capacity building, book and record keeping, accountability and M&E, organizational and decision-making capacities at local level are still needed in most cases.

UNDP's community partnership and engagement strategy is considered good by beneficiaries and stakeholders. UNDP's capacities have affected positively the achievement of outputs. This ADF Phase II project also contributes to UNDP's CPD outcome 1: 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.

Even though the institutional capacity and Management Information Systems of the MoIPA is in place and improved, based on the recommendations from the diagnostic report on capacity building for the then MoAA, there is still room for enhancement.

The fact that 161 villages and CDPs in 10 regions are being supported simultaneously is a big challenge for the national authority that requires further capacity building, budget, human resources as well as coordination and support from the main sector agencies. Not always is the capacity building in communities sufficient.

The role played by the MoIPA, the ADF PMU and PM has been good, considering the regional, sector and geographic coverage of the ADF. The M&E systems are in place and have a tight grip on scoping missions and reports they receive. The NIM strategy and institutional arrangements for the project execution has proven to be good. However, there wasn't an opportunity to interview the members of the Project Board to know more about their participation and commitment.

All CDPs contribute to a positive LCDS footprint. However, CDPs haven't advanced sufficiently with a sustainable inclusive business approach through value chains –VC- that are led by anchor firms with market access. This is supposed to be carried out by output 2 that is just starting. This VC methodology will contribute significantly to inclusiveness, competitiveness and sustainability. Also, the startup of output 3, related to local economic development –LED- will further enhance LED in the communities.

The investment in physical assets and inputs has been appropriate, although could benefit of the MoIPA's assessment of quality of procurement of goods and services rendered. Further specific sector advice, support and screening by sector agencies could enhance their effectiveness and efficiency contributing to quality, productivity and sustainability

The GRIF funding mechanism has worked well, while the MoIPA developed its capacity, with UNDP support, for the screening, selection and approval process.

There has been operational support provided by MOA, including Guyana Livestock Development Agency –GLDA- Guyana Tourism Authority and others, as well as other UN Agencies. However, much more could be done with this Ministry and other Government Agencies, including the coordination with the Hinterland Employment and Youth Services –HEYS- project implemented by the MoIPA.

The CPDs have leverage capacity that could be used to provide access to capital investment, working capital and therefore growth if used appropriately. This requires further clustering and networking among similar projects while negotiating both purchase and marketing power with suppliers and distributors through an inclusive market and business approach. Further community participation should also be ensured throughout the CDPs design-approval-implementation cycle.

The role of the Community Development Officers –CDOs- is important. However, they also face geographical, mobility, timeliness and financial barriers that have to be reviewed, due to the fact that the amount of villages and CDPs covered, together with other responsibilities doesn't contribute to

the effectiveness of their work. Currently, CDOs visit CDPs on a quarterly basis, which isn't enough for some projects that face implementation issues.

Their roles and responsibilities of CDOs should be reviewed, perhaps training improved, together with the incentives to provide for more accountability. There is a similar situation with the Community Management Teams –CMTs- that do not have the incentives nor the training to perform better and contribute to further accountability.

The ToT programme activities started by UNDP during the latter part of 2016 is an effective step in the right path. However, sporadic trainer and trainee evaluations as well as that of the results of the replication of training at community level will provide the inputs to improve the process effectiveness.

The strategy of covering 161 villages and equally allocating approximately 25 million GDS to each CDP has proven appropriate from a political equality perspective, while avoiding tensions among villages and communities.

The economic activities supported by the ADF such as tourism through are viable, inclusive and environmentally sustainable since they have attracted visitors from Europe, the United States and Asia that are increasing overtime, while requiring new services such as food that can be provided by kitchen gardens; different tourist paths and attractions such as bird-watching, fish and release, animal watching, orchard visits and trekking all of which create new jobs and income opportunities for the communities involved. The same can be stated about sustainable fruit orchards, livestock breeding and agriculture.

Although some capacities have been developed by the ADF at national and communities levels there still is need for further strengthening through skills and training to ensure sufficient abilities for sustainability and growth.

Based on the sample of villages with CDPs visited the situation was the following:

The tourism CDPs based on eco-lodges have been satisfactory, sustainable, provide jobs and income for the village beneficiaries and are expanding steadily. There is also a startup based on kitchen orchard that could be used to supply food to tourists and food and nutrition for families, when produced in each family plot of land. The update of the local airstrip CDP was built with work provided by the local population, has been satisfactory and is sustainable.

The village shop that is operating has been satisfactory, seems sustainable and provides affordable goods for the population from the village, doesn't need to provide credit to customers, and also buys perishable food such as fish, cassava and other goods from small local producers. The other two village shops haven't started due to governance and credit policy issues. The guest house was implemented but probably could have been built more efficiently and effectively and still faces management issues but will probably be sustainable.

The livestock CDP has been satisfactory, with increase in the size and quality of heard and races, is still in its development phase and will probably grow and become sustainable. There is ample room for improvement through the development of a supplier value chain. The organic pineapple, fruit and agriculture production CDP is also considered satisfactory and sustainable, with room for increasing the value added and supplier value chain. Another agriculture CDP, which produces peanuts and cassava is still in its development phase and faces governance and some issues related to transportation and market access. The agriculture projects have also inserted cash-crops.

The wood and carpentry CDP is still in its startup phase and will probably develop a supplier value chain with sustainable wood production.

- **Efficiency**

The CDPs haven't leveraged nor tried to mobilize counterpart funding. While the allocated funds are considered as sufficient to achieve socio economic results and impact on their communities. Most CDPs have been implemented effectively and efficiently. Nevertheless, there is room for improvement. The CDPs that face problems are due to governance problems, due to insufficient community participation and ownership, and capacity building issues that may still be address to overcome these problems.

The beneficiaries consider that UNDP's contribution to the CDPs outputs has been efficient and cost-effective. The CDPs haven't had incentives that could contribute to efficient use of resources that could provide further support for projects that have been executed effectively, efficiently and en route to become sustainable. Such an approach would require compensatory support for those CDPs being implemented in more isolated and backward regions to allow for a leveled playing-field.

The activities that could improve to contribute to efficient and effective allocation of resources for CDPs are community participation, market access, capacity building, management and job skills and training as well as records and book-keeping to contribute to transparency and accountability.

There is a need to improve engagement and coordination among different stakeholders contributing to the implementation of CDPs. This is the case of sector support and technical assistance provided by different government agencies, CSOs and private sector partners.

There isn't any Amerindian regional policy geared to improve market, logistic and transport conditions providing access to national markets. Overlap or duplication of efforts contributing to the set outputs hasn't been identified.

Financial literacy for self-saving groups could be a step in the right path.

- **Sustainability**

The factors beyond UNDP's control that influence the outputs are: communications; internet and radio connectivity, transportation infrastructure by land, water and air; personal security and other public goods.

The Village Councils –VC- could continue operating the CDPs without the need of additional funds and technical assistance if there is sufficient community participation, capacity building and training provided to the VC, CMT and the personnel involved during the final stage of the project, together with coordination and accountability provided to the community.

Although most CDPs may become sustainable it would be convenient to include certain safeguards to ensure their sustainability. These safeguards may be related to job and management skills; market access and strategies; infrastructure and logistics; promoting networks, clusters and supplier value chains; provide incentives and accountability for the people involved.

By and large, UNDP, the MoIPA, PMU and VC have contributed to the projects sustainability through support during the Project Inception Workshop, scoping missions, M&E systems and CDOs.

- **Lessons learned**

There is a need to improve the communication and information diffusion mechanisms between the MoIPA, PMU and CDPs and among different CDPs that may promote cross-fertilization and allow learning-by-doing between projects and sectors.

It is essential to improve CDPs formulation capacities together with community participation, which is a necessary condition for its success, effective and efficient execution. Therefore in the future Inception Workshops should provide the guidelines, training and technical support needed for the participation of beneficiaries in the design of the CDP which will contribute to their ownership, commitment and future accountability.

UNDP can fulfill its commitment to key programming principles and cross-cutting issues by including safeguards in the project document, providing guidelines and communicating these values to the Amerindian communities while having oversight capacity of their compliance and results.

The main risks that the ADF projects face is insufficient job and management skills and incentives that contribute to effective implementation and sustainability. Progressive training, ensuring community ownership, commitment and accountability are the main actions that can diminish those risks.

The activities that should be implemented in the final stage should provide further technical assistance and guidelines for those CDPs that haven't started and are confronting problems to either overcome these difficulties or adjust the projects. Further technical assistance provided through training and skills that improved the project's sustainability is essential.

D. Achievements

Output 1

- 159 Scoping missions held for CDPs
- 140 Implementation Plans sent to UNDP
- 149 Grant Agreements signed
- 145 Village Bank Accounts opened
- 138 Disbursement of Grants requested to UNDP
- 104 First Tranche Disbursement
- 36 Second Tranche Disbursement
- Total disbursed usd 1.551.003
- Total pending second tranche usd 862.360
- 146 CMTs & Amerindian Village Councils (VC) were trained in leadership and business development

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Output 2

- Consultancy to assist with Output 2 to be hired by UNDP
- For the NRDDDB Management Model, NRDDDB was hired and expected to complete its work by early 2017

Output 3

- Consultancy to assist with Output 3 was hired by UNDP

6. Conclusions

- The ADF GRIF Phase II Project was appropriately designed. However, it didn't sufficiently benefit from the evaluation from the ADF I Project that was just presented in January 2016
- The coverage of 160 villages, + 1 left from phase I, 161 total, and allocation of 5 million GYD seems appropriate in the interest of equality and fairness, allowing for political and policy considerations and seems to have worked appropriately with 159 grant agreements signed, 104 first and 36 second tranche disbursement
- The execution by the MoIPA that has the mandate to protect and promote the rights of Amerindians, promoting sustainable use of forests and secure livelihoods and abiding to the 2006 Amerindian Act and FPIC was also appropriate. Political support and leadership by MoIPA has been crucial
- The role, structure and operation of the PMU and performance of the PM is good, given the extensive geographical and sector coverage for their task
- However, PMU states in its November 2016 PPT report, that there were problems with delays in payments to suppliers, PMU staff and advance for small missions hindering rhythm of work
- The role of the Community Development Officers –CDOs-, which work for MoIPA, is also relevant, since they are always on the ground, and may provide support and be the linkage with CDPs, CMT and the PMU. However, they lack sufficient financial support and incentives and work overload only allows them to do quarterly visits to most CDP .
- The Inception / Launch Workshops played an important part for CDPs and therefore had to be appropriately transferred by each village participant to their respective communities to ensure participation, ownership, transparency and accountability, this wasn't always effective
- Insufficient community participation, understanding, buy-in and commitment has contributed to governance issues, together with the political changes due to elections and alternation between Village Council Toshaos and Councilors, especially when there were pre-existent draft CDPs from 2010 to 2012
- In some cases, the selection and design of CDPs could have been updated, enhanced and improved to therefore guarantee its effective and efficient implementation
- The selection of Community Management Teams –CMTs- plays an important management role and therefore ownership, commitment and capacity building has to be ensured. This was not always the case
- The ADF is considered relevant to avoid deforestation, environmental-friendly economic and social development

- The ADF is also relevant to national development priorities and UNDP's CDP strategy and outcome 1³
- The GRIF capital grant mechanism seems to have worked adequately according to its 2011 Operation Manual and performance guidelines
- Most CDPs and business initiatives implemented and on track to achieve expected outputs and have improved productivity, incomes, jobs and welfare for the communities, while contributing to sustainable development. However, further job and management skills, sector technical assistance and accountability and oversight could improve effectiveness and efficiency
- Some of the binding constraints faced by CDPs are: community participation and ownership, access to financing, insufficient work and management skills, access to markets, infrastructure and transportation and, in some cases, solid and updated business plans
- Governance is an issue due to divisions along national party lines, religion and internal tensions within some Communities which affects the implementation of some CDPs, which still has to be addressed
- Indigenous Peoples' Rights, Customary Rights, 2006 Amerindian Act, FPIC have been respected and addressed
- Gender equity and women empowerment and mainstreaming has been addressed
- Most CDPs contributed to community participation, ownership, empowerment and accountability. However, further management training and community sensibilization would be useful to consolidate these aspects
- UNDPs support and engagement strategy has been good and proved to have adequate capabilities and response capacities
- MoIPA support and Management Information Systems –MISs- were good but could be improved especially through support from CDOs
- Most CDPs contribute to LCDS footprint
- By and large, the investment in assets has been appropriate although could be improved with further support in terms of scale, capacity utilization and screening of the procurement and installation process
- Further effort and work needs to be done in terms of sustainable inclusive businesses supported by Value Chains, which is contemplated by output 2
- The screening, selection and approval process done by MoIPA PMU was good through scoping missions but could be improved by building local capacities and CDO support

³ 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

- The role played by other Ministries, Agencies, UN Agencies and different stakeholders is crucial to support CDPs and MoIPA's and PMU responsibilities
- M&E capacities are appropriate but may be enhanced in some particular cases, in which there are issues outstanding
- UNDP's partnership strategy is good
- Institutional arrangements for implementation are good although could be improved with progressive capacity building and development
- The MoIPA is keen with linking the Hinterland Employment and Youth Services –HEYS- initiative to CDPs since they provide useful youth capacities
- The National UNV –NUNV- project may also be playing a useful role, although may require a progressive approach to ensure absorptive capacity by community, according to the PM
- The execution of outcome 3 regarding LED related to CDPs is still pending
- This project could also be linked to the regional plan in which Conservation International and WWF are involved
- This would contribute to economies of scale, competitiveness and market access and therefore sustainability
- The ADF II may become part of a Green Development Strategy
- Most projects that are being executed are en route to become sustainable
- Some further issues related to CDPs and livelihoods should be considered and were suggested:
 - Access to internet connectivity and communications
 - Improvement of road infrastructure and transportation
 - Enhanced road and boat security measures to avoid accidents and other inconveniences
 - Issues with cattle rustling

7. Recommendations

- i. Ensure community ownership and participation through periodic meetings in which the status, progress and key issues related to the CDP is communicated and discussed with community members and beneficiaries
- ii. Address the local governance issues that are outstanding and anticipate potential problems through community participation that promotes and ensures coordination between the Village Council and CMT
- iii. Progressively, by allowing for the development of absorptive capacity of trainees, provide job and management training and skills to both CMT and workers with incentives to allow them to do their work efficiently
- iv. The management and entrepreneurship skills should also include book-keeping, M&E, records and other management tools with assigned roles and responsibilities that will allow for accountability

- v. Provide compensation through more intensive training and support to isolated and backward regions contributing to equity and a leveled playing-field among villages
- vi. Strengthen and coordinate the support provided by other government agencies, UN Agencies and other institutions and CSOs at local village level to provide technical assistance, public goods and externalities that benefit the CDPs
- vii. Provide further advisory support to CDPs through CMOs and eventually ToT mechanisms supported by NUNVs to enhance the rhythm and quality of implementation of CDPs
- viii. Contribute to the efficient design of projects through sector oversight and coordination provided by the PMU, sector agencies, CDOs or exchange of experiences among similar projects to avoid mistakes and pitfalls that hinders the quality, profitability and sustainability of the proposed business venture: guest house, tourism, eco-lodge, Village Shop, Transportation, agriculture, livestock, etc.
- ix. Promote networking and clustering as well as exchange of experiences among similar projects through project twinning that may lead to economies of scale and saving time and resources
- x. Consider and explore the possibility of having child and family care through a network of women which contributes to their active participation and paid income
- xi. Establish a saving fund that contributes to maintenance, expansion and replication within each community as well as provide leverage capacity to mobilize local and external financial resources through self-saving groups and financial literacy
- xii. Start implementing outputs 2 and 3 that will further contribute to inclusive business and growth and local economic development
- xiii. Request a no cost extension for the ADF Phase II due to the fact that the estimated remaining funds are USD 3,197,564 and that based on past rhythm of execution cannot be spent by September 2016
- xiv. As a possible follow up to the ADF Phase II consider the possibility of establishing an Amerindian Green Development Fund through a SGP / CDG to promote LCDs entrepreneurship at village level providing guidelines and training for the formulation of proposals based on a competitive bidding process that would provide non reimbursable funding for projects in each community
This approach sets the responsibility on the beneficiaries and screening and selection capacity on a selection panel while going through a previous coaching / training and screening process following the rules and guidelines.
This market oriented approach can contribute to transparency and become a way to promote entrepreneurship and commitment among members of communities reducing migrations and loss of human capital.

8. Lessons Learned

- a. The political leadership and commitment by the MoIPA plays an important role in the project implementation
- b. Governance issues are important and can disrupt a good project but can be avoided with community participation and empowerment and transparent communication with accountability mechanisms put in place
- c. Capacity building and development is relevant for both project design and implementation, especially in communities that have limited experience and trained human capital. Therefore technical assistance and cooperation has to be intensive and progressive throughout the CPD project cycle, taking into account the community's and participants absorptive capacities
- d. Entrepreneurship and economic development projects aren't germane to Guyana, let alone, indigenous communities. Therefore, acute understanding and buy-in is a necessary condition for the project execution

- e. Sector technical support is needed to evaluate and select alternative initiatives and choose the right size, location, market access and address other key technical, economic and financial issues.

Annex 1

TORs

UNITED NATIONS DEVELOPMENT PROGRAMME TERMS OF REFERENCE MID-TERM EVALUATION

Low Carbon Development Strategy (LCDS) Amerindian Development Fund (ADF): Village Economy Development (Phase II) under the Guyana REDD+ Investment Fund (GRIF) (ADF Phase II Project)

1. Background and Context

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.

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 9. 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. Amerindians own 13.9 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, Patamona, Arekuna, Macushi, Wapishana and Wai Wai – each of which has its own distinct cultural identity and heritage, language and traditional economic activities. 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.

The LCDS ADF Village Economy Development (Phase II) under the GRIF project has been established to provide support for the socio-economic and environmental development of Amerindian communities and villages, through the implementation of Community Development Plans (CDPs). As a precursor to the full-scale project design for the provision of micro-grants under the Amerindian Development Fund Village Economy, 27 Amerindian communities were selected for the disbursement of grants in a pilot phase that lasted in excess of 9 months. This pilot phase was known as the Initiation Plan (IP). The Initiation Plan sought to: 1) Develop and test a financial disbursement mechanism with an accompanying operational manual; 2) Produce the full Project Document; and 3) Strengthen the capacity of the MoAA to directly manage and support the implementation of the Project. Phase II will cover an additional 160 communities through CDPs proposed in agricultural production and processing, village infrastructure, tourism, manufacturing, village business enterprise, and transportation, among others.

This project, implemented by the Ministry of Indigenous People's Affairs (formerly, Ministry of Amerindian Affairs), and supported by UNDP, is based on a transformational approach that aims to strengthen the entrepreneurial capacities and capabilities of Amerindian communities through the provision of micro-capital grants, while engendering a supportive landscape for private enterprise development. This approach aims to facilitate the gradual integration of remote Amerindian communities and economies into the regional and national economy.

2. Evaluation Purpose

This evaluation is intended to assess progress made in implementing the ADF Phase II Project. The ADF Phase II project document envisages that an independent Mid-Term Evaluation will be undertaken at exactly the mid-point of the project lifetime.

The Mid-Term Evaluation will determine progress being made towards the achievement of outputs and outcome 1, that is, "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."

Considering that this evaluation comes in the second full year of implementation of the ADF Phase II project, this evaluation is intended to identify course correction if needed; highlight issues requiring decisions and actions; present initial lessons learnt about project design, implementation and management and examine sustainability issues. Findings of this evaluation will be incorporated as recommendations for enhanced implementation during the final half of the project's term.

3. Scope of the Evaluation

The Evaluation will consider the project, inputs, activities, outputs and the project's contribution to CPAP outcome 1.

The primary issues would be the relevance/appropriateness, efficiency, effectiveness, and sustainability of the outputs.

Specifically, this exercise will:

- (3) Provide evidence to support accountability of the project
- (4) Identify current areas of strengths, weaknesses and gaps, especially with regard to:
 - (iv) The appropriateness of UNDP's implementation support
 - (v) Impediments to achieving the outputs
 - (vi) Adjustments to be made

The Consultant is expected to take the following factors into account:

- Geographic and sectoral coverage of CDPs;
- Timeframe of the project;
- Nature and number of partnerships.

The evaluation should provide insights on the successes and challenges of the project thus far, identify important lessons that UNDP and the Government of Guyana can use to inform future interventions in the area of Amerindian village economic development. More specifically, consideration should be given to the effectiveness of the project and the outputs it has produced, as well as the timeliness of implementation to date. The evaluation should also assess linkages between Amerindian village economic development and poverty reduction in a sustainable development milieu.

Furthermore, a review of the project implementation arrangements including the process of community engagement should also be carried out to identify practical, implementable recommendations to improve current and future project design, implementation and management measures.

A comprehensive list of communities and villages for ADF Phase II will be provided to the Consultant to aid in carrying out the consultancy.

4. Evaluation Criteria and Questions

The evaluation should generate information on:

Relevance: concerns the extent to which a development initiative and its intended outputs or outcomes are consistent with national and local policies and priorities and the needs of intended beneficiaries. Relevance also considers the extent to which the initiative is responsive to UNDP corporate plan and human development priorities of empowerment and gender equality issues. Relevance concerns the congruency between the perception of what is needed as envisioned by the initiative planners and the reality of what is needed from the perspective of intended beneficiaries. It also incorporates the concept of responsiveness—that is, the extent to which UNDP was able to respond to changing and emerging development priorities and needs in a responsive manner.

- What is the extent to which the Amerindian Development Fund is relevant to national development priorities?
- How relevant is the project design in addressing the outputs?

Effectiveness: measures the extent to which the initiative's intended results (outputs) have been achieved or the extent to which progress toward outputs or outcomes has been achieved:

- Has there been progress made towards the achievement of the intended outputs?
- How effective has been UNDP's community engagement strategy?
- How have UNDP's practices, policies, decisions, constraints and capabilities affected the achievement of the outputs?
- To what extent have project outputs contributed to achieving UNDP Country Programme (2012-2016) Outcome 1
- Is UNDP's partnership strategy appropriate, effective and viable for the achievement of the outputs?

Efficiency: measures how economically resources or inputs (such as funds, expertise and time) are converted to results. An initiative is efficient when it uses resources appropriately and economically to produce the desired outputs. Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources:

- Has UNDP's strategy in producing the outputs been efficient and cost-effective?
- How efficient has the engagement and coordination been among the various stakeholders in implementing the project? What specific roles have they played?
- Has there been any duplication of efforts among UNDP's interventions and interventions delivered by other organizations in contributing to the outputs?
- What is the assessment of the capacity and institutional arrangements for the implementation of the project?

Sustainability: measures the extent to which benefits of initiatives continue after external development assistance has come to an end. Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results in the future:

- What aspects of the socio-political context of the project are barriers to and drivers of sustainability?
- What are the underlying factors beyond UNDP's control that influence the outputs (including the opportunities and threats affecting the achievement of the outputs)?
- What is the extent to which UNDP established mechanisms ensure sustainability of the outputs?

The evaluation will also:

- Isolate and elaborate lessons emerging from the programme of work implemented so far;
- Provide recommendations for improvement of the project in terms of partners, programming, operations;
- Provide recommendations on how UNDP can better fulfil its commitment to key programming principles and cross-cutting issues (gender mainstreaming, knowledge management, result-based management, capacity building, human-rights based approach and environmental sustainability).

5. Methodology or Evaluation Approach

The evaluation must be carried out using a sound methodology including a mixed method evaluation i.e. quantitative and qualitative which allows for rigor and provides reliable results for decision making. The evaluation will follow the United Nations

Evaluation Group (UNEG) norms and standards for evaluation as well as the UNEG ethical guidelines for evaluations.

The approach of the evaluation shall be participatory in all phases, particularly in the validation of the findings and conclusions and should be sensitive to gender and human rights and be based on a theory of change. The evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in this ToR, the availability of resources and the priorities of stakeholders. In all cases, the consultant is expected to use all available information sources that will provide evidence on which to base evaluation conclusions and recommendations. Findings must therefore be justified with primary and secondary data (in the narrative text). Anticipated approaches to be used for data collection and analysis by the evaluator are: documentation review, interviews with key stakeholders, field visits, questionnaires, participatory techniques, triangulation and participation of stakeholders and/or partners. Data collection methods and process should consider gender sensitivity and data should be systematically disaggregated by gender and age and, to the extent possible, disaggregated by geographical regions, disability, and other contextually-relevant markers of equity.

6. Evaluation Products (Deliverables)

UNDP Guyana and the Ministry of Indigenous People’s Affairs expect the following deliverables:

- **Evaluation Inception Report** - This should detail the evaluator’s understanding of the task at hand and a methodology which clearly demonstrates how each evaluation question would be answered by way of: proposed data collection methods; proposed sources of data; and data collection and analysis procedures as reflected in the evaluation matrix. The Inception Report should include a proposed schedule of tasks, activities and deliverables, identifying who is responsible for each task or product.

Evaluation matrix:

Criteria/Sub-criteria	(Examples of questions to be addressed by project-level evaluation	What to look for	Data sources	Data collection methods	Methods for data analysis

- **Evaluation brief:** including audio visual presentation of key findings, lessons learned, and recommendations.
- **Draft Evaluation report** – UNDP will provide guidance on the quality criteria that will be used to assess quality of the report. The draft report will be reviewed by UNDP and Ministry of Indigenous People's Affairs to ensure the evaluation meets expectations and quality criteria and would inform the final evaluation report.
- **Final Evaluation report** – The final evaluation report should not exceed 40-50 pages. The content should comprehensively address the following:
 - Strategies for continuing or concluding UNDP assistance towards the outputs;
 - Recommendations for formulating future assistance in the outputs if warranted;
 - Lessons learned concerning best and worst practices in producing outputs, linking them to the outcome and using partnerships strategically;
 - A rating on progress towards outputs;
 - A rating on the relevance of the outcome;
 - Recommendations for implementation of the rest of the project.

7. Management of the Evaluation

The mid-term evaluation will be guided by the UNDP Guyana country office. The UNDP GRIF Team, ADF PMU, project beneficiaries and other partners will provide inputs to the evaluation process.

8. Qualifications and experience

The evaluation will be conducted by a Consultant working under the guidance of the Deputy Resident Representative, UNDP Guyana. Consideration of the local context would be critical to the execution of this assignment.

Consultant

EDUCATION AND EXPERIENCE: A minimum of a Master's degree in the Social Sciences, Sustainable Development, Project Management or related fields.

TECHNICAL EXPERTISE: At least 5 years' experience in conducting project level evaluations as sole evaluator or team leader in similar or related fields; or conducted at least 5 recent project evaluations as sole evaluator or team leader in similar or related fields. Understanding of, and experience in, the required evaluation methodologies.

SECTORAL EXPERTISE: Expertise in the sectoral area of the project being evaluated - at least 7 years of experience in sustainable development projects. Experience in indigenous issues and socio-political context of Guyana would be desirable.

Additionally, the evaluator should meet the following secondary requirements

IMPARTIALITY: No conflict of interest with any of the parties involved in the evaluation of the project.

COMMUNICATION and INTERPERSONAL SKILLS: Able to communicate the evaluation results in a manner that is easily understood by all parties. Able to interact with all parties in a sensitive and effective way.

And should:

- Be available for full participation and intensive work within required timeframes;
- Have working knowledge of community engagement and community economic development initiatives;
- Bring fresh perspectives, insights, experiences and recent state-of-the-art knowledge;
- Be aware of constraints on feasibility of recommendations;
- Be independent of any organizations that have been involved in designing, executing or advising any aspect of the project.

Knowledge of UNDP, its programmes, operations and evaluation procedures, including the UNDP Strategic Plan 2014-2017 would be desirable.

LANGUAGE: Proficiency in English Language is required.

9. EVALUATION ETHICS

This evaluation should be conducted in accordance with the principles outlined in the United Nations Evaluation Group 'Ethical Guidelines for Evaluation'. The following should be addressed in the design and implementation of the evaluation:

- Evaluation ethics and procedures to safeguard the rights and confidentiality of information providers, for example: measures to ensure compliance with legal codes governing areas such as provisions to collect and report data.

- Provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiality.

The evaluator will be required to sign the UNEG evaluation code of conduct.

10. Implementation arrangements

Role of UNDP

UNDP will:

- Recruit, select and approve evaluator
- Provide pre-evaluation briefing to evaluator;
- Review evaluator's inception report and provide feedback on areas for strengthening;
- Review the draft report and offer comments, if any;
- Approve Final Evaluation report and ensure the overall quality of evaluation;
- Provide substantive feedback on the findings of the evaluation in the form of a management response;
- Provide logistical and documentary support to evaluator in the implementation of the evaluation.

Role of Ministry of Indigenous People's Affairs

- Provide documentary support to evaluator in the implementation of the evaluation;
- Identify and ensure the participation of relevant national and local stakeholders in the evaluation;
- Review inception, draft and final reports and provide feedback on areas for strengthening; review and provide substantive feedback on the findings of the evaluation in the form of a management response to be submitted to UNDP Guyana.
- Organize and facilitate debriefing with relevant stakeholders on findings of the evaluation.

Procedures to amend TOR:

For amendments to this TOR, specific requests can be made to the Deputy Resident Representative, UNDP Guyana.

Reporting relationships:

The Consultant will submit evaluation deliverables to UNDP Guyana.

Time Frame for the Evaluation Process

Tasks	Number of working days	Tentative dates	Expected result
Desk review of project document, reports and other background documents	2	July 25 – 26	Inception report containing work plan, key findings of desk review and evaluation methodology
Development of evaluation methodology/inception report			
Comments to the Inception Report	5	July 27 – August 2	
Site Visits, Meetings and interviews with stakeholders, beneficiaries and Partners; Debriefing (last day of the mission)	10	August 15 – 26	Data from major stakeholders collected
Data analysis and preparation of the draft report	3	August 30 – September 1	Draft evaluation report with findings, lessons learned and results submitted to UNDP for review
Collecting comments on draft report from UNDP	8	September 5 - 14	
Finalization of the report on the basis of comments received	3	September 19 - 21	Evaluation report
Total working days	31		

11. Documents to be included when submitting the proposals

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

1. Proposal (in English, mandatory):
 - (i) Explaining why they are the most suitable for the work
 - (ii) Provide a brief methodology on how they will approach and conduct the work
2. Financial proposal
3. P-11 UNDP Personal History Form and CV including past experience in similar projects and at least 3 references

Financial proposal

- **Lump sum contracts:** The financial proposal shall specify a total lump sum amount, and payment terms around specific and measurable (qualitative and quantitative) deliverables (i.e. whether payments fall in installments or upon completion of the entire contract). Payments are based upon output, i.e. upon delivery of the services specified in the TOR. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal will include a breakdown of this lump sum amount (including travel, per diems, and number of anticipated working days).

Evaluation

- Individual consultants will be evaluated based on the following methodology:
Combined scoring method
When using this weighted scoring method, the award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:
 - a) responsive/compliant/acceptable, and*
 - b) Having received the highest score out of a pre-determined set of weighted technical and financial criteria specific to the solicitation.*
 - * Technical Criteria weight; 70%*
 - * Financial Criteria weight; 30%**Only candidates obtaining a minimum of seventy (70) technical points would be considered for the consultancy.*

12. ANNEXES – List of key documents and databases to consult

- Evaluation Matrix
- UNDP 2014-2017 Strategic Plan
- UNDP Country Programme Document (2006 - 2011 and 2012 - 2016)
- Country Programme Action Plan (2006 – 2011 and 2012 - 2016)
- Low Carbon Development Strategy
- Initiation Plan – ADF Phase I
- Project Document – ADF Phase II
- Annual Work Plans (AWPs)
- Quarterly Progress Reports
- Field Mission Reports
- List of Target Villages/ Communities and CDPs
- The format required for the evaluation report
- Code of Conduct for UNEG evaluators

Annex 2: In-country field mission

List of people interviewed

The in-country field mission will take place from November 28th – December 9th included. That allows for 10 work days plus 2 full weekend days that could be allocated to work. It is important that the mission be done within the allocated time frame.

The priorities are to have personal interviews, bilateral or collective, depending on the person and local customs to enable a first-hand view about the project, outcomes, outputs, activities, what has worked what hasn't worked, lessons learned and perspectives for the final ongoing stage of the project.

Therefore, formal meetings that will not provide value added to what can be obtained in reports and documents, should be kept to the minimum necessary, as well that those that can be easily held by Skype, given the disposition and immediate availability.

Those that will provide a good project and sector overview, valuable insights and other useful suggestions, recommendations, information and data should be held.

When possible, it will be useful to have collective meetings in which common ground or different perspectives may be discussed openly. In an appropriate location such as UNDP CO when possible.

The purpose of the meetings during the in-country mission is to conduct bilateral or collective interviews, to collect information and data, with different actors and stakeholders related to the project about the project design and execution to date.

The interviewees will be from the public and private sector at national and regional / village levels; CSOs and implementing partners, multilateral and bilateral institutions and donors, if and when available; and specially direct and indirect beneficiaries: Community and Village Councils, community members and direct beneficiaries from CDPs and sector business projects.

Interviews will also be made with key members of the Project Management Board, PMU, PM, CDOs and UNDP senior Management and Staff related to the project.

Given the importance of the REDD plus forestry, climate change and environmental sustainability policies and regulatory framework for this CDP and successive Business Plans it will be useful to have the view regarding the policy framework and its application and enforcement mechanisms from the specialized agencies.

It will be also useful to have contacts with present and potential implementing partners for vocational training, skills and apprenticeship, if any, as well as the activities conducive to private sector engagement and development of sustainable inclusive business value chains and potential local or international anchor firms.

List of individuals/groups interviewed/consulted

Georgetown 15 persons

- H.E. The Minister of Indigenous People's Affairs and third Vice President, Mr. Sydney Allicock
- The Permanent Secretary of the Ministry of Agriculture, Mr. George Jarvis and key staff: Livestock, Markets, Animal and Plant Health

- Field and Georgetown: Special Advisor to Minister MoIPA, Mr. Marting Cheong
- Guyana Tourism Authority: Indranauth Harasingh, Director and staff
- Director Ministry of Communities
- Director and staff Small Business Bureau. Ms. Gillian Edwards
- ADF Project Manager PM: Mr. Omar Bispat and support assistant Mr. Wade

National Toshihaos Council

- Chairman Mr. Joel Frederick VC Mr. Lennox Shumann

UNDP Briefing 5 persons

Ms. Mikiko Tanaka, UNDP Resident Representative

Ms. Shabnam Mallick, UNDP Deputy Resident Representative

Mr. Patrick Chesney, Programme Specialist, UNDP

Ms. Andrea Heath-London, Planning, Monitoring and Evaluation Analyst, UNDP

Mr. Ronald Cumberbatch, Programme Analyst, UNDP

Either in Georgetown or during Field Visit:

PM	Project Manager
PMO	GRIF Project Management Office (PMO)
PA	Project Associate
PMB	Project Management Board
PO	Project Officer
PSC	Private Sector Commission
SPU	Ministry of Indigenous People's Affairs Special Projects Unit (SPU)

Approximately 72 Persons participated in the regions and Villages including Toshihaos

Katoka-12

Aranaputa – 4

Surama – 4

Rewa – 12

Mountain Foot – 9

Santa Rosa & Islands – 5

Kumaka – 4

Koko – 9

Rincon – 9

Mainstay/Whyaka – 4

Present: Infrastructure, Transportation, Logistics, Village Shop, Guest House, manufacturing, Agriculture, Cattle and livestock.

Potential: sustainable Artisanal mining, Sustainable Forestry timber and carpentry, Fishing and fish ponds, handcrafts and artisanal goods, adventure tourism, women producing goods and services for the local or national market.

- Amerindian Village Councils
- Community Development Officers, PO
- CDP Community Management Teams
- Community Associations
- Project Beneficiary Groups
- Implementing Partners and Trainers

Annex 3

Documents Reviewed

- Terms of Reference for Mid-Term Evaluation of Low Carbon Development Strategy (LCDS) Amerindian Development Fund (ADF): Village Economy Development (Phase II) Under The Guyana REDD+ Investment Fund (GRIF) (ADF Phase II Project)
- Final Evaluation of the Low Carbon Development Strategy (LCDS) Amerindian Development Fund: Village Economy Development under the Guyana REDD-plus Investment Fund (GRIF) (Phase 1)
- ADF Update PPT. November 2016.
- Training of Trainers –ToT- Amerindian Village Resource Guide. August 2016.
- Guyana PRSP 2011-2015 Action Paper GoG 2011
- AWP 2015 LCDS ADF Phase II GRIF
- AWP 2016 LCDS ADF Phase II GRIF
- List of CDPs LCDS ADF Phase I
- Indigenous Peoples' Rights, Forests and Climate Policies in Guyana. Special Report- APA and FPP, EU and DIFID. May 2014
- Initiation Plan: Concept Note for Project Preparation DRAFT: 14/03/2012. Low Carbon Development Strategy (LCDS) Amerindian Development
- Guyana Act No. 6 of 2006. Amerindian Act 2006
- The Amerindians in Guyana. Doc.
- Amerindian Villages in Guyana. MoIPA.
- Indigenous peoples' rights, REDD and the draft Low Carbon Development Strategy (Guyana). WB Workshop. 2009
- A Low-Carbon Development Strategy: Transforming Guyana's Economy While Combating Climate Change. June 2009
- A Low-Carbon Development Strategy Update: Transforming Guyana's Economy While Combating Climate Change. March 2013.
- Operational Manual Guyana REDD-Plus Investment Fund (GRIF). GRIF Steering Committee. May 2011.
- CPAP UNDP Guyana. 2012-2016
- North Rupununi District Development Board –NRDDB- Contract with GoG. Support for Managing, Monitoring and strengthening linkages between Amerindian CDPs and the Private Sector under LCDS REDD+ GRIF. 2016
- Low Carbon Development Strategy (LCDS) Amerindian Development Fund: Village Economy Development (Phase II) under GRIF. Project Document UNDP-GoG.
- Fund: Village Economy Development under GRIF (Phase 1).
- UNDP 2014-2017 Strategic Plan
- UNDAF 2012-2016
- UNDP Country Programme Document -CPD-(2012 - 2016)
- Country Programme Action Plan (2012 - 2016)
- Low Carbon Development Strategy
- Project Document – Low Carbon Development Strategy (LCDS) Amerindian Development Fund: Village Economy Development under GRIF (Phase 1)
- CPAP UNDP Annual Review Report 2015.
- REDD Readiness Country Program Fact Sheet IADB 2014.

- Guidelines on Stakeholder Engagement in REDD+ Readiness with a Focus on the Participation of Indigenous Peoples and Other Forest-Dependent Communities. 2012 FCP-UNREDD.
- Independent Assessment of Enabling Activities of the Guyana-Norway REDD+ Partnership. INDUFOR. 2013

Annex 4

Project Management Arrangements

Execution/Implementation Arrangement

- This project will use the national implementation modality (NIM) through the MoAA (now **MoIPA**). The already completed Capacity Assessment of the MoAA (now **MoIPA**) and the outstanding capacity building activities recommended in the report will be incorporated into the project.
- UNDP will be the Partner Entity and the recipient of funds from the GRIF. UNDP will offer specific implementation support to the project, these are: capacity building to strengthen the MOAA (now **MoIPA**), business development training and value chain establishment, procurement and administrative support on demand, strengthening CDPs where necessary, and monitoring including spot checks.
- The Amerindian Village Councils and CDP Management Teams (CMT) will be fully engaged in the management and implementation processes for the realization of activities within community development plans. Support and capacity building, and strengthening will be provide to the CMT, in addition to the elevation of the CDPs to business plans, in adherence to the FPIC process.
- The Executive will agree on representatives for the Project Board.
- The MoAA (now **MoIPA**) will recruit a full-time Project Manager (PM), two Project Associates (PA), and two Community Development Facilitators for implementation. This team will supported by the UNDP Project Assurance team.
- The Private Sector will provide information, technical advice, and business to ventures where they are feasible; and other inputs as may be necessary for partnerships.

The National Implementation Modality (NIM) with critical support from UNDP and other implementing partners is expected to contribute to: 1) Greater national self-reliance by effective use and strengthening of the management capabilities, and technical expertise of national institutions and individuals, through learning by doing; 2) Enhanced sustainability of development programmes and projects by increasing national ownership of, and commitment to development activities; and 3) Reduced workload and integration with national programmes through greater use of appropriate national systems and procedures.

As the "Implementing Agent" the MOAA is ultimately responsible for all inputs and outputs in the project. The other designated "Implementing Agent(s)", namely the MOA (backstopped by FAO), and UNDP will undertake some actions (as mentioned above) within the project to achieve specific outputs of the project. The MOA, with technical support from FAO, will be responsible for building technical capacity at the community level and, where necessary, that of institutional stakeholders to implement agro-business ventures.

Guidance and recommendations for the community level organizational structure (see figure below) and functions for the management and implementation of CDPs are presented in the operational manual.

Roles and Responsibilities of the Project Organization Structure

The Project Board (PB) is responsible for management decisions and necessary guidance to the Project Manager. The PB ensures the quality of project monitoring and evaluation and the utilization of learning from these processes to enhance performance. It ensures that required resources are committed; arbitrates on any conflict within the project; and negotiates solutions with external actors. The PB approves the Annual Work Plan, annual operational plans; annual reports and can also consider and approve the quarterly plans. The PB may recommend or endorse substantive changes to the Project Document, including requested CDP change; follow up on midterm and terminal evaluations; and suggest changes in activities without losing sight of strategic objectives.

In order to ensure project results, the PB's decisions are made in accordance to standards of management for development results, best value for money, fairness, integrity, transparency and effective international competition. They also uphold the integrity of UNDP's safeguards and standards.

The Executive: The Executive is comprised of the Ministry of Finance, the Ministry of Amerindian Affairs (MoAA) (now **MoIPA**), and UNDP. 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 is tasked with ensuring 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 will ensure that the project gives value for money, ensures a cost-conscious approach to the project, and balances 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.

Senior Beneficiary: This is defined as the individual or group of individuals representing the interests of those who will ultimately benefit from the project. 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 primary function of the Senior Beneficiary (SB) within the Board is to represent the interests of project beneficiaries. Representing the interests of The SB includes validating the needs assessment and monitoring that the proposed actions will meet those needs within the constraints of the project. The SB monitors progress against targets and quality criteria.

Senior Supplier: The Senior Supplier's primary function is to provide guidance to the PB regarding the technical feasibility of the project. This includes technical guidance on designing, developing, facilitating, procuring and implementing the project. The Project Management Office within the Office of the President; the Ministries of Amerindian Affairs, Local Government & Regional Development, Agriculture, and Natural Resources and Environment (through the Guyana Geology and Mines Commission, Environmental Protection Agency and the Forestry Training Center), will collectively act as Senior Supplier. The Senior Supplier role must have the authority to commit or acquire supplier resources required.

Project Manager: The PM is recruited by MOAA (now **MoIPA**) and approved by UNDP and the Executive, with matrix reporting responsibilities to these agencies. The PM is responsible for the day-to-day running of the project with the guidance of the PB. The PM shall ensure that the project produces the results (outputs) specified in the project document to the required standards and in keeping with UNDP's safeguards and the time and cost constraints. The PM will interface with GRIF Project Management Office (PMO) and receive guidance from the GRIF PMO as appropriate.

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.

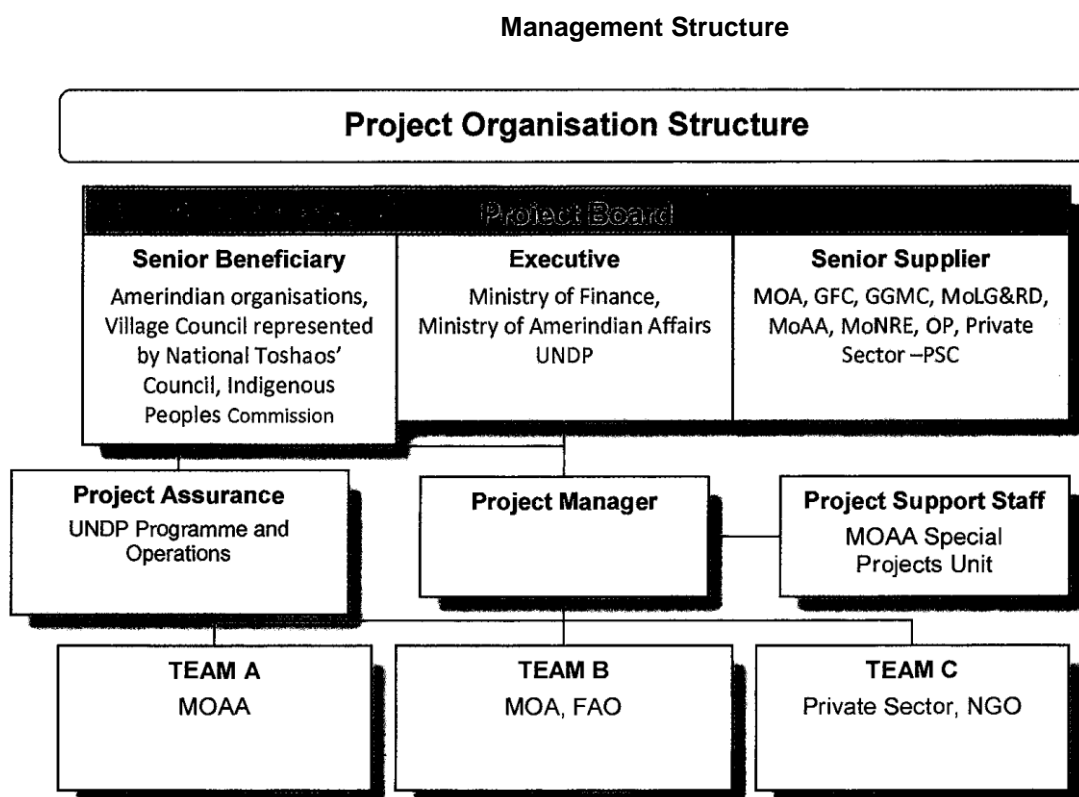
Project Assurance: Project Assurance is the responsibility of the Project Board and is independent of Project Support. The project assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management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

Standards

For project implementation amounts of US\$500,000 and above, the UNDP Environmental and Social Screening process is applied. There are two main **objectives** of environmental and social screening: 1) Enhance the environmental and social sustainability of a proposed project. This aspect of screening focuses on the environmental and social *benefits* of a project; and 2) Identify and manage environmental and social risks that could be associated with a proposed project. This aspect of screening focuses on the possible environmental and social *costs* of an intervention and may point to the need for environmental and social review and management. In summary the screening is an "environmental and social safeguard" which is a key component of UNDP's overall quality assurance process⁶. The outcome of the environmental and social screening process is to determine *if* and *what* environmental and social review and management is required (see Figure).

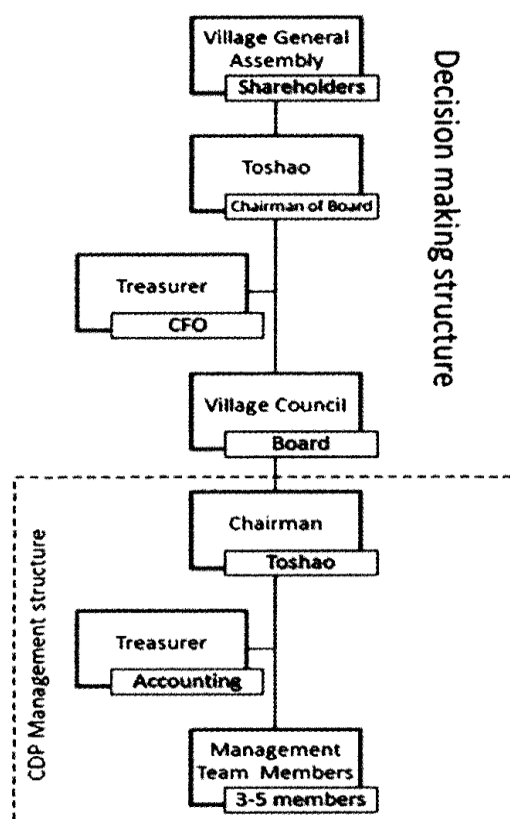
Since this project is aligned with the LCDS, UNDP will seek to mainstream clean energy considerations at the community level. For these mainstreaming activities, the local law on these matters will be adhered to. Additional UNDP Safeguards and Standards applied to this project will promote these measures.

3.1 Project Management Structure



Prior to the implementation of the CDPs, communities have to establish a **CDP management team (CMT)**, as the community level organizational structure, with the relevant experience and work specialization to oversee their venture's day-to day activities. The CMT coordinates and directly implement the activities. *Within the CMT, each member should have a well-defined responsibility the most important of which are procurement, production, marketing and sales, (and also Quality Assurance or Customer Care depending upon the requirements or nature of the business).* This suggested structure does not remove the option of multi-tasking, as a community might prefer. Figure 2 below illustrates how these structures are presented at the community level, and how they interact with other village and community structures — more details are available in the operations manual.

3.2 Community Level Structure

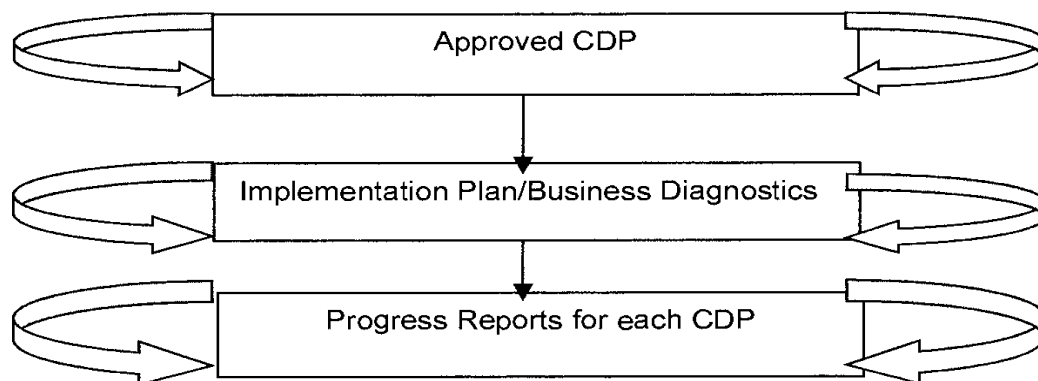


4. M&E Strategy

Monitoring responsibilities and events

The overall monitoring framework for this project is captured in the figure 3 below.

Figure 3: Monitoring Framework Monitoring, Verification and Reporting Process - Amerindian Development Fund supported Projects



Monitoring Tools

Monitoring Tools	MVR Tools
UNDP Level	
Field Visit Report	Grant Agreements
Quarterly Progress Report	Attendance sheets for community meetings (disaggregated by age, gender, geographic region/district, ethnicity)
Financial report with detail expense report	Activity reports (Inception report, end of initiation phase report)
Assets Register	
Community Level	
Assets List	Photographs and other audio-visual materials
Cash Book	MOUs (where relevant)
Bank Reconciliation Statements	Receipts, Invoices, Vouchers
	Products developed
	Other (depending on nature of project)

Responsibilities Matrix

UNDP	Communities
Field Visit Reports	Financial:
Quarterly Progress Report	• Assets List
End of Project Report	• Financial Report
Project Review/Lessons Learned Report	• Cash Book (detail expenditure listing)
	• Bank Reconciliation
	• Financial Report (FACE)
MoAA and MoA	
Programmatic:	
• Monthly Field Visit reports from CDOs and Extension Officers on progress of project	

Project Monitoring and Evaluation:

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 the Regional Service Centre (RSC) in Panama.

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

Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual 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.

Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the IP, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

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/Annual Work Plan to assess firsthand the project's progress. Additional visits may be carried out as necessary. Any other member of the Project Board can also join the visit. A Field Visit Report/Back to Office Report (BTOR) will be prepared by UNDP and circulated. Annual Monitoring will 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 a year. The first such meeting will be held within the 6 months of the start of full implementation.

The Project Manager in consultations with UNDP will prepare a UNDP Annual Review Report (ARR) and submit it to the PB. The ARR will be used as one of the basic documents for discussions in the PB meeting. The Project Manager will present the ARR to the Project Board, highlighting policy issues and recommendations for the decision of the PB. The Project Manager also informs the PB of any agreement reached by stakeholders during the ARR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if necessary.

The terminal PB meeting is held in the last month of project operations. The Project Manager is responsible for preparing the Terminal Report and submitting it to the PB. It shall be prepared in draft at least two months in advance of the terminal PBM in order to allow review, and will serve as the basis for discussions in the PBM. The terminal meeting considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and has contributed to the broader poverty reduction objective. It decides whether any actions are still necessary, particularly in relation to the sustainability of project results, and acts as a vehicle through which lessons learned can be captured to feed into other projects under implementation or formulation.

Project Reporting

The Project Manager with the support of Ministry of Amerindian Affairs Special Projects Unit (SPU) will be responsible for the preparation and submission of the following reports that form part of the monitoring process.

Inception Report (IR)

A Project Inception Report will be prepared immediately following the Inception event (s). It will include details on the level of preparedness of communities, and will support request/needs, implementation plans and budget CDP revisions, if necessary.

Annual Project Report (APR)

The APR is an annual monitoring process mandated by UNDP. The UNDP M&E Unit provides the scope and content of the APR. This has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects.

Quarterly Progress Reports:

Short reports outlining main updates in project progress will be provided quarterly to the PB by the Project Manager. The UNDP CO will pay specific attention to the monitoring of the risks identified in this project document and to the effectiveness of the mitigation measures proposed. Any significant issue will be immediately reported to the PB and a new risk management plan will be elaborated and discussed with the PB. The activities of the fourth quarter will be included in the Annual Project Report.

UNDP ATLAS Monitoring Reports

A Combined Delivery Report summarizing all project expenditures, is mandatory and should be issued quarterly by UNDP.

The following logs should be provided: (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 UNDP 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 UNDP 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 behaviors. It is the responsibility of the Project Manager to maintain and update the Lessons Learned Log.

Project Publications

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, and may take 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.

Annex 5
Evaluation matrix

Criteria/Key Question	Second Level Question	What to look for	Data sources	Data collection methods	Data analysis method
1. Relevance 1.1 To what extent is the ADF relevant to avoid deforestation towards environmental-friendly economic and social development initiatives? 1.2 What is the extent to which the ADF and the Special Purpose Fund are relevant to national development priorities? 1.3 Is the ADF relevant to transform Guyana's and Amerindians people's socio-economic development by following a LCD path? 1.4 Is ADF a relevant and effective tool for the operationalisation of the green development strategy?	1.2.1 How relevant is the project design in addressing the outputs? 1.2.2 How relevant is the project's contribution to poverty reduction and environmental protection and sustainability of Amerindians while contributing to the LCDS? 1.2.3 Have the proposed business initiatives improved productivity, profitability and created formal, stable or new jobs? If not why?	Contribution of ADF to LCDS Links between ADF and National Poverty Reduction Strategy	ADF reports LCDS reports PRSP reports Key informants	Secondary reports Key informant interviews	Triangulate statements made in reports against results of key informant interviews

		Project management structure Project time frame and budget	ADF reports Key informants	Secondary reports. Key informant interviews	Triangulate statements made in reports against results of key informant interviews
Criteria/Key Question	Second Level Question	What to look for	Data sources	Data collection methods	Data analysis method
<ul style="list-style-type: none"> Effectiveness <p>2.1 Has there been progress towards achievement of the intended outputs?</p> <p>2.2 In your view what are the binding constraints and priorities of Amerindian Communities: Access to financing or investment in human capital and skills?</p>	<p>2.2.1 Have community expectations been met by CDPs or has there been shortfalls and frustrations?</p> <p>2.2.2 Have the CDPs contributed to ownership and empowerment vis a vis dependency?</p> <p>2.2.3 How could participation, ownership and empowerment improve?</p> <ul style="list-style-type: none"> Capacity building 	Outputs achieved versus items listed in project inception report	ADF reports Key informants	Secondary reports Key informant interviews	Compare plans against progress Contrast expectations with perceptions and achievements

<p>2.4 Is there a leveled playing field, participation and stability of the CDP Community?</p> <p>2.5 Is the potential of the CDPs on track of being achieved? If not why?</p> <p>2.6 Has the project searched and tapped into International support of good practices for economic empowerment of indigenous communities through CDPs?</p> <p>2.7 What are the characteristics in terms of quality, intensity, outcome and results from:</p> <ul style="list-style-type: none"> • Access to information regarding human rights • Indigenous Peoples' Rights, Forests and Climate Policies in Guyana • Customary rights of Amerindian Communities, including women and youth • Guyana Act No. 6 of 2006. Amerindian Act 2006 • Initiation / Launch CDPs Workshop • Skills training activities for sector CDPs • Strengthen capacities for CDPs • Management training activities for CDPs • Growing Inclusive Business GIM and VCs • Local Economic Development <p>2.8 Proposals for improved effectiveness and efficiency in the use of funds for training and Technical Assistance –TA-</p> <p>2.9 How viable, inclusive and environmentally appropriate are the</p>	<ul style="list-style-type: none"> • Counterpart funding • M&E • Accountability 				
	<p>2.2.4 How effective has UNDP's community engagement strategy been?</p> <p>2.2.5 Is the institutional capacity of the and Management Information Systems of the MolPA appropriate?</p> <p>2.2.6 Has the capacity development for CDPs been put in place for project execution?</p> <p>2.2.7 Do the CDPs contribute to the LCDS footprint? How?</p> <p>2.2.7 Do CDPs contemplate an inclusive sustainable business approach and the use of VCs that have traction from an anchor firm?</p> <p>2.2.8 Do CDPs contribute to Local Economic Development –LED-? How?</p> <p>2.2.9 Has there been a balance between capacity building and human capital investment at community level and infrastructure and sector investment?</p>	<p>Who benefits from the project & do they feel ownership of it?</p> <p>Extent of community ownership of CDPs</p>	<p>Key informants</p> <p>Selected community members</p> <p>Onsite observations</p>	<p>Key informant interviews</p> <p>Focus group discussions, field visits</p>	<p>Stakeholders analysis tools</p> <p>Importance & influence matrix</p>
	<p>2.2.10 How have UNDP's constraints and capabilities affected the achievement of outputs?</p> <p>2.2.11 How effective has the investment in physical assets and inputs been and if limited what could be done to improve the quality and quantity of outputs (productivity and competitiveness)?</p>	<p>Time taken to recruit project staff and release funds for activities</p>	<p>Project reports</p> <p>Key informants</p>	<p>Secondary reports key informant interviews</p>	<p>Compare delays experienced with best practice in the country</p>

<p>economic activities supported by ADF? (please provide evidence of good examples, shortfalls)</p> <p>2.10 What capacities have been built through ADF at communities, local/regional and national levels?</p>	<p>2.2.12 Has the Local Community participated in the project design and was there a consultation process?</p> <p>2.2.13 Was ADF GRIF and MOIPA participate in the screening, selection and approval process?</p> <p>2.2.14 Were their guidelines provided by the REDD GRIF Operational Manual 2011 for CDPs?</p>				
	<p>2.2.15 To what extent has the project contributed to UNDP country program outcome 1?</p> <p>2.2.16 Has there been technical and operational support provided by MOA, other ministries and agencies and FAO? How would you qualify it?</p> <p>2.2.17 What are the main development barriers faced by CDPs if any?</p> <p>2.2.18 Is there appropriate community ownership, accountability, participation and empowerment? If not why and what are the weaknesses?</p> <p>2.2.19 Do the CPDs have leverage capacity? How and why?</p> <p>2.2.20 Are the sources of financing accessible, transparent and affordable?</p> <p>2.2.21 Has community participation been ensured during the CDP cycle: discussion of ideas, project design and selection of alternatives, implementation, monitoring and sustainability?</p> <p>2.2.22 Is the role of the Community Development Officers, Community</p>	<p>Extent of Government capacity building to support access of indigenous communities to economic opportunities</p> <p>Increase in incomes of communities benefiting from CDPs</p>	<p>Project reports, key informants, selected community members, On site observations</p>	<p>Secondary reports, key informant interviews, focus group discussions, Field visits</p>	<p>Compare post and pre-project status of selected variables</p>

	<p>Support Officers and Project Assistants effective? How and why?</p> <p>2.2.23 What has been the real role played by the MoIPA, other Ministries and Agencies, UNDP, PMO, PMB, PMU, PM and what are the results?</p> <p>2.2.24 What are the main development constraints faced?</p> <ul style="list-style-type: none"> • Access to inputs • Access to markets • Access to financing • Access to infrastructure • Access to transports • Regulatory framework • Processing and warehouse capacity • Managerial capacity • Labor skills <p>2.2.25 How do you evaluate the CDPs M&E capacities?</p> <p>2.2.26 Has the CDP improved its planning, book-keeping, organizational, information systems and decision making capacities to enable to anticipate issues and provide timely solutions contributing to the projects efficiency and effectiveness?</p> <p>2.2.27 Have the CDPs contributed to improvement of jobs and livelihoods for the Amerindian people within a sustainable environment?</p> <p>2.2.28 Has the allocation of funds for CDPs among villages been appropriate and equitable? Yes or no and why?</p>				
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	<p>2.2.29 Is UNDP's partnership strategy effective and viable for the achievement of outputs?</p> <p>2.2.30 What is the assessment of the quality and institutional arrangements for the implementation of the project?</p> <p>2.2.31 Are CDP Management Teams representative of community interests, do they have the required skills and stability through its implementation</p> <p>2.2.32 Is the lack of an appropriate legal structure a binding constraint for access to capital, financing, inputs and business expansion? Could cooperatives or other tools be helpful?</p> <p>2.2.33 How are human rights issues addressed in the framework of CDPs?</p> <p>2.2.34 How could the participation and role of women be enhanced?</p> <p>2.2.35 How are gender equity and women empowerment issues and policies addressed in the CDPs?</p> <p>2.2.36 How does the Hinterland Employment of Youth Services – HEYS- relate to the CDPs and CSOs?</p>	Extent to which key partners were involved in project development and implementation	ADF reports, Key informants	Secondary reports, key informant interviews	Stakeholder analysis Importance & influence matrix
Criteria/Key Question	Second Level Question	What to look for	Data sources	Data collection methods	Data analysis method
<p>2. Efficiency</p> <p>3.1 Is the ADF GRIF fund disbursement mechanism efficient? If not how can it be improved?</p>	<p>3.2.1 Has UNDP's strategy in producing the outputs been efficient and cost-effective?</p> <p>3.2.2 Have alternative mechanisms to improve efficient access to financing been used using incentives, when</p>	<p>Ratio of overhead expenditures in total expenditures</p> <p>Quality of project monitoring activities</p>	ADF reports, Key informants	Secondary reports, Key informant interviews	Identify key implementation bottlenecks resolved, and recurring problems

<p>3.2 Is there access to counterpart funding and leverage from the ADF GRIF? If limited or not how could this be improved?</p> <p>3.3 Are the allocated funds sufficient to achieve efficient and effective socio economic results and impact on communities?</p> <p>3.4 Have the sector initiatives been done efficiently and effectively?</p> <p>3.5 What are in your view the underlying factors beyond UNDP's control that influence the outputs, such as isolation and limited capacities of indigenous communities?</p>	<p>allocated efficiently and penalties, when allocated deficiently?</p> <p>3.2.3 How efficiently and effectively have resources been allocated for MolPA and CDPs?</p> <ul style="list-style-type: none"> • Capacity building • Management • Skills and training • Capital expenditures • Inputs • Marketing • Sustainability • etc <p>3.2.4 How could governance and regulatory structures be improved to facilitate business and access to financing?</p>				
	<p>3.2.5 How efficient has been the roles, engagement, and coordination amongst various stakeholders in implementing the project?</p> <p>3.2.6 Could the critical mass for provision of goods and services improve achieving economies of scale and enhancing competitiveness through the promotion of inclusive sustainable businesses and value chains within CDPs and networking with other village CDPs with similar sector projects creating sector and regional clusters?</p> <p>3.2.7 Is there a local economic development and Amerindian regional policy that could contribute to improve marketing, logistics and transports</p>	<p>Roles of UNDP and MolPA as specified in the PD versus in practice</p> <p>Regularity and quality of project board meetings</p> <p>Time taken to overcome implementation problems</p>	<p>ADF reports, Key informants,</p>	<p>Secondary reports, Key informant interviews</p>	<p>Stakeholder analysis Importance & influence matrix</p>

	conditions for both local and national markets?				
	3.2.6 Has there been any duplication of efforts with other organizations in contributing to the outputs?	Non project support to socio-economic development projects in included villages Non project capacity building support to the MoIPA	Key informants, Donor and Government reports	Secondary reports, Key informant interviews	Stakeholder importance and relevance matrix
		Project delivery versus budget Quality of project monitoring reports	ADF reports, key informants	Secondary reports, Key informant interviews	Triangulation compare project reports against key informant views

Criteria/Key Question	Second Level Question	What to look for	Data sources	Data collection methods	Data analysis method
3. Sustainability 4.1 What are the underlying factors beyond the UNDP's control that influence the outputs? 4.2 What would be the ability of village councils to continue to operate the facilities created through the ADF1 at or close to its planned capacity without the need for additional injection of funds or expertise? 4.3 What are risks and threats to the ADF invested community activities? 4.4 What capacities and measures are in place or need to be strengthened to protect/mitigate from those risks? 4.5 What to focus on in the remaining one year? 4.6 What to do beyond ADF II?	4.2.1 What are the key constraint to sustainability? <ul style="list-style-type: none"> • Institutional capacity • Management skills • Labor skills • Access to markets, capital, financing • Infrastructure and logistics • Regulation and rule of law • Value added capacities: VC upstream and downstream linkages • Stability of authorities and personnel 4.2.2 Have safeguards been taken for CDPs and sector projects sustainability? Which? 4.2.3 Are the CDP initiatives sustainable? Why and How?	Ease of market access for selected villages Budget allocation and release for MOIPA Access to inputs needed for CDPs Negative or positive externalities from other socio-economic activities in participating villages	Government budget documents Reports on indigenous socio-economic development, Key informants MOIPA M&E systems PMU M&E systems Field assessment and scoping missions	Secondary reports, Key informant interviews	Actual versus projected cost of CDP inputs, Actual versus projected prices for CDP outputs. Cross data analysis.

	<p>4.2.4 Are the sector initiatives sustainable? Why and How?</p> <p>4.2.5 Has UNDP, the PMU and VC contributed to the CDPs sustainability? How?</p>		Sustainability studies and reports if any		
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	4.2.6 What is the extent to which UNDP established mechanisms ensure sustainability of the outputs?	Quality of cost benefit analysis of CDPs done Links between local councils and CDPs Changes in dependence of affected communities on mining	Investment viability analysis, Household income analysis Key informants	Field visits, Key informant interviews, Focus group discussions	Cost benefit analysis, Household income assessment tools. Cross data analysis.
Criteria/Key Question	Second Level Question	What to look for	Data sources	Data collection methods	Data analysis method
4. Lessons Learned and Recommendations 5.1 What are the available M&E systems available for the ADF GRIF Phase II Project used throughout the project cycle operated and used by MOIPA, PMU and CDPs?	Isolate and elaborate lessons emerging from this evaluation for application to ADF phase 2	Needed capacity building measures for Ministry of Indigenous People's Affairs in particular supplemental action by Government to secure needed budget and personnel Needed measures to improve community ownership of CDP	Institutional capacity assessments, Selected community members, Key informants	Secondary reports, Focus group discussions, Key informant interviews	Capacity assessment, Participatory rural appraisal

<p>5.2 What kind of information is provided periodically to the PMB and donor?</p> <p>5.3 Are the established communication and information diffusion mechanism appropriate? How could they be improved?</p>	<p>Provide recommendations for improvement of ADF phase 2 in terms of partners, programming, and operations</p>	<p>Review linkages between ADF and key Government technical ministries as well as chamber of commerce</p> <p>Review adequacy of funding for project monitoring activities</p> <p>Look into modalities for release of funds for CDPs</p>	<p>ADF II project document</p> <p>ADF II reports</p> <p>Key informants</p>	<p>Secondary reports,</p> <p>Key informant interviews</p>	<p>Stakeholder analysis,</p> <p>Fund flow analysis,</p> <p>Cost benefit analysis of monitoring activities</p>
	<p>Recommend how UNDP can better fulfill its commitment to key programming principles and cross-cutting issues (gender mainstreaming, knowledge management, results based management, capacity building, human rights based approach, and environmental sustainability)</p>	<p>Review need for training on gender sensitive and human rights based programming to all project counterparts</p> <p>Review arrangements for screening of CDPs for gender sensitivity, respect for indigenous populations and environmental sustainability</p>	<p>ADF operational procedures,</p> <p>Key informants</p>	<p>Secondary reports,</p> <p>Key informant interviews</p>	<p>Capacity needs assessment tools</p>

Annex 6:
Data collection instruments
Questionnaires

See separate Questionnaires

Personal interviews, bilateral, collective and Skype conversations

Contacts with different actors and stakeholders:

- Public Sector: Ministries, Agencies and local government
 - Strategies, Policies and Actions; Regulatory Frameworks and enforcement capacities, M&E, key information
- PMB, PMU, PM: Guidelines, Operation Manuals, M&E Systems,
- Village Communities, CSOs, etc: Agreement, laws and bylaws, project execution, lessons learned
- Private Sector chambers, firms, etc: Partnerships, Alliances, promotion, training
- Implementing Partners responsible for implementing training and management courses as well as capacity building
- SCOs/ NGOs, Implementing Partners
- Beneficiaries: Outcomes, outputs, impact, key indicators, lessons learned, etc.
 - Direct beneficiaries
 - Senior Beneficiaries
- Women and youth groups and associations: Key issues, policies, etc.
- Multilateral and Bilateral Agencies and Donors: Support, Evaluations, Lessons Learned, International good practice, access to non-reimbursable and reimbursable funding

Annex 7 Results and Resources Framework

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework: Country programme Outcome #1: 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				
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: Outcome Indicators: Number of small and medium enterprises registered, number of procedures and systems simplified and redesigned, number of vulnerable individuals trained via programmes designed to support their economic empowerment, number of policies developed and strengthened, number of village economy development projects				
Intermediate Project Outcome: Improved Socio-Economic Development of Amerindian Communities Indicators: Number of Amerindian Communities in receipt of Financial Grant to capitalized investment; Number of business entities established/formalised; Number of management committees trained to operationalize and functionally execute business enterprise development; Number of partnerships formed, percentage of business enterprise surviving at the end of year 3.				
Applicable Key Result Area (UNDP Strategic Plan 2014-2017): Sustainable Development Pathways				
Partnership Strategy: UNDP will use its comparative advantage in brokering partnerships where and when necessary. UNDP will also make available to its partners the wealth of knowledge accumulated from its own experiences as well as that of others through its network of country offices.				
Project title and ID (ATLAS Project ID):				
INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS
Output 1: Strengthened entrepreneurial and Institutional capabilities of the village economy of Amerindian communities <u>Baseline:</u> - Per cent of community ventures	Targets (2014 - 2016) - 70 percent of established Community Management* teams have been appraised as effective in managing community level businesses in each year - 70 per cent of community	Activity Result 1: CDP operationalized <ul style="list-style-type: none"> 1.1 Action: Operationalize inception events for new Amerindian Communities eligible for micro-grant 1.2 Action: Identify and Coordinate relevant stakeholders to facilitate support to Communities 1.3 Action: Transform CDPs to 	MOAA, MOA, UNDP	USD 4,749,190.00

<p>financed and operational is zero;</p> <ul style="list-style-type: none"> - None of the management committees is assessed to be regarded as effective at this start up stage; - 27 communities have functioning management teams; - Zero per cent of the business ventures breakeven in the start-up year; - Limited partnerships with private sector players exist for communities at this time; - 27 management team has been trained; - None of the business are formalized <p><u>Indicators:</u></p> <ul style="list-style-type: none"> - Percentage of community ventures financed that are operational after 1st year - Percentage of community management teams that are regarded as effective in managing community businesses - Percentage of community management teams that are functioning - Percentage of community level businesses that have financially break-even. - Number of partnership 	<p>have functioning management teams by the end of year 3 (2016)</p> <ul style="list-style-type: none"> - Year 2: 20 per cent; Year 3: 40 per cent of community business ventures break even⁵. - 187 out of 187 management teams trained by year 3 of the project. - Established Businesses progressively formalized: Year 2: 30 per cent; Year 3: 50 per cent. 	<p>business plan</p> <ul style="list-style-type: none"> • 1.4 Action: Sign grant agreement with eligible Amerindian Communities • 1.5 Action: Disburse micro-grant to eligible Amerindian Communities in line with approved CDPs <p>Activity Result 2: CDP execution</p> <ul style="list-style-type: none"> • 2.1 Action: Train Management Committees in business development and project management • 2.2 Action: Facilitate technical assistance for the business ventures specified by respective CDPs • 2.3 Action: Develop community knowledge management network to strengthen resident community capacity to respond to business development needs 	
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⁵ These breakeven figures are based on expectation of the project as there exist no data on business survival rates and hence the baseline is assumed to be zero. Further, rural interior business survival rates and sector specific rates were not available to guide such expectation. To fill this void the policy component of this project will include analysis on business survival rates.

<p>developed in pursuit of community business development</p> <ul style="list-style-type: none"> - Number of management team trained to develop, manage and execute business ventures, including technical support on specific nature of project undertaken - Number of formalized/registered businesses 				
<p>Output 2: Improved linkages with the private sector to further develop value chains</p> <p><u>Baseline:</u></p> <ul style="list-style-type: none"> - None of the communities are participating in identified value chain at start up; - Partnerships with larger firms and community level enterprise are not yet developed. <p><u>Indicators:</u></p> <ul style="list-style-type: none"> - Percentage of villages/communities that are participating in value-chains - Percentage of villages/communities that have developed formal linkages between community level enterprises and larger firms. 	<p>Targets (2014 - 2016)</p> <p>Year 1: 40 per cent; Year 2: 60 per cent; Year 3: 80 per cent of community ventures are part of the value chain</p> <ul style="list-style-type: none"> - Year 1: 15 per cent; Year 2: 35 per cent; Year 3: 50 per cent of linkages between community enterprise and larger firms are established - Year 1: At least 15 partnerships linkages developed in support of community businesses; Year 2: Another 30 partnerships linkages developed; Year 3: 20 partnerships linkages are developed 	<ul style="list-style-type: none"> • Action 1: Assess, facilitate, and improve policy framework that facilitate or inhibit partnership with the private sector • Action 2: Map the value chains for production inputs, and markets for outputs • Action 3: Support development of cluster to facilitate market access and efficiency in production • Action 4: Explore feasible clustering, resource-pooling options as incentives of costing-saving and profits • Action 5: Identify and Select private sector champions to facilitate market linkages • Action 6: Provide market information on commodity prices, access information, inter alia • Action 7: Convene and facilitate dialogue among the relevant institutional stakeholders market 	MOAA, MOA, UNDP	USD 138,000.00

		<p>access and business development</p> <ul style="list-style-type: none"> Action 8: Work with private sector to identify renewable energy solutions for Beneficiaries Communities where necessary on an ongoing basis 		
<p>Output 3: Strengthened Institutional framework to support local economies.</p> <p><u>Baseline:</u></p> <ul style="list-style-type: none"> Local government agencies are currently involved in project implementation and sub-optimally focussed on policy and institutional development to support local economic development There is no clear policy or institutional framework for local economic development <p><u>Indicators:</u></p> <ul style="list-style-type: none"> Extent to which local government agencies (Village councils and MoLGRD) are convening and brokering partnerships to support local economic development; A clear policy and institutional framework delineated that explains the roles of various partners (government agencies, private sector, village councils) in local economic development. 	<p>Targets (2014 - 2016)</p> <ul style="list-style-type: none"> Local government agencies (village council and MoLGRD) are convening and brokering relationship between public sector, private vector and village level enterprises to enable community economic development Framework for local economic development delineated that focuses on Amerindian communities 	<ul style="list-style-type: none"> Action 1: Problem-solve community barriers related to awareness, knowledge, technology and know-how required to operate in identified markets Action 2: Provide market information, appropriate technologies and other useful information in relevant formats Action 3: Provide technical expertise, logistics, and oversight support to the relevant institutional stakeholders to adequately deliver technical assistance/field expertise to community project Action 4: Produce policy and institutional framework that identifies relevant institutions and their role for remote community development 	MOAA, MOA, UNDP	USD 153,420.00
Project Monitoring and Management		<p>Project staff recruitment</p> <p>Monitoring,</p> <p>Missions and Events</p> <p>Evaluation</p>		USD 755,144.00

		Logistics		
UNDP General Management Services				USD 463,660.32
GRAND TOTAL				USD 6,259,414.32

*Note some communities do not have management teams. Where Management teams do not exist the Village Council fills the void.

Annex 4

IV. ANNUAL WORK PLAN

Year: 2014

EXPECTED OUTPUTS	PLANNED ACTIVITIES	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount

<p>Output 1: Strengthened entrepreneurial and Institutional capabilities of the village economy of Amerindian communities.</p> <p>Baseline:</p> <ul style="list-style-type: none"> - Per cent of community ventures financed and operational is zero; - None of the management committees is assessed to be regarded as effective at this start up stage; - 27 communities have functioning management teams; - Zero per cent of the business ventures break-even in the start-up year; - No partnerships linkages exist among communities at this time; - 27 management team has been trained; - None of the business are formalized <p>Indicators:</p> <ul style="list-style-type: none"> - Percentage of community ventures financed that are operational after 1st year - Percentage of community management teams or VC that are regarded as effective in managing community businesses - Percentage of community management teams or VC that are functioning - Percentage of community level businesses that are 	<p>Activity Result 1: CDP operationalized</p> <p>1.1 Action: Operationalize inception events for new Amerindian Communities eligible for micro-grant</p>		MOAA, UNDP	GRIF-ADF	<p>71600-Travel</p> <p>72600-Grant Disbursement</p> <p>75700-Training, Workshops, and Conference</p>	<p>USD 159,204</p> <p>USD 2,000,000</p> <p>USD 196,182</p> <p>16</p>
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	<p>1.2 Action: Identify and Coordinate relevant stakeholders to facilitate support to Communities</p> <p>1.3 Action: Transform CDPs to business plan</p> <p>1.4 Action: Sign grant agreement with all eligible Amerindian Communities</p> <p>1.5 Action: Disburse all first tranche of micro-grant to eligible Amerindian Communities in line with approved CDPs</p>					MOAA, MOA, UNDP	GRIF-ADF				17
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	Activity Result 2: CDP execution							
	2.1 Action: Conduct business development and project management training to communities						71600-Travel	USD 58,200
	2.2 Action: Facilitate technical assistance for the business ventures specified by respective CDPs						72500-Supplies	USD 4,800
	2.3 Action: Develop community knowledge management network to strengthen resident community capacity to respond to business development needs						74500-Miscellaneous Expenses	USD 6,000
							75700- Training, Workshops, and Conference	USD 43,200
Output 2: Improved linkages with the private								

<p>sector to further develop value chains</p> <p><i>Baseline:</i></p> <ul style="list-style-type: none"> - None of the communities are participating in identified value chain at start up; - Partnerships with larger firms and community level enterprise are not yet developed. <p><i>Indicators:</i></p> <ul style="list-style-type: none"> - Percentage of villages/communities that are participating in value-chains - Percentage of villages/communities that have developed formal linkages between community level enterprises and larger firms. <p><i>Targets:</i></p> <ul style="list-style-type: none"> - 25 per cent of operational community ventures are part of the value chain - 25 per cent of linkages between community enterprise and larger firms are established, based on operational community projects. 	<p>Action 1: Map the value chains for production inputs, and markets for outputs</p> <p>Action 2: Support development of cluster to facilitate market access and efficiency in production</p> <p>Action 3: Explore feasible clustering, resource-pooling options as incentives of costing-saving and profits</p> <p>Action 4: Identify and Select private sector champions to facilitate market linkages</p> <p>Action 5: Assess, facilitate, and improve policy framework that facilitate or inhibit partnership with the private sector</p> <p>Action 6: Provide market information on commodity prices, access information, inter alia</p> <p>Action 7: Convene and facilitate dialogue among the relevant institutional stakeholders on market access and business development</p> <p>Action 8: Work with private</p>		MOAA, MOA, UNDP	GRIF-ADF	<p>74500-Miscellaneous Expenses</p> <p>71300-Local Consultants</p> <p>75700-Training, Workshops and Conference</p>	<p>USD 7,200</p> <p>USD 36,000</p> <p>USD 2,800</p>
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<p>Output 3 Strengthened Institutional frameworks to support local economies.</p> <p><u>Baseline:</u></p> <p>- Local government agencies are currently involved in project implementation and sub-optimally focussed on policy and institutional development to support local economic development</p> <p>- There is no clear policy or institutional framework for local economic development</p> <p><u>Indicators:</u></p> <p>- Extent to which local government agencies (Village councils and</p>	<p>Action 1: Problem-solve community barriers related to awareness, knowledge, technology and know-how required to operate in identified markets</p> <p>Action 2: Provide market information, appropriate technologies and other useful information in relevant formats</p> <p>Action 3: Provide technical expertise, logistics, and oversight support to the relevant institutional stakeholders to adequately deliver technical assistance/field expertise to community project</p>					MOAA, MOA, UNDP	GRIF-ADF	<p>71600-Travel</p> <p>74100-Professional Services</p> <p>74500-Miscellaneous Expenses</p> <p>75700-Training, Workshops and conference</p>	<p>USD 42,460</p> <p>USD 14,400</p> <p>USD 7,200</p> <p>USD 1,200</p>
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Project Management	Action 1: Procure project staff						71300-Local Consultant	USD 123,288
	Action 2: Set-up project office and operational costs						60000-Regular staff cost	USD 48,000
	Action 3: Project Board Meeting						73400-Maintenance	USD 2,400
	Action 4: UNDP Technical support						72500-Supplies	USD 2,400
							71600-Travel	USD 43,000
							72200 Equipment and Furniture	USD 11,000
							72400-Communication and ICT	USD 14,960
							75700-Training, Workshops and conference	USD 3,000
General Management Services								USD 226,151.52
TOTAL								USD 3,053,045.52

Annex 8

Risk Log

Project Title: Amerindian Development Fund			Award ID:		Date:	
#	Type / Description	Date Identified	Impact & Probability	Countermeasures / Management response	Owner	Status
1	Absence of resident training and trainers: the remoteness of some villages does not allow for quick reaction to technical difficulties of implementation. Arduous terrain (and infrastructure challenges) makes it costly too.	September 2013	P=3 I=3	Constantly engage communities, and facilitate an efficient means and mode of communication to keep abreast and monitor challenges that might derail project expectations	MOAA	
2	Environmental: Extreme and unpredictable rainfall which causes flooding results in lengthy work delays; and renders some communities in accessible.	June 2013	This is seasonal P = 4 I = 4	Take this risk into account during the planning of activities. Consult with communities as to their availability and seasonal activities.	MOAA, MOA	
3	Other: Communities use of traditional practices, which are not green techniques; or community's loyalty to traditional ways of doing business.	August 2013	The number of villages engaged in agriculture ventures are very high P = 3 I = 4	Train communities in the use of green strategies of production, and monitor closely the application of these techniques.	MoAA, UNDP, MOA	
4	Security risk: Associated with transferring monies based on the modality chosen, and the high use of cash transactions.	August 2013	P=2 I=5	Adapt safe methods of money transfer. Reduce cash transactions through direct procurement, or direct payments	MOAA	
5	Enabling environment: The requisite partnerships for facilitating and	August 2013	P=3 I=4	A discussion about and establishment of policies that strengthens the enabling	MOAA,	

	motivating a critical mass of links to markets sufficient for commercialising production at the community level do not exist.			environment will be pursued. This is necessary for ensuring the sustainable successes of business ventures by Amerindian Communities	OP	
6	Financial Risk: Inability to access adequate resources in a timely manner. Further, community ventures that are above the value of the capital grant, or lack of comprehensive budgets, or inflation of prices.	August 2013	P=3 I=4	Track very carefully the use of the funds and request release of funds in a timely manner. Review and revise budget of CDPs and Stipulate a budget range to assist with inflationary pressures, and/or cost omissions in budgets.	MOAA	
7	Operational: Capacity of the implementing agencies to delivery in a timely manner.	January 2013	P=4 I=5	Implement recommendations from capacity assessment, and give all necessary support where needed for the execution of tasks. Hire a fulltime project manager and associate to take responsibility for the day-to-day functioning of the project.	MOAA UNDP MOA	
8	Competitiveness Risks: Given the multiple factors that affect the competitiveness of rural businesses, more so those in remote locations such as high cost of transportation, support services, standards, economies of scale, integration, clustering etc.	February 2014	P=5 I=5	Promote synergy with other projects, for example ICT, Energy, other community grant schemes going to Amerindian villages. This is geared towards optimizing the enabling environment for rural interior businesses.	MOAA UNDP OP	
9	Business Survival Risks: No data exist on the survival rates of small and micro enterprise, particularly those that exist within the rural interior. These risks are not available for sector as well.	February 2014	P=5 I=5	Monitoring closely the operations of the business ventures, provide timely support, and work with relevant stakeholders to find market outputs of the various business ventures. At the policy level conduct analysis on business survival rates to guide future projects.	MOAA UNDO OP	

Annex 9

CDP Selection Process

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 Toshao and the Village Councils initiated and facilitated discussions with the members of the village. CDOs and MoAA staff provided support in the facilitation of CDP discussions and guidance with Village Councils in Amerindian Villages, where all the necessary information for the template was 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 other necessary areas. The facilitators encouraged the village, Toshao 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 meeting. The village prioritized three projects, one of which was identified for initial funding.

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

Step 4: Documentation – Based on discussions during community dialogues, the draft CDP was 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

