

**DOMINICA EMERGENCY AGRICULTURAL LIVELIHOODS & CLIMATE  
RESILIENCE PROJECT (DEALCRP)**

**INDIGENOUS PEOPLE PLANNING FRAMEWORK (IPPF)**



**SECOND DRAFT**

**September 11, 2018**

## **LIST OF ACRONYMS**

APO	Agriculture Producers Organization
ARAP	Abbreviated Resettlement Action Plan
CARICOM	Caribbean Community
CBA	Cost-Benefit Analysis
CER	Contingency Emergency Response
CERC	Contingency Emergency Response Component
CLF	Central Livestock Farm
CREAD	Climate Resilient Execution Agency for Dominica
CRW	Crisis Response Window
DA	Designated Account
DVRP	Disaster Vulnerability Reduction Project
EFA	Economic and Financial Analysis
EHS	Environmental, Health, and Safety
ERR	Economic Rate of Return
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
EX-ACT	Ex-Ante Carbon-Balance Tool
FAO	Food and Agriculture Organization of the United Nations
FFS	Farmer Field School
FM	Financial Management
FPIC	Free, Prior Informed Consent
GDP	Gross Domestic Product
GHG	Greenhouse Gas
GoCD	Government of the Commonwealth of Dominica
GRM	Grievance Redress Mechanism

HCP	Higher Carbon Price
IFMIS	Integrated Financial Management Information System
IFR	Interim Financial Report
IPF	Investment Project Financing
IPP	Indigenous Peoples Plan
IPPF	Indigenous Peoples Plan Framework
ISM	Implementation Support Mission
IST	Implementation Support Team
LCP	Lower Carbon Price
M&E	Monitoring and Evaluation
MAF	Ministry of Agriculture and Fisheries
MIS	Management Information System
MoF	Ministry of Finance
NPV	Net Present Value
OECS	Organization of Eastern Caribbean States
PDO	Project Development Objective
PDNA	Post-Disaster Needs Assessment
PIU	Project Implementation Unit
POM	Project Operations Manual
PPSD	Project Procurement Strategy for Development
PSAF	Permanent Secretary for Agriculture and Fisheries
PSC	Project Steering Committee
RPS	Regional Partnership Strategy
SAP	Safeguard Action Plan
SDG	Sustainable Development Goal
ToR	Terms of Reference

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## **1.0 INTRODUCTION**

1) This Indigenous Peoples Planning Framework (IPPF) is developed in line with relevant Dominican laws and regulations and relevant World Bank Safeguards Policies. The purpose of the IPPF is to guide in screening of proposed sub projects, identify specific environmental and social risks and impacts associated with the proposed sub projects, establish mitigation measures and how to operationalize, including specific safeguards instruments, principles, organizational arrangements, and design criteria to be applied to meet the needs of the people who may be affected by the various sub-projects. The IPPF, therefore, is prepared to guide and govern the subprojects that are selected for financing and sets out the elements that will be common to all subprojects that will entail mitigation measures.

2) The project will trigger OP 4.10 - Indigenous Peoples. Dominica's indigenous community, the Kalinago, is among the locations where project investments will be made. Impacts are overall expected to be positive. The main risks are to ensure that farmers who meet the eligibility criteria can participate and receive the benefits packages and technical assistance. The Indigenous Peoples Plan (IPP) will ensure that residents of the Kalinago Territory are provided the appropriate crop packages and are aware of the project and how to participate using culturally appropriate channels to ensure their free, prior informed consultation.

### **1.1 Safeguards Action Plan (SAP)**

3) The project is being designed under the World Bank's Condensed Procedures contained within OP 10.00, paragraph 12: Projects in Situations of Urgent Need of Assistance or Capacity Constraints or as a result of natural or man-made disasters. This satisfies the requirements for this project to be designed under OP 10.00, paragraph 12. Once paragraph 12 is triggered, the safeguards preparation may be deferred until an appropriate time. A Safeguards Action Plan (SAP) is prepared with instruments and timing of their disclosure agreed to with the Government.

### **1.2 Background Information**

4) The National Government through the Ministry of Agriculture, and Fisheries with support from the World Bank is preparing the Dominican Emergency Agricultural Livelihoods and Climate Resilience Project (EALCRP). Dominica is particularly vulnerable to natural disasters

from meteorological and geophysical events. Due to its location within the Atlantic hurricane belt, high-intensity weather events continue to have adverse effects on vulnerable populations and the productive sectors of the country's economy. The topographic conditions mean that human settlements and physical development are concentrated along narrow coastal areas (particularly in the south and west), with almost 62 percent of the island's population living along the coast.

- 5) According to the 2011 census, the total population of Dominica stood at 71,293, with almost equal male and female population. More than a quarter of the country's population (25.1%) comprise children ages 0-14 years, while the 15 – 24 age group makes up 16.8 percent. And therefore, cumulatively, more than 40 percent of Dominica's population is comprised of children and youth while the working age population (15-64 years) account for 65.3 percent of the total Dominica's population, with the aged population (65 years or older) accounting for 11.5 percent. Persons with Disabilities are roughly 5.2 percent.
- 6) Poverty levels in Dominica have declined. The unemployment rate in the poorest quintile was 27.8 percent and for quintile II the unemployment rate was 17.6 percent. However, based on a 2017 National Employment Programme, Unemployment Survey, unemployment rate is estimated to be around 10 percent. Strong education rates for women do not yield strong labor force participation rates because women have limited access to land and decision-making platforms and are burdened with care of the family making it more difficult to enter into the formal labor force.
- 7) Hurricane Maria hit the island of Dominica on September 18, 2017, with catastrophic effects. Hurricane Maria made landfall as a Category 5 storm (Saffir-Simpson scale), with winds exceeding 170 miles per hour (mph). Hurricane Maria was one of the most rapidly intensifying storms in recent memory, strengthening from a Category 2 to Category 5 hurricane in less than 12 hours. According to official sources, 30 persons lost their lives and 34 persons were declared missing. The Prime Minister declared a State of Emergency on September 20, 2017.



- 8) The agriculture and fisheries sectors were among the most affected sectors and suffered high damages and losses, severely affecting the livelihoods of the predominantly small-scale farming community. An estimated 80–100 percent of root crops, vegetables, bananas, and plantains and 90 percent of tree crops were damaged. Livestock losses are estimated to be 45 percent of cattle, 50 percent of small ruminants, 65 percent of pigs, and 90 percent of chicken stocks. Together with damages to farm buildings and equipment, the crop and livestock sectors suffered a total loss estimated at US\$179.6 million. The fisheries sector was also heavily affected, where it is estimated that about 370 vessels were damaged or destroyed, as well as much of the fishing gear and engines. Overall, the situation is expected to dramatically affect crop and livestock production in 2018 and beyond, particularly vegetable, tree crop, poultry, and pork production, which would seriously threaten people's livelihoods as well as food and nutrition security. The hurricane defoliated almost all trees and totally uprooted an estimated 10 20 percent of tress, and severely damaged the entire infrastructure of the Forestry Department (forestry and national parks buildings, nurseries, trail infrastructure).
- 9) The agriculture sector plays a critical role in Dominica's economy, contributing 19 percent to the country's GDP and employing around 25–40 percent of the workforce. The sector has always been and continues to be very important for Dominica, determining food and nutritional security outcomes and representing a key driver of economic activity.
- 10) Although, crop production dominates the agriculture sector (it contributed 86 percent to total agriculture production in 2015), diversification of produce is increasingly characterizing the sector. Main crops are plantain, coconut, grapefruit, lime, orange, mango, avocado, papaya, and hot pepper. Root crops such as tannia, dasheen, and yam have also gained in prominence, although primarily at a regional level with lower quantities exported. Livestock production contributed 7.8 percent to total agriculture production in 2015. Egg production is considered the most important livestock activity in the country, followed by raising pigs and small ruminants.

11) The fisheries sector also plays a crucial social and cultural role in Dominica. At present, although characterized as artisanal, the fisheries sector comprises around 440 small fishing vessels. Overall, the fisheries sector employs approximately 2,200 people, and a total of 7,100 persons depend on the sector for their livelihoods. The total forest area on the island is 47,580 ha, of which 80 percent is controlled by the Government and only around 9,552 ha are classified as usable forest estate. The main value of the forest in Dominica lies in ecotourism and environmental services for the provision of water and erosion control.

12) Agricultural production continues to be severely constrained in Dominica due to small farm sizes and limited arable land. In addition, a continuous concern is the low level of farm productivity, primarily caused by a lack of mechanization, limited technical knowledge, and poor irrigation. Labor availability is another increasing constraint for small-scale farmers, mostly due to urban migration and the low level of incomes associated with farming. Overall, the sector lacks adequate financing and adequate farm infrastructure and is characterized by a very fragmented and unorganized private sector. Women represent about 20 percent of total farmers and are primarily engaged in producing tuber and root crops and vegetables for both food self-sufficiency and local markets. Most of them head single-parent households and, hence, are highly vulnerable.

13) Immediate recovery requires extensive involvement of the Government, which entitles significant strengthening of institutional capacity of the public sector mainly the Ministry of Agriculture, Food and Fisheries (MAFF) over the medium term. The longer-term rehabilitation efforts should have strong market-based elements to ensure the sustainability of efforts. Public-private partnerships in new agricultural investments should be promoted to stimulate the local economy and create employment while building greater resilience against market, production, and climate change variability into the system. Also, there are emerging new agricultural technologies and practices available regionally and globally considered essential to enhancing climate resilience and productivity, which need to be gradually introduced by additional investments and with the help of regional and global agriculture research organizations.

14) Current weather patterns give an idea of the type of climate and disaster risks to be expected in the future, implying future climate scenarios of warming and drying and thus more frequent heat waves and droughts, which would threaten Dominica's dominant economic sectors, including agricultural production. These possible weather patterns could affect the types of crops to be grown and already unstable areas will experience a greater risk and the frequent occurrence of landslides and flooding, requiring the introduction of new land and water management tools to avoid threats to national food security. The increasing risk of rising sea levels can also result in accelerated coastal erosion, higher flood risk, damage to coastal infrastructure and permanent loss of land. Vulnerability assessments, hazard mapping, and disaster risk management and adaptation measures need to be better researched and implemented to address these discrepancies, and improvements are required to be introduced to the country's meteorological services. There is little evidence of integration of climate change adaptation or awareness into current disaster risk management plans. Therefore, improved coordination and collaboration between community disaster organizations are needed, including preparedness and response and mitigation capacity among public, private, and civil sector entities for local level management and response.

15) The Prime Minister of Dominica declared that reviving and rebuilding the agriculture and food sector is a key priority of the Government of the Commonwealth of Dominica (GoCD), given its essential roles in food and nutrition security, employment, and income generation, especially for the poor and vulnerable rural population. While the consequences of the hurricane are devastating, they also create an opportunity to rebuild a more climate-resilient and competitive agriculture and food system.

16) Dominica's population is 73,543 people with 11.3 percent unemployed (2011). Poverty levels in Dominica have declined, falling from 38 percent of the population in 2003 to 28.8 percent in 2009 (around 21,000 people are considered poor). Rural poverty continues to represent a major challenge, with 75 percent of the poor living in rural areas. Poverty rates were similar among men (28.8 percent) and women (28.9 percent). The indigenous Kalinago people, representing 5 percent of the total population, have a particularly high incidence of poverty with a rate of 49.8 percent (approximately 1,600 individuals).

17) This Indigenous Peoples Planning Framework (IPPF) for the Dominica Emergency Agricultural Livelihoods and Climate Resilience Project describes the principles and procedures of incorporation or inclusion of the Kalinago community within the DEALCR Project. Broadly the Dominican Emergency Agricultural Livelihoods and resilience Project ESMF has triggered OP/BP 4.10 because the community in Kalinago Territory are IP and are present in, and have a collective attachment to the project area. This community meets the characteristics of the indigenous peoples as explained in the World Bank OP/BP 4.10. These characteristics are distinct. The term Indigenous Peoples refers to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: self-identification and identification by others; collective attachment to land and natural resources; customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and indigenous Kalinago language for example. Therefore, generally, OP/BP 4.10 demands the following that: any development process fully respects the dignity, human rights, economies and cultures of IPs; the project being implemented shall avoid potentially adverse effects on the IPs; when avoidance is not feasible, minimize, mitigate or compensate such effects; and the project shall ensure that IPs receive social and economic benefits that are culturally appropriate and gender and inter –generationally inclusive. And so, the Kalinago people satisfy both the Government of the Commonwealth of Dominica (GoCD) laws and regulations and World Bank safeguards policies.

18) The proposed project builds on World Bank immediate response activities and post-disaster support following Hurricane Maria. Shortly after Hurricane Maria, the Contingency Emergency Response Component (CERC) of the ongoing World Bank-supported Disaster Vulnerability Reduction Project (DVRP) was triggered, channeling some funds to unconditional cash transfer programs to provide immediate support to commercial and small farmers and aid in the recovery of small and microenterprises. The proposed Emergency Agricultural Livelihoods and Climate Resilience Project complements the role of partners in addressing the first phase of agricultural sector’s recovery and leverages the World Bank’s global experiences in post-disaster recovery and reconstruction in the Caribbean (for

example, Haiti, Grenada), as well as post-hurricane emergency recovery loans in small island states.

19) This proposed Emergency Agricultural Livelihoods and Climate Resilience Project is being prepared as part of an overall development partner initiative to support medium- and long-term recovery in Dominica and is part of a broader World Bank recovery portfolio, comprising also a Housing Recovery and Project Disaster Vulnerability Reduction Project (DVRP). The World Bank's investments in agriculture, housing, and infrastructure were informed by the outcomes of the post disaster needs assessment (PDNA) led by the World Bank. This overall program of support complements and aligns with other development partner initiatives and fills critical gaps.

20) Based on the urgent need for assistance, the proposed project operation meets the requirements of the World Bank Operations Manual, as stated in paragraph 12 of Operational Policy 10.00 (referred as OP 10.00) on "Projects in Situations of Urgent Need of Assistance or Capacity Constraints". The additional flexibility as defined in paragraph 12 and condensed procedures for preparation will help contribute to the timely restoration of agriculture and livelihoods.

## **A.2 Description of Project Areas**

21) The project is a nationwide one and well positioned to contribute to Dominica's Nationally Determined Contribution, which includes the promotion of food security through climate-resilient agricultural and fisheries development, among its key priorities for building climate resilience. The project also contributes to the attainment of 3 of the 17 Sustainable Development Goals (SDGs): (a) SDG1 on ending poverty in all its forms; (b) SDG2 on ending hunger, achieving food security and improving nutrition, and promoting sustainable agriculture; and (c) SDG13 combating climate change and its impacts.

### **A. 3 PDO-Level Results Indicators**

- 22) The key results indicators to assess project outcomes are the following:
- a) Farmers and fisher folk reached with productive assets and services (of which female beneficiaries). Here at the intermediate, the numbers coming from the IP community needs to be captured;
  - b) Crop area restored (including high-value crops) -% for the IP communities at the intermediate output indicators; and
  - c) Farmers adopting improved agricultural technologies (including climate resilience) (including female beneficiaries). Based also on the livelihood activities for the IP community capture also the data at this level.

### **1.3 Project Development Objective (PDO)**

The Project Development Objective (PDO) is to contribute to ‘restoring agricultural livelihoods and enhancing climate resilience of farmers and fisher folk affected by Hurricane Maria in Dominica’.

### **1.4 Project Beneficiaries**

23) The direct beneficiaries of the project are crop and livestock farmers, fisher folk, and producer organizations affected by Hurricane Maria in all ten parishes of Dominica. An estimated 4,900 individual farmers and fisher folk are expected to benefit directly from the project. At least 20 percent of the beneficiaries will be rural women, most of whom head single-parent households and are one of the population groups<sup>1</sup> that have been most affected by the hurricane. Technical and managerial staff of the MAF and other participating organizations will benefit from the project through training and capacity-building activities in climate resilience and agribusiness.

## 1.5 Project Description

24) The Dominican Emergency Agricultural livelihoods and Climate Resilience Project is a nationwide project being implemented under the Ministry of Agriculture and Fisheries. It has four components namely: Component A: Restoration of Productive Base for Recovery of Agricultural Livelihoods with three sub components:

25) *Subcomponent A.1: Restoration of Cropping Systems* - This subcomponent will provide support in recovery of the production capacity of small- and medium-size crop farmers,<sup>2</sup> as well as commercially oriented farmers<sup>3</sup> integrated in value chains and help in the gradual restoration of their livelihoods and in retaining their market shares, through provision of (a) an essential package of inputs (mainly improved quality seeds and fertilizers), tools, and materials for the replanting or restoration of crops and (b) technical and advisory services and training to support the adoption of technology and use of climate-smart practices for increasing diversification and climate resilience at the landscape level.

26) The subcomponent will primarily focus on different support intervention lines to cover the direct assistance to the main types of beneficiaries: (a) small- and medium-size crop farmers (most of them currently growing annual crops)<sup>4</sup> and (b) medium-size commercial farmers (mostly producing high-value perennial/tree crops already inserted in value chains).<sup>5</sup> In addition to the provision of support (key inputs), the beneficiaries will receive technical assistance through the MAF's extension services (to be strengthened in parallel by the project through training, institutional strengthening, and increased mobility), as well training through participation in farmer field schools (FFSs), demonstration/dissemination events of technical practices and technologies in field days, and other extension/technology dissemination activities organized by the MAF under the project. This training and technical assistance will be particularly focused in the adoption of new and effective technologies and modern inputs to gradually increase climate resilience in the agricultural sector.

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<sup>2</sup> For simplicity, the farm size is defined in the total land occupied (either owned or rented). Small farmers: up to 0.8 ha (2 acres); medium-size farmers: up to 2.02 ha (5 acres).

<sup>3</sup> Mostly commercial farmers have an area between 2 ha and 10 ha (5 to 25 acres), are competitive in producing higher-value crops, and inserted into developed value chains (generally producing perennial crops and fruits).

<sup>4</sup> Such as dasheen, tannia, yam, sweet potato, banana, and vegetables.

<sup>5</sup> Such as coconuts, cocoa, citrus, coconuts, avocado, and coffee.

27) **The second Subcomponent A.2: Restoration of Livestock and Fisheries Systems** - Aims to help in restoring production capacity and livelihoods of livestock farmers and fisher folk, enhancing climate resilience and efficiency of production systems, and promoting agribusiness capabilities. Under this subcomponent, the project will finance procurement of inputs and materials needed by the livestock farmers and the fisher folk and boat builders, any necessary consultant and technical advisory services and beneficiaries training, and incremental operational expenses for the MAF's field extension agents assisting these beneficiaries and for the distribution of inputs.

28) *Support to medium-scale commercial livestock farmers* - The livestock interventions under this subcomponent aim to reestablish the livestock production base that was severely damaged by Hurricane Maria and build a more sustainable and climate-resilient sector. Support to fisher folk - The fishery subsector interventions are aimed at restoring fish supply and contributing to livelihoods restoration and revenue streams in the local economy.

29) *The third Subcomponent A.3: Building of Climate Resilience and Agribusiness Capabilities - supports Climate resilience.* To adequately support the investments at the farm level under Subcomponent A.1, the project will provide technical assistance for development of more productive and climate-resilient systems, through recruitment of international experts to prepare development strategies specifically needed in Dominica's context (based on the current situation, vulnerability conditions, relative competitiveness constraints, and development strategy) for key agricultural products (either presently being grown or to be introduced) that will inform investment directions with regard to changing weather patterns, natural disasters, and market opportunities, as well as providing long-term development directions for each crop industry. These experts will also train extension agents, rural workers, and farmers in crop production; introduction of new crops varieties; and other topics such as climate-smart agricultural practices, water management and harvesting, marketing, business management, and improved postharvest handling techniques. Therefore, the subcomponent will finance consulting services (firms and/or individuals), non-consulting services including advisory and training services, and capacity-building inputs and events.



30) **Agribusiness:** This subcomponent will also contribute to building agribusiness capabilities among small- to medium-size crop and livestock farmers and fisher folk who would have benefited under Subcomponents A.1 and A.2. Customized training under the subcomponent will target small farmers and fisher folk who are members of cooperatives or formal agriculture producers' organizations (APOs). **Component B: Restoration of Key Productive Infrastructure and Institutional Strengthening has the following sub components: Subcomponent B.1: Restoration of Key Infrastructure in Agriculture, Livestock, and Forestry** - This subcomponent will help in restoring key public sector's infrastructure and assets damaged by the hurricane and reestablish the essential public services. The second sub component.

31) **Subcomponent B.2: Institutional Strengthening and Capacity Building of MAF** - The project will provide capacity-building assistance to the MAF in the core areas of (a) project management (establishment of Management Information Systems, management of social and environmental issues, public-private partnerships, efficient use of private financial services, agribusiness, etc.); (b) conducting analytical studies to support the revision of policies and regulatory frameworks (risk transfer mechanisms, national certification systems, agricultural information systems, and revision of the Fisheries Act); (c) building capacity for carrying out agricultural census/survey, assessment of the MAF's readiness for conducting such a census/survey; (d) conducting several analytical studies on key areas to support ongoing efforts to strengthen the institutional structure of the MAF; (e) contributing to developing an e-agriculture strategy for the agriculture, fisheries, and forestry sectors; (f) contributing to developing an integrated management information system (MIS) for the agriculture sector; and (g) supporting the efforts to develop a fisheries community insurance model (building resilience and reducing the potential risks). Items to be procured by the project include specialized consulting services (individuals and firms), non-consulting services including advisory and training services, training events, related inputs, and incremental operating costs.

32) **The third Component C: Project Management and Coordination:** will support the establishment of the PIU within the MAF, to serve as the unit responsible for the overall implementation and coordination of the project activities, as well as the setting up of the Implementation Support Team (IST) to be established within the Ministry of Finance (MoF).

The PIU will have overall implementation responsibilities of the project within the MAF. The overall safeguards advisory and fiduciary (procurement and Financial Management (FM)) responsibilities of the project will rest within the PIU, which will benefit from close, hands-on procurement support from the shared services of the IST, in support of post-Maria recovery efforts.

33) **Component Z: Contingency Emergency Response**-is the fourth component whose objective is to support the Government's emergency response and reconstruction in the event of an eligible emergency. An eligible emergency is an event that has caused, or is likely to imminently cause, a major adverse economic and/or social impact associated with natural or man-made crises or disasters. At the request of the Government, the World Bank will reallocate uncommitted funds from other components into this component. The mechanism for declaration of emergency would be in accordance with current local legislation in Dominica. At the moment, the Declaration of the State of Emergency is done by the President of the Commonwealth of Dominica, in accordance with the Emergency Powers (Disaster) Act No. 20 of December 17, 1987 Chapter 15:03 of the revised laws of the country.

34) The OP. 4.10 is being triggered for Components A and B (see table 1). The project is nationwide but the indigenous community is found in Kalinago area that meet the criteria of OP 4.10. Since the location of the sub-projects are not yet identified, this IPPF is being prepared to guide the preparation of specific plans to mitigate any negative effects and to enhance benefits of the Dominican sub-projects once the proposals have been approved for funding. The IPPF will be disclosed before project appraisal. It outlines the processes and principles of: (a) screening to determine if a proposed sub-project investment will be undertaken in the vicinity of the indigenous communities; and (b) the preparation of Indigenous peoples Plan Framework (IPPF), including the social assessment process, consultation and stakeholder engagement, disclosure procedures, communication and grievances redress system. A detailed IPPF is also being prepared for guiding sub projects undertaken within and for the indigenous peoples.

35) The IPPF is to serve as a guidance to mitigation of the environmental and social risks and impacts to arise out of implementation of the project. In addition, the framework describes the

principles and approaches to be followed for selecting, avoiding, minimizing, reducing and/or mitigating the adverse environmental and social impacts on farmers in the Kalinago Territory due to the implementation of the project. The document is intended to ensure that, for all activities financed by the project, efforts are made to avoid and minimize environmental and social impacts; and where they cannot be avoided, that these impacts are identified, and necessary mitigation measures are developed and implemented following relevant Dominican laws and regulations and World Bank safeguards policies.

### **1.6 Rational for Indigenous Peoples Plan**

36) Background on Dominica is the only Eastern Caribbean that still has a population of pre-Columbian native Kalinago (previously known as Caribs) who were nearly exterminated on other neighboring islands. The Kalinago in Dominica fought against the Spanish and later the European settlers for two centuries. Overtime their population declined and they were forced into remote regions of the island as European settlers imported African slaves.

37) The first reservation of land for the natives occurred in 1763 when 232 acres (0.94 km<sup>2</sup>) of mountainous rocky shoreline around Salybia, on the east coast, were set aside by British colonial authorities. In 1902, Henry Hesketh Bell, the Administrator for Dominica, sent a lengthy report to the Colonial Office on the state of the Carib people after he had visited its communities.<sup>[6]</sup> He proposed that 3,700 acres (roughly 2% of Dominica's area) be set aside for the Caribs, and that a Carib "Chief" be officially recognized and given a token annual allowance of 6 pounds. Bell's proposals were adopted in 1903, formally establishing the Carib Reserve. Its boundaries were announced in the *Official Gazette* of Dominica on 4 July 1903.

38) The Kalinago Territory, previously known as the Carib Territory/Carib Reserve is a 3,700 acre (15km<sup>2</sup>) district located in the northeast of Dominica in the Saint David Parish. Its population remained largely isolated from the rest of the island throughout most of the 20<sup>th</sup> century with only a ceremonial chief and no other formal self-governance. The Kalinago Territory Act (the then Carib Reserve Act) enacted in 1978, the year of Dominica's independence, reaffirmed the boundaries of the Kalinago Territory and legally established common ownership of land within the Reserve.

39) The present population of the Kalinago Territory is estimated to be 3300 residents which makes it the largest settlement of indigenous people in the Caribbean. Legal residents share communal ownership of all land within the Territory. The Kalinago Territory has limited local government in the institutions of the Kalinago Council, and its head the Kalinago Chief, which are the equivalent in power of village councils and council chairpersons elsewhere in Dominica.

40) A modern movement in the Kalinago Territory has supported the rediscovery and preservation of Kalinago culture. This has been fueled in part by Dominica's tourist industry. A model Kalinago village was established in the Territory in 2006. Cultural preservation groups stage performances at the model village and other locations, and practice traditional Kalinago crafts, such as making baskets and pottery, that are sold to tourists as souvenirs.

41) Category 5 Hurricane Maria (which would later strike Puerto Rico) made a direct hit onto Kalinago Territory in September 2017 causing severe damage to the territory, leaving residents in need. Electricity, internet, and wired telephone service became unavailable in the territory and remained so for several months.

42) The IPPF provides information about the project's environmental and social context, social and environmental risks and mitigation measures, institutional arrangements, monitoring indicators, and capacity building and training requirements. It aims to ensure that potential negative environmental and social impacts from project activities are avoided, if not reduced, minimized or mitigated, while positive impacts are encouraged and enhanced, all in line with Dominican laws and regulations and applicable World Bank safeguard policies.

43) This Indigenous Peoples Plan Framework (IPPF) sets out:

- ✓ The types of sub-projects likely to be proposed for financing under the project.
- ✓ The potential positive and adverse effects of such sub-projects investments on IPPs.

- ✓ A plan for carrying out the social assessment for such sub-projects.
- ✓ A framework for ensuring free, prior, and informed consultation with the affected IPPs at each stage of project preparation and implementation.
- ✓ Institutional arrangements (including capacity building where necessary) for screening project-supported activities, evaluating their effects on IPPs, preparing IPPs, and addressing any grievances.
- ✓ Monitoring and reporting arrangements, including mechanisms and benchmarks appropriate to the project.

44) The IPPF will be a ‘living document’ enabling updates and revision as necessary. Any unexpected circumstances and/or changes in the project design will be assessed, and appropriate management or mitigation measures will be incorporated through updates to the IPPF. Such updates will also account for any change introduced in the legal, regulatory, and/or institutional regime in the country. The revision will be done based upon mutual agreement between the GoCD and World Bank. The revised/updated IPPF will be cleared by the Bank and re-disclosed locally and in the World Bank External website.

## **2.0 LEGISLATIVE AND INSTITUTIONAL FRAMEWORK APPLICABLE TO DOMINICA INDIGENOUS PEOPLES**

### **2.1 National Regulation on Indigenous Peoples**

45) The Government of the Commonwealth of Dominica has led the movement for the protection of the indigenous peoples following attainment of Independence from Great Britain. The Kalinago Reserve Act of 1978 provides for the establishment of a body corporate for the administration of the Reserve and for matters connected therewith.<sup>6</sup> The Act provides authority and responsibility to the Kalinago Council for the management of the Kalinago Territory.

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<sup>6</sup> Kalinago Act of 1978 <http://www.dominica.gov.dm/laws/chapters/chap25-90.pdf>

46) Prior to March 2015, the Kalinago Territory was referred to as the Kalinago Reserve; an amendment dated 12<sup>th</sup> March 2015 cited the change from Kalinago Reserve Act to Kalinago Territory Act. The Act describes the establishment of the office of the Kalinago Chief, the Constitution, and powers of the Kalinago Council. Specifically, it gives various powers to the Kalinago Chief and the Kalinago Council and outlines responsibilities of the Minister responsible for the Council. The Act further outlines the means of conducting elections for Council Members and the Chief and indicates how funds are to be used on behalf of the Territory and provide the Kalinago Council with powers to institute various bylaws pertinent to the management of the community.

47) The Council is further organized into Hamlet Development Committees, governed by a constitution prepared by the Council. There are 8 hamlets in the Territory; however, there are seven (7) Hamlet Development Committees (since 2 hamlets were combined). The committees serve as branches to the Kalinago Council which lends to the effective management of the Territory.

48) The Department of Kalinago Affairs was established in the year 2000 to address the needs of the local Kalinago people in the Kalinago Territory and by extension, Dominica. It was headed by a Parliamentary Secretary. In 2005, the Department was changed to the Ministry of Kalinago Affairs. The mission of the Ministry of Kalinago Affairs is to work towards the improvement of the socio-economic condition, the preservation and promotion of the cultural heritage of the people of the Kalinago Territory and Atkinson, and to facilitate the vigorous promotion of the integration of Dominica's Indigenous People into the socio-economic life of the wider Dominican society.

49) The Ministry's strategic objectives include:

- i) Restore crops, livestock and fisheries enterprises affected by Hurricane Maria;
- ii) Facilitate community participation in the decision making process re the development of the communities;
- iii) Improve of access to finance and credit for the Kalinago people;

- iv) Increase awareness of the traditional and cultural heritage of the Kalinago people and their role in livelihood protection;
- v) Collaborate with other Ministries, departments and organizations for the implementation of development plans and projects in the Kalinago Territory; and
- vi) Undertake activities aimed at the building organizational and enterprise capacity of the Kalinago people.

50) The Indigenous and Tribal Peoples Convention – ILO Convention 169 of 1989 entered into force September 5, 1991. In summary, the ILO Convention 169 has been ratified by twenty-three (23) countries to date; the most recent being Luxembourg. Convention 169 recognizes the aspirations of indigenous peoples to exercise control over their own institutions, ways of life and economic development and to maintain and develop their identities, languages and religions, within the framework of the States in which they live; and acknowledging that in many parts of the world these peoples are unable to enjoy their fundamental human rights to the same degree as the rest of the population of the States within which they live, and that their laws, values, customs and perspectives have often been eroded. The Convention therefore, positions at the frontline, the distinctive contributions of indigenous and tribal peoples to the cultural diversity and social and ecological harmony of humankind and to international co-operation and understanding.<sup>7</sup>

51) In September 2007, the Government of the Commonwealth of Dominica ratified ILO 169, the Indigenous and Tribal Peoples Convention<sup>8</sup> – and signed the UN Declaration on the Rights of Indigenous Peoples. The Declaration establishes a universal framework of minimum standards for the survival, dignity, well-being and rights of the world's indigenous peoples. The Declaration addresses both individual and collective rights; cultural rights and identity; rights to education, health, employment, language, and others. It outlaws discrimination against indigenous peoples and promotes their full and effective participation in all matters that concern them. It also ensures their right to remain distinct and to pursue their own priorities in economic,

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<sup>7</sup> <http://www.humanrights.se/wp-content/uploads/2012/01/C169-Indigenous-and-Tribal-Peoples-Convention.pdf>

<sup>8</sup> [http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200\\_COUNTRY\\_ID:103311](http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNTRY_ID:103311)

social and cultural development and explicitly encourages harmonious and cooperative relations between States and indigenous peoples.

## **2.2 The United Nations Declaration on Indigenous Peoples**

52) The United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) was adopted by the General Assembly on Thursday, 13 September 2007, by a majority of 144 states. Today, the Declaration is the most comprehensive international instrument on the rights of indigenous peoples. It establishes a universal framework of minimum standards for the survival, dignity and well-being of the indigenous peoples of the world and it elaborates on existing human rights standards and fundamental freedoms as they apply to the specific situation of indigenous peoples.

53) Relevant to the development of the Indigenous Peoples Plan, Articles 26, 27 and 28 of the Declaration provides guidance as follows:

1. Indigenous peoples have the right to the lands, territories and resources which they have traditionally owned, occupied or otherwise used or acquired.
2. Indigenous peoples have the right to own, use, develop and control the lands, territories and resources that they possess by reason of traditional ownership or other traditional occupation or use, as well as those which they have otherwise acquired.
3. States shall give legal recognition and protection to these lands, territories and resources. Such recognition shall be conducted with due respect to the customs, traditions and land tenure systems of the indigenous peoples concerned.
4. States shall establish and implement, in conjunction with indigenous peoples concerned, a fair, independent, impartial, open and transparent process, giving due recognition to indigenous peoples' laws, traditions, customs and land tenure systems, to recognize and adjudicate the rights of indigenous peoples pertaining to their lands, territories and resources, including those which were traditionally owned or otherwise occupied or used. Indigenous peoples shall have the right to participate in this process.



5. Indigenous peoples have the right to redress, by means that can include restitution or, when this is not possible, just, fair and equitable compensation, for the lands, territories and resources which they have traditionally owned or otherwise occupied or used, and which have been confiscated, taken, occupied, used or damaged without their free, prior and informed consent.

### 3.0 DEMOGRAPHIC CHARACTERISTICS

54) The Kalinago Territory is comprised of 3, 782.03 acres of land stretching over 9 miles on the East, Atlantic coast of Dominica in the Parish of St. David. The Territory is divided into 8 hamlets, namely; Sineku, Gaulette River, Mahaut River, St. Cyr, Salybia, Crayfish River, Bataca and Touna Concorde. As per the 2011 Population and Housing Census, the population of the Kalinago Territory documented 2,112 persons; 1,209 males and 948 females. The total population distributed by age and as a percentage of the total population is as follows:

*Table 1: Kalinago Territory Population Distribution by Age group (2011)*

<i>Age Group</i>	<i>Population</i>	<i>% of Total Population</i>
0 - 4	201	9.5%
5 - 9	201	9.5%
10 - 14	200	9.4%
15 - 19	215	10.1%
20 - 24	166	7.8%
25 - 29	115	5.4%
30 - 34	119	5.6%
35 – 39	133	6.2%
40 – 44	146	6.9%
45 – 49	126	5.9%
50 – 54	123	5.8%
55 – 59	81	3.8%
60 +	283	13.3%

Not Stated	3	0.1%
Total number of Kalinago Population	2112	100 %

55) The data detailed above, indicates a growing ageing population in the Kalinago Territory, since the 60 and above grouping recorded the highest percentage (13.3%) of the overall population. On the contrary, the population distribution for age range 15 – 19 years recorded 10.1% of the total population; or second highest age range within the Kalinago population. In terms of households, the 2011 Population and Housing Census registered 652 households; an increase of 12% from the 2001 Census data, when 579 households were recorded. Interestingly, whereas the number of households increased between the two periods, the average household size decreased from 3.8 in 2001 to 3.2 in 2011.

**3.2 Political and Cultural Characteristics**

56) As mandated in the Kalinago Reserve Act of 1978, the lands in the Territory is the property of the Kalinago Council and no individual can own land and/or be titled land is his or her name. The Council is solely responsible for allocating land for all purposes including housing, public conveniences, government projects and community projects. The Council is comprised of seven (7) persons – the person elected as Chief and six (6) other persons elected as members.

57) In terms of other rights and privileges, the Indigenous Peoples are entitled to all rights like all Dominicans including voting, passports and political participation. The Kalinago culture has evolved due to development activities undertaken on the national level. Their traditional arts and crafts produces baskets, mats, hats, jewelry and hammocks are made from locally sourced raw materials including dried palms and reeds.

**3.3 Socio-Economic Characteristics**

58) In terms of the socio-economic status of the Indigenous People, the 2009 Country Poverty Assessment stated; *“in respect of ethnic origin, indigenous persons were more likely than any other group in the population to be poor; 49.8 percent or one in two persons of indigenous origin are poor. This is a significant finding as the indigenous population represents about 5 percent of the total population of Dominica (approximately 3300 persons). However, there has been a*

*reduction in measured poverty among the group, given that in 2003, some 70 percent was poor and half were indigent.”<sup>9</sup>*

59) The issue of land ownership or lack thereof, (Kalinago Council has ownership of lands in the Territory) poses serious concerns for individual socio-economic advancement. This significantly limits their access to credit at local banks since they do not possess required collateral i.e. certificate of titles as per the laws governing the Territory. Whereas it is necessary to ensure the lands allocated to the Territory remain the indefinitely with the Indigenous People, the practice also prohibits individual economic advancement and sustainable livelihoods.

60) As a means for further interventions to improve the lives of the Indigenous People, the Government of the Commonwealth of Dominica through loan assistance from the Caribbean Development Bank constructed the Kalinago Barana Aute (KBA) Village. The Village offers tours including cultural dances and site visits. In the shops, local creations are developed from l’arouma, calabash, pottery and coconut products, from which wood carvings, baskets and other artistic creations are created.<sup>10</sup> Other historic sites and/or tourist attractions within the Kalinago Territory includes L’escalier Tete Chien which is located in Sineku, Centipede Trail in St Cyr and the Horseback Ridge Trail located in Salybia.

61) The issue of unemployment among the Kalinago People continues to escalate, particularly among the young persons. For instance, the unemployment rate for the 15 – 19 age group is at an alarming 55.0%, with the 20 – 24 age group registering 26.7% and the 25 – 29 grouping recording 20.2%. These aforementioned figures are the three highest among the population and suggest that specific interventions will be needed to gainfully engage persons within their productive years. The passage of Hurricane Maria offset further social and economic impacts on an already vulnerable population. The 2011 Population and Housing Census also registered an unemployment rate of 14.4 which indicates a 68% increase from 2001; and an increased labor force between 2001 and 2011, which recorded 890 and 953 persons respectively; an increase of 6.8%.

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<sup>9</sup> Dominica Country Poverty Assessment, Main Report, 2009

<sup>10</sup> <http://www.kalinagobaranaaute.com/features/crafts/>

62) A gender analysis of the data from the Population and Housing Census 2011 confirms that unemployment rate among males stand at 15.2% compared to 12.5% among Kalinago women. Interestingly, males dominate the total labor force in the Territory, registering 665 in 2011 vs 288 females; a 79% difference. Possible reasons for increased unemployment among the Indigenous Peoples include a declining agricultural sector and demand for raw materials and manufactured products from the Kalinago People and low visibility of the tourism potential within the Territory. These existing circumstances were further exacerbated by Hurricane Maria; since farming plots were destroyed and local raw materials needed for basket weaving are scarce. In addition, the Kalinago Village (Barana Aute) was also impacted and requires repairs prior to recommence of business activities. Another income earner is the sale of cassava bread to visitors and distribution in other communities. Unfortunately, the building was also severely damaged; adding to the ongoing economic plight (see Annex 3).

63) Following the passage of Hurricane Maria in September 2017, the housing stock in the Kalinago Territory was severely impacted. Initial investigations suggest that at least 885 homes were impacted by the hurricane, emphasizing the urgency to recover the housing stock to improve the quality of life for the Kalinago people. The data presented below analyzes the levels of damages to the housing stock in the Kalinago Territory post Hurricane Maria.

### **3.4 Types of sub-projects likely to be proposed for financing under the project.**

64) **Positive Impacts** .Overall the impacts anticipated under the project will be beneficial. However, some impacts may have some temporary negative impacts on farmers, including members of the Kalinago Territory if not well mitigated (see table 1 below). All targeted beneficiaries: smallholder, medium and commercial farmers and the fisher folk will all have their livelihoods supported and restored. The availability of targeted agro-inputs packages will not only make it easy for communities to produce but also expand the production volumes. This will also be an opportunity to improve not only production systems but also household incomes thus reducing national poverty levels.

Table 1: Proposed Investments by Sector, Potential Impacts, and Mitigation Measures

Sector	Types of Investments Proposed	Potential Socio - environmental Impacts	Proposed Mitigation Measures
Agriculture	Small to medium-scale Civil works/construction of buildings	<ul style="list-style-type: none"> <li>• Land clearing/expansion</li> <li>• Land acquisition and or Involuntary resettlement</li> <li>• Impact on tenant crops</li> <li>• Typical environmental impacts of small civil works (dust, noise, traffic disturbance)</li> <li>• Worker’s health and safety</li> </ul>	<ul style="list-style-type: none"> <li>• Screening checklist to ensure no economic displacement</li> <li>• ARAPs if necessary for compensation of</li> <li>• Adequate Environmental and Social Management plans (ESMPs) commensurate to the level of risks</li> </ul>
	Distribution of seeds, planting materials, fertilizers, and pesticides	<ul style="list-style-type: none"> <li>• Potential/deserving beneficiaries left out</li> </ul>	<ul style="list-style-type: none"> <li>• Wide and early information and communication campaign with clear selection processes, criteria, and accessibility in applying</li> <li>• Known and accessible GCHM</li> <li>• Follow World Bank EHS guidelines</li> </ul>
Livestock	Construction of buildings, husbandry structures, feedstock production equipment, tools	<ul style="list-style-type: none"> <li>• Typical environmental impacts of small civil works (dust, noise, traffic disturbance)</li> <li>• Land acquisition and or Involuntary resettlement</li> </ul>	<ul style="list-style-type: none"> <li>• Screening checklist to ensure no economic displacement</li> <li>• Preparation of ARAPs</li> <li>• Adequate ESMPs commensurate to the level of risks</li> <li>• Follow World Bank EHS guidelines</li> </ul>
Forestry	Repair/rebuilding of trails	<ul style="list-style-type: none"> <li>• May transition through private land</li> </ul>	<ul style="list-style-type: none"> <li>• Screening checklist to ensure follow</li> </ul>

Sector	Types of Investments Proposed	Potential Socio - environmental Impacts	Proposed Mitigation Measures
		<ul style="list-style-type: none"> <li>• Minor civil works impacts (trails are supposed to remain as natural as possible)</li> <li>• Impacts on natural habitat/forestry(clearing of new areas)</li> </ul>	<p>procedure for access</p> <ul style="list-style-type: none"> <li>• Adequate ESMPs commensurate to the level of risks</li> <li>• Follow World Bank EHS guidelines</li> </ul>
<b>Fisheries</b>	<p>Civil works/reconstruction of workshops boats and engines Fishing gear, equipment</p>	<ul style="list-style-type: none"> <li>• Typical environmental impacts of small civil works (dust, noise, traffic disturbance)</li> <li>• Targeting/potential/deserving beneficiaries left out</li> </ul>	<ul style="list-style-type: none"> <li>• Information and communication strategy</li> <li>• ARAPs if required</li> <li>• Adequate ESMPs commensurate to the level of risks</li> <li>• Follow World Bank EHS guidelines</li> </ul>

**4.0 SOCIAL IMPACT ASSESSMENT AND INDIGENOUS PEOPLES PLANNING FRAMEWORK**

65) Broadly the Dominican Emergency Agricultural Livelihoods and resilience Project ESMF has triggered OP/BP 4.10 because the community in Kalinago Territory are IP and are present in, and have a collective attachment to the project area. This community meets the characteristics of the indigenous peoples as explained in the World Bank OP/BP 4.10. These characteristics are distinct. The term Indigenous Peoples refers to a distinct, vulnerable, social and cultural group possessing the following characteristics in varying degrees: self-identification and identification by others; collective attachment to land and natural resources; customary cultural, economic, social or political institutions that are separate from those of the dominant society and culture; and indigenous Kalinago language for example. Therefore, generally, OP/BP 4.10 demands the following that: any development process fully respects the dignity, human rights, economies and cultures of IPs; the project being implemented shall avoid potentially adverse effects on the IPs;

when avoidance is not feasible, minimize, mitigate or compensate such effects; and the project shall ensure that IPs receive social and economic benefits that are culturally appropriate and gender and inter –generationally inclusive.



Figure 1: Map showing Location of Kalinago Territory

66) Indigenous People: Indigenous Peoples (IPs), known as Kalinago People in Dominica, account for about 4 percent of the total population of Dominica. The Kalinago Territory comprises of 3700 acres, and straddles the Marigot, Salybia and Castle Bruce constituencies. The 2010 Country Poverty Assessment found that poverty was over-represented amongst the Kalinago population at 49%, compared to the national average of 28.8%. In addition to higher poverty rates, the Kalinago Territory experienced higher rates of property damage with approximately 69% of the residential properties in the area either destroyed (55%) or have major damage (14%), compared to the rest of the country where 19% of residential structures were destroyed and 26% experienced major damage. The Kalinago Territory is governed by the elected seven-person Kalinago Territory Council, which is led by the Kalinago Chief who also serves as the Council Chairman. Persons are recognized as official residents of the Territory if they meet at least one of the following criteria:

- a. they were born in the Territory
- b. at least one parent is a Kalinago
- c. they lawfully resided within the Territory for at least 12 years.

## **5.0 STAKEHOLDER CONSULTATION, PARTICIPATION AND DISCLOSURE**

67) As provided for under WB policy OP/BP 4.10, information and consultation on the Dominican Emergency Agricultural Livelihoods and Climate Resilience Project Indigenous Peoples Planning Framework was conducted. A process of free, prior, and informed consultation with the affected Indigenous Peoples' communities at the preparation of this IPPF was done on September 04 2018 to ensure that the views of the Kalinago community on the project were fully identified to ascertain their broad community support. The consultation held provided the affected Indigenous Peoples' communities with all relevant information about the project (including an assessment of potential adverse effects of the project on the affected Kalinago community in a culturally appropriate manner and explained that at each stage of project including implementation due diligence will be followed. Therefore, this IPPF has been appropriately consulted and the draft IPPF was made available to the affected Kalinago community in an appropriate form, manner, and language. The IPPF has been reviewed by Bank and found to be acceptable as providing an adequate basis for project appraisal. Once the IPPF is approved and cleared by the RSA, the Bank will make the IPPF available



to the public in accordance with The World Bank Policy on Access to Information by uploading it to the WB External website while the GoCD will make it available to the affected Indigenous Peoples' communities in the same manner as the earlier draft documents. Subsequently, any social instruments prepared including IPPs will be disclosed in same manner.

68) Public Consultations- Comments by stakeholders during public workshops were incorporated into the final IPPF as were comments from other partners and the WB team. The stakeholder consultations included relevant Government ministries and departments, non-governmental organizations, non-state actors and civil society groups. Further consultations between project team and stakeholders will also be held as a way of sharing the draft IPPF and other environmental and social instruments and soliciting for inputs. The final IPPF has been reviewed and cleared by both GoCD and the World Bank (and will be disclosed in the project e-government sites and official media and also suitable accessible sites at the regional level) and disclosed at the World Bank External website.

**5.2 Initial Consultation and Focus Group Discussion**

69) An initial consultation was held on September 4<sup>th</sup> to officially announce the project to major stakeholder organizations. Among these were representatives of livelihoods groups and private small businesses from across the Dominica, with a specific group selected from the Kalinago Territory to reflect their broad amalgamation of livelihood interests. Following the main consultation, the Kalinago representatives were invited to be part of a focus group discussion to solicit their comments and recommendations, for inclusion in this IPPF.

The questions used to guide the discussion were as follows:

Questions	Responses
How do you think the Kalinago Territory will benefit from the project?	By providing support to L'arouma producers to clear access and rehabilitate plots at elevations exceeding 1000 feet, with a view to supply raw materials and restore livelihoods dependent on the craft industry;

	<p>Provide input support to cassava producers;</p> <p>Provide housing for animals and animals (goats and poultry) to livestock farmers</p>
Do you have any suggestions to increase the benefits to the Kalinago Community?	Improve plant and equipment of agro-processors;
Suggest how the project can improve livelihoods in livestock, crops (agro processing) and fisheries.	<ul style="list-style-type: none"> <li>• Improve the supply of labor;</li> <li>• For food crops production by supporting land clearing, supplying plant materials and inputs</li> <li>• Reconstructing Livestock housing and providing improved breeds.</li> <li>• Fisher folks operate out of the Marigot fisheries facility; Kalinago fishers could be identified, build capacity and organization so as to enable better use of boats and fishing gear by Kalinago fishers;</li> </ul>
Suggest ways to aid the equitable selection and distribution of inputs to beneficiaries of the project.	<ul style="list-style-type: none"> <li>• Identify and verify applicants as suggested by the Permanent Secretary of Agriculture, Food and Fisheries;</li> <li>• Screen for persons who is in need of support and who will have a stake in his/her enterprise;</li> <li>• Proper screening and selection of persons who will make good use of project support resources;</li> <li>• Conduct a baseline study to find out what livelihood activities already exist in the Kalinago Territory</li> </ul>
What ideas do you have to address issues and concerns that people may have in relation to the project?	<ul style="list-style-type: none"> <li>• Too many of the same type of enterprises with a Hamlet;</li> <li>• Conduct feasibility assessments for commercial consideration prior to granting support.</li> </ul>
What roles do you think the Kalinago Council and the Ministry of Kalinago Affairs can/should play in the implementation of the project?	<ul style="list-style-type: none"> <li>• Dealing with grievances and conflicts</li> <li>• Implementation and Management of the project</li> <li>• Ministry of Kalinago Affairs is also important;</li> <li>• Plans are afoot for the establishment of a Kalinago Development Corporation to aid in community mobilization;</li> </ul>

70) The IPP establishes an appropriate gender and inter-generationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation and other local civil society organizations (CSOs) identified by the affected IP communities.

71) Free and prior informed consultation of the indigenous peoples leading to broad community support was conducted at each stage of the project, and particularly during project preparation, to fully document their views and ascertain broad community support for the project (Refer IPP).

72) An Indigenous Peoples Plan Framework (IPPF) has been prepared to ensure that the Kalinago Territory communities are aware of how project investments are to be carried out in the Kalinago Territory and to ensure FPIC on any project-related activity in line with their existing land tenure system and their customs, choices, and preferences.

73) The overall intervention will reach an estimated number of up to 4,600 farmers (about 60 percent will be small farmers) and will enable the restoration of about 2,470 ha of cropping area in the following two cropping seasons, which will establish a robust basis for farmers to further invest in expanding their areas toward full production. The basic criteria for selecting these beneficiaries are that they (a) are full-time farmers or have agriculture as their main source of income, (b) own land or have a formal long-term lease,<sup>11</sup> (c) have been substantially affected by Hurricane Maria, and (d) have sufficient family labor to implement the required cropping area or financial capacity to contract off-farm supplementary (seasonal) labor. The selection of these beneficiaries would be carried out by the PIU with assistance by the MAF technical departments through the following process:

Steps to be taken in project	Possible Actions to be ensure IPs are included
<ul style="list-style-type: none"> <li>Carrying out national dissemination and information campaigns (through television, radio, newspapers, and own dissemination by the MAF's extension agents) to</li> </ul>	Ensure outreach in language and form appropriate to IPs

<sup>11</sup> The POM will specify the types of documents to be presented by farmers in community-owned land (Kalinago Territory) and women heads of households. In the absence of secured land tenure, the project will assist farmers in formalizing either ownership or occupancy before receiving any in-kind benefit.

<p>inform all farmers of the mechanisms to be put in place, motivating them to present their expression of interest. To reach out to female-headed households, the project will take advantage of women groups and associations and will organize targeted information activities (such as separate meetings).</p>	<p>Meet with women and youth</p>
<ul style="list-style-type: none"> <li>Farmers formalize their interest by registering in one of the MAF's regional offices, by completing a simple registration form.</li> </ul>	<p>Sensitize farmers in Kalinago and encourage them to register</p>
<ul style="list-style-type: none"> <li>List of interested farmers are analyzed by the PIU with the assistance of the MAF extension services, by checking their compliance with the selection criteria and the farmers' background experience with the MAF services, as an indication of their technical capacity to implement the cropping plan.</li> </ul>	<p>Review list to ascertain Kalinago IPs are beneficiaries</p>
<ul style="list-style-type: none"> <li>Determination, with the assistance of the extension agents, of the total area to be supported by the project for each beneficiary (and cropping mix), mainly based on the existent pre-Maria area and the farmer's capacity.</li> </ul>	<p>Review with Kalinago farmers how access to land and land ownership is recognized.</p>
<ul style="list-style-type: none"> <li>Signing a simple agreement between the beneficiary and local MAF regional offices or the extension services, by which the beneficiary commits to follow the MAF's technical recommendations and use the inputs in accordance with best practices provided by the MAF's extension agents in the area to be supported by the project. Female heads of households will be particularly assisted in maximizing a diverse crop production, primarily for food self-sufficiency, with surpluses that can be stored and commercialized.</li> </ul>	<p>Ensure Kalinago farmers understand the agreement and receive appropriate TA for the crops they grow, including crops that women focus on.</p>
<ul style="list-style-type: none"> <li>The final lists of beneficiaries will be periodically disclosed in national newspapers as well as on the MAF's website and in regional extension offices.</li> </ul>	<p>Disclose information in places accessible to Kalinago residents.</p>

74) Stakeholder consultation formed part of the methodology in preparing this IPPF where the project interested and affected stakeholders were identified at an early project preparation stage. The stakeholder consultation is significant to the preparation of this IPPF and forms the basis for

the determination of potential project impacts and design of viable mitigation measures. Various discussions were held with EALCR project preparation team on the objectives, content, logic and implementation of the IPPF. Key stakeholders in the application and implementation of the IPPF for the Project will be consulted including Environmental Coordinating Unit (ECU) officials at the national and regional levels.

75) The World Bank Policies requires that all the environmental and social frameworks and related instruments must be disclosed as separate and stand-alone reports by the client and the World Bank (where applicable). For the IPPF and other instruments in this project (IPMP/ESMF) and the disclosure of these documents should be both in locations where it can be accessed by the general public, stakeholders and at the World Bank External Website.

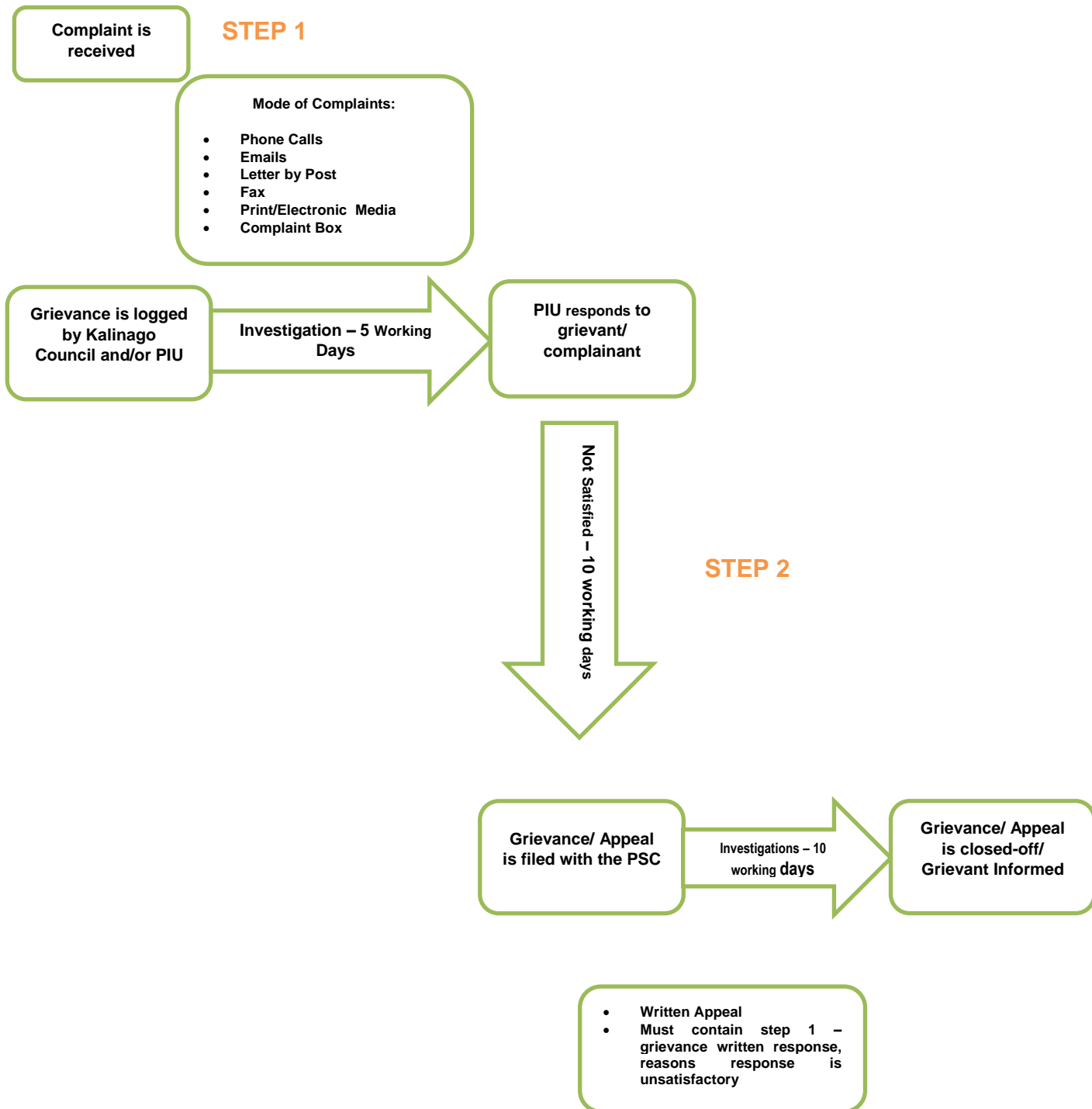
## **6.0 GRIEVANCE REDRESS MECHANISM**

76) According to the World Bank, the approach to grievance redress proposes three interlinked steps: (i) a risk-based assessment of potential grievances, disputes or conflicts that may arise during project preparation and implementation; (ii) identification of the client's existing capacity for grievance redress; and (iii) an action plan that identifies priority areas for strengthening grievance capacity, or if necessary, establishing new mechanisms at the project level.

77) The grievance redress mechanism under this project shall rest with the GRM committee, more specifically under the guidance Social Safeguard Specialist (SSS) for reporting grievances during project implementation. The committee shall include representatives from the Kalinago Territory, Ministry of Kalinago Affairs, Extension Regional Team Leader and the SSS. Through a process of community consultations, the potential grievances have been identified and listed within this document. Potential mitigation methods have also been identified by the Kalinago People to address the potential impacts which could arise during project implementation. Due to the complexity of the potential grievances identified; it will be necessary to include various representatives from key stakeholders to have the capacities necessary to facilitate timely resolution of grievances filed. The following process chart details the steps which shall be taken to address grievance filed:



## Grievance Procedure Flowchart – EALCRP



## **7.0 PROJECT INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS**

### **7.1 Project Steering Committee and Project Implementation Committee**

78) A PSC chaired by the Financial Secretary and comprising the PSAF and Permanent Secretary, Economic Planning, and other relevant ministries/agencies will be established to provide policy directions and inter-institutional coordination, review, and resolve major implementation issues. The committee will approve the annual PIP and requests for budgetary allocations. The final constitution of the PSC will be defined in the POM. The PSAF will act as the secretary of the PSC and liaise between the PIU and the IST to be established within the MoF. The PSAF will provide overall coordination of the project and a full-time project manager will be selected to carry out the day-to-day management to the project.

### **7.2 Coordination and Monitoring**

79) Overall implementation responsibilities of the project will rest with the PIU within the MAF. The PIU will be responsible for (a) coordinating and implementing all project activities, including with relevant agencies and beneficiaries, as specified in the POM; (b) ensuring that the requirements, criteria, policies, procedures, and organizational arrangements set forth in the POM are applied in carrying out the project; (c) preparing all project implementation documents, including project reports; (d) drafting all ToRs required to ensure proper project implementation; and (e) monitoring and evaluating the project. The PIU will be staffed with (a) a project manager, (b) an FM analyst, (c) a procurement officer, (d) social and environmental safeguards officers, (e) an M&E officer, (f) a civil engineer, (g) a communications specialist, and (h) technical officers. The PIU will also recruit short-term internationally selected consultants to provide technical support in critical areas such as program management, monitoring and impact measurement, agribusiness, information technology in agriculture, climate resilience, and crop diversification as needed. The FM analyst and procurement officer will coordinate with the IST and provide all relevant documents and information to carry out the IST's functions. A full description of PIU staffing with roles and responsibilities will be described in the POM. A close collaboration between the PIU and the IST will be ensured.

### **7.3 The Role of the Implementation Support Team (IST)**

80) The IST within the MoF will have direct responsibility for fiduciary aspects of the project and advisory responsibility for safeguards aspects of the project. The IST will be specifically



responsible for carrying out the procurement processes and the FM in close coordination with the PIU and in accordance with the financing agreement. In addition, the IST will provide advisory services on social and environmental safeguards procedures in accordance with the financing agreement and will ensure overall monitoring of the project progress and identify issues and bottlenecks to inform the relevant participating agencies. Specialized consultants will be funded on a cost-shared basis among World Bank operations. The IST will be staffed with full-time and/or part-time specialized consultants as follows: (a) a portfolio coordinator, (b) a senior financial manager, (c) two senior procurement specialists, and (d) a social and environmental management specialist.

81) The abovementioned implementation arrangement of the project will be fully integrated within the existing structure of the MAF and the MoF to ensure strong government ownership and long-term sustainability of project impacts. The key project stakeholders for the EALCRP are the residents of the Kalinago Territory; particularly those whose livelihoods were significantly affected or completely destroyed by Hurricane Maria. The process that will guide the consultations for the development of the Indigenous Peoples Plan includes the provision of overall guidance by Kalinago Territory EALCRP Committee comprising of representatives from the Ministry of Kalinago Affairs, the Kalinago Council and the Ministry of Agriculture, Food and Fisheries. It was agreed that all consultations at each stage of project preparation and implementation will be executed through the Ministry of Kalinago Affairs and the Kalinago Council as representatives of the Kalinago people (see Annex 1).

82) Activities envisaged will require individual consultants on a short-term basis to undertake key preparation—for example, design studies, bidding documents—and implementation activities—for example, training delivered under the FFS program. The PIU with the support of the IST will hire technical experts to deliver the customized agribusiness training program under Subcomponent A.3.

83) The implementation arrangement of the project will be fully integrated within the existing structure of the MAF to ensure strong government ownership and long-term sustainability of project impacts. In case of gaps in specific technical skills and institutional capacity, the project will engage outside (national and international) expertise.

## **8.0 INDIGENOUS PEOPLES PLAN IMPLEMENTATION**

84) Sup-projects will be mostly on farm, small and with limited and reversible impacts. As a result a simple template has been developed to ensure that the project continually informs communities in the IP territory about the project: how to develop a proposal and apply for the sub grants and provides some additional technical assistance to support such communities to submit proposals for consideration. The Kalinago Council, the Ministry of Kalinago Affairs and stakeholder committees will be consulted again on the September 20, 2108 on the proposed approach and types of support that will be provided to the Kalinago Territory.

85) Recommendations on the measures necessary to avoid adverse effects or, if such measures are not possible, measures to minimize, mitigate, and/or compensate for such effects and to ensure that the indigenous peoples receive culturally appropriate benefits under the project will include:

- a) Developing a communication plan for ensuring free, prior, informed and accessible consultation with the affected IP communities at each stage of project preparation and implementation.
- b) Agreement on indicators for assessing broad community support
- c) Identification of the process to screen for indigenous peoples near project supported activities
- d) Requirement to undertake simple assessment to evaluate effects of sub project on IP and recommendation for any mitigation measures. .
- e) Measures to strengthen the technical capabilities of (a) implementing agencies to support IP potential beneficiaries in the project area to participate in the project and (b) to support IP organizations/farmers in the project area to enable them to participate more effectively in the project..
- f) Describe the procedures to redress grievances by affected IP communities and how these procedures are accessible to IPs, their cultural appropriateness and gender sensitivity.
- g) Clearly outline the monitoring and reporting arrangements that ensure the participation of the affected IPs and confirm that IP benefit from the project.

- Are IPs aware of the process of capturing and documentation of IPs concerns with regards to the sub project impacts and how these will be addressed in the project design.
- Are IPs aware of where they can access disclosed documents related to the project.

## **9.0 MONITORING AND REPORTING ARRANGEMENTS**

86) An M&E specialist at the PIU will coordinate monitoring activities by the technical divisions of the MAF and to oversee activities. A results-based M&E system would monitor project implementation using the following methods and tools: (a) Results Framework derived from clearly identified project objectives and activities with corresponding indicators (with baselines and targets), means of verification, and key assumptions; (b) an M&E strategy regarding information requirements, tools, and methodologies for data collection, analysis, and reporting; (c) a comprehensive M&E plan with clear roles and responsibilities with respect to data collection and reporting; and (d) internal and external periodic assessments, verification exercises and evaluations, which include baseline studies, beneficiary assessments, midterm evaluations, and ex post evaluation including at project completion. The heads of the participating technical divisions will be responsible for process and performance monitoring of individual activities and will consolidate and analyze all M&E data provided by the field-level offices. The M&E specialist will monitor all field-level activities, identify issues, and propose needed actions for the management to address them. The PIU will produce monthly reports.

87) The project M&E will include an MIS that (a) records direct beneficiaries; (b) tracks physical implementation and provides the information needed to report on the Results Framework; (c) records critical procurement processes; (d) complements the Government's accounting system recording specific data such as monetized counterpart contribution (see FM section for further information); and (e) regularly tracks and keeps updated all complaints received through the project specific grievance redress system, status of each complaint, and data on timeliness and volume of complaints addressed satisfactorily.

88) The PIU will (a) compile and consolidate data and verification documents, (b) ensure data quality, and (c) prepare and submit the reports to the World Bank on time. To do so, the PIU will hire an M&E specialist who will closely coordinate with the IST in charge of tracking progress and consolidating information at the portfolio level.

89) To report on the Results Framework, data will be collected by the technical divisions and, in some cases, by external consultants, civil society actors, or firms, through multiple mechanisms such as technical audits that include field verification and beneficiary consultation, surveys, and remote sensing. Data on investment support will be gathered on an ongoing basis during implementation, as part of the workflow of each of the schemes. The POM will provide technical specifications and protocols for the beneficiary records, as part of the MIS.

### **9.1 Purpose and Indicators**

90) The overall monitoring of the Indigenous Peoples Plan shall be that of the Project Steering Committee. Within the Project Implementation Unit, the Social Safeguards Specialist shall be specifically responsible to monitor implementation of the IPP. The Social Safeguards Specialist shall prepare on a monthly basis (7<sup>th</sup> of every month) a report on all grievances logged and closed off. The PIU shall include at every stage in the project implementation, the Kalinago Council and the Ministry of Kalinago Affairs. The PIU's Social Safeguards Specialist shall undertake periodic community consultations to inform stakeholders on the status of implementation of the IPP.

91) Interventions with the Kalinago Territory will vary depending on the needs and enterprises identified in consultation with stakeholders and consented to by the PIU. However some key interventions indicators are suggested as follows:

Specific indicators:

- Number of types of enterprises supported;
- Crop area and type restored;
- Number of persons receiving capacity build training;
- The number of Livestock units reestablished;
- Amount of new livestock breeds introduced;
- Demographic breakdown of persons supported; and
- Value of support by each intervention.

## 10.0 BUDGET AND FINANCING

92) **Cost of safeguards.** The cost for the safeguards preparation and implementation process is estimated at 1.0% of the cost of the project, this cost will be confirmed by the specific PIUs, who will prepare the detailed cost allocation for safeguard implementation that includes preparation of safeguard instruments, implementation of mitigation measures and monitoring and supervision.

**The table below presents a summary of costs associated to implementation of the IPP:**

<b>ACTIVITY</b>	<b>UNIT COST</b>	<b>TOTAL</b>
3 Capacity Building Training Workshops in ES Safeguards, GRM and M&E for selected leaders and fields staff operating within the KT	15 participants	USD 1500 (EC\$4075.35)
Public Consultations	1 consultation at St. Cyr	US\$1500.00 (EC\$4075.35)
Formation and operationalization of GRM Committees	Quarterly expenses (logistical support)	Nil
Monitor IPP implementation	Quarterly activities (implementing agency plus stakeholders)	Nil

**ANNEXES**

**ANNEX 1: List of people consulted during the development of the IPP**

<p><b>Date:</b> .....</p> <p><b>Project</b> ..... <b>Title:</b> .....</p> <p><b>Responsible Ministry /Department/Directorate/agency:</b> .....</p> <p>.....</p> <p><b>Address:</b> .....</p> <p>.....</p>				
Name	Organization	Designation	Contact	Signature
1.				
2.				
3.				
.				
.				
N				
<p>Prepared by:</p> <p>Administered by:</p> <p>Approved by:</p>				

**ANNEX 2: List of Indigenous people involved and participants consulted in the IPP preparation process**

**Date:** .....

**Project** ..... **Title:** .....

**Implementing Ministry /Department/Directorate/agency:** .....

**Address:** .....

**Venue...**

Name	Indigenous Community Identity	Designation	Contact	Signature

<p>Prepared by:</p> <p>Administered by:</p> <p>Approved by:</p>			
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### **ANNEX 3: Contents of Indigenous Peoples' Plan (IPP)**

#### **Prerequisites**

1) Prerequisites of a successful development plan for indigenous peoples are as follows:

- a) The key step in project design is the preparation of a culturally appropriate development plan based on full consideration of the options preferred by the indigenous people affected by the project.
- b) Studies should make all efforts to *anticipate adverse trends* likely to be induced by the project and develop the means to avoid or mitigate harm.
- c) The institutions responsible for government interaction with indigenous peoples should possess the social, technical, and legal skills needed for carrying out the proposed development activities. Implementation arrangements should be kept simple. They should normally involve appropriate existing institutions, local organizations, and civil society organizations (CSOs) with expertise in matters relating to indigenous peoples.
- d) Local patterns of social organization, religious beliefs, and resource use should be taken into account in the plan's design.
- e) Development activities should support production systems that are well adapted to the needs and environment of indigenous peoples, and should help production systems under stress to attain sustainable levels.
- f) The plan should avoid creating or aggravating the dependency of indigenous people on project entities. Planning should encourage early handover of project management to local people. As needed, the plan should include general education and training in management skills for indigenous people from the onset of the project.
- g) Successful planning for indigenous peoples frequently requires long lead times, as well as arrangements for extended follow-up. Remote or neglected areas where little previous experience is available often require additional analysis.
- h) Where effective programs are already functioning, Bank support can take the form of incremental funding to strengthen them rather than the development of entirely new programs.



## ANNEX 4: Social Screening Forms

To be filled by Project PIU Team

**Comment; Make it specific to the Agriculture project and IPPs Social Screening Form for Agriculture Project**

<b>A. BACKGROUND INFORMATION</b>	
A 1. Type/description/justification of proposed agriculture activity	
A 2. Location of activity	
A3. Duration of activity	
A 4. Focal point and person for activity	
<b>B. EXPECTED BENEFITS</b>	
B1. Benefits for local people	
B2. Benefits to IPs	
B3. Total Number of expected beneficiaries	
B4. Total Number of expected IPs d Peoples beneficiaries	
B5. Ratio of B4 and B5; Are benefits accessible to IPs in an equitable manner? equitably? If yes how?	<input type="checkbox"/> YES <input type="checkbox"/> NO If NO state remedial measures
<b>C. POTENTIAL ADVERSE SOCIAL IMPACTS</b>	
C1. Will activity entail restriction of access of IPs to lands and related natural resources	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
C2. Will activity entail commercial development of natural and cultural resources critical to IPs	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes state clearly how benefits will be maximized for IPs?
C3. Will activity entail physical relocation of IPs? s <input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project	<input type="checkbox"/> YES <input type="checkbox"/> NO If yes exclude from project
<b>D. CONSULTATION WITH IP</b>	

D1. Has IPP orientation to agriculture sub project been done for this group?	<input type="checkbox"/> YES <input type="checkbox"/> NO
D2. Has a PRA/RRA been done in this area?	<input type="checkbox"/> YES <input type="checkbox"/> NO
D3. Did the IPs give broad support for the sub project	<input type="checkbox"/> YES <input type="checkbox"/> NO

Prepared by: \_\_\_\_\_ Verified by: \_\_\_\_\_

Date: \_\_\_\_\_ Date: \_\_\_\_\_

Note: Attach sketch maps, PRA/RRA results and other relevant documents.

## **ANNEX 5: Grievance Redress Mechanism (GRM)**

### **• A. Grievances Redress Mechanisms**

Grievances may arise from members of communities who are dissatisfied with: (a) the eligibility criteria, (b) community planning measures, (c) approval of Housing and allocation of funds or (d) actual implementation/construction.

This section sets out the measures to be used to manage grievances. The overall process of grievance handling is as follows:

- Community committees including representatives of PAPs will establish the compensation rates.
- During the initial stages of the valuation process, the affected persons are given copies of grievance procedures as a guide on how to handle the grievances/sensitization of PAPs.
- The process of grievance redress will start with registration of the grievances to be addressed for reference, and to enable progress updates of the cases.
- The project will use a local mechanism, which includes peers and local leaders of the affected people. These will ensure equity across cases; they eliminate nuisance claims and satisfy legitimate claimants at low cost.
- The response time will depend on the issue to be addressed. Compensation will be paid to individual PAPs only after a written consent of the PAPs is received
- Should a PAP decline the compensation suggested, he/she could appeal to the County
- Steering Group and local Land Control Board.
- A Community Committee (CC) and local Land Control Board at the local level will first revise his/her case.
- Then the CC will draft its inclusions and submit them to the implementing agencies (IAs) for deliberation in the aim of settling the differences.

And when these have failed the individual PAP has the right to take his case to the civil courts for litigation.

In order to deal with the grievance that may rise during the implementation of the RAP/IPP, there is need to incorporate a grievance redress process with IAs and with PAPs representatives committee to hear the complaints and provide solutions, and reduce unnecessary litigation by resolving disputes through mediations.

**ANNEX 6: Complaints Registration Form**

Complaints Registration Form:

Housing Complaints Registration Form

Location: Region: \_

Parish:

PAP/IP Name:

Name of Complainant:

Phone Number:

Address:

Community position:

Resident  Member  Official  Other

Classification of the grievance (Check box)

- Selection of the housing beneficiary
- Procurement
- Financial
- Other (specify)
- Inter-community dispute
- Technical/operational coordination
- Process delays

Does he/she inform the GRM Committee of his/her neighborhood regarding to this grievance?

Yes  No

If No, ask him/her to inform the National PIU, for solving this grievance.

Brief description of the grievance:

What is the perceived cause?

Suggested action (by complainant) to address grievance:

Signature of complainant:

Date: / /

Received on behalf of PIU by:

Registration no:

Name:

Designation:

Signature:

Date: / /

GRM Committee level .....Date action taken.....

Describe action taken.....  
.....

.....

Signed.....Name:.....

Date:.....