SFG1486

University of Guyana/World Bank Science and Technology Project

Environmental and Social Manual

IPPF

Indigenous Peoples Planning Framework

Revised

July 2015

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List of Acronyms

ARU	-	Amerindian Research Unit of the University of Guyana
BOS	-	Bureau of Statistics
EPA	-	Environmental Protection Agency
FCC	-	Faculty Coordinating Committee
FRC	-	Faculty Research Committee
IP-ICF	-	Indigenous Peoples Impact Categorization Form
IPP	-	Indigenous People's Plan
IPPF	-	Indigenous People Planning Framework
IRB	-	Institutional Review Board
LCDS	-	Low Carbon Development Strategy
MoAA	-	Ministry of Amerindian Affairs
MoH	-	Ministry of Health
UG	-	University of Guyana

The Indigenous Peoples Planning Framework

1. Introduction and Project Description

"The right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized. As development occurs in countries where indigenous people live there is a need to implement measures that recognise the requirements to safeguard the rights, assets and cultural integrity of the people."[1]

Further, the International Decade of the World's Indigenous Peoples (1995-2004) was proclaimed by the General Assembly of the United Nations through Resolution 48/163 of 1993. Its objective was the strengthening of international cooperation by contributing solutions of the problems that affect Indigenous Peoples in areas of health, human rights, environment, education and development. In recognition of this, the World Bank has articulated and adopted, annex 'C of OP 4.10' as part of its operational policy to guarantee the protection and involvement of indigenous peoples in all development activities which have the likelihood of impacting on members of this group, whether as individual, groups or communities. In this regard, the Indigenous Peoples Framework of the University of Guyana Science and Technology Support Project is set out as a social tool to inform and evaluate any specific activity or subcomponent of this Project which is likely to impact on existing and future indigenous population of Guyana. Accordingly, this IPPF is authored to provide guidelines for the social assessment and management of all Project activities but in particular, and to operationalise as obligatory, the need for free, prior and informed consultation leading to broad community endorsement or support; and to attest, the preparation and disclosure of an individual IPP in relation to all activities flowing from this Project which are intended to be carried out in areas occupied by members of the indigenous population.

This document (IPPF) is the product of a consultative process which sought the involvement of relevant internal and external stakeholders related to the University of Guyana (UG) Science and Technology Project, the activities of which are described as follows:

- Project Development Objective

  The proposed Project would strengthen the four science and technology faculties at the University of Guyana through infrastructure, research and curricular improvements while building the basis for improved facilities management and future growth.

- Project Beneficiaries

  The main Project beneficiaries would be the students and lecturers at the University of Guyana. Indirect beneficiaries include private sector employees, local communities, and international researchers engaged in rainforest conservation and biodiversity preservation.

[1] Avruch, K. (1998). Culture and conflict resolution. Washington: U.S. Institute of Peace Press, p.172.

The number of direct beneficiaries from the Project is estimated to be 6,300 individuals, including 6,000 students and 300 staff, of which approximately 60 percent are female.

- PDO Level Results Indicators

Achievement of the PDO would be measured through the following three PDO Level Results Indicators: (a) Increase in student, faculty, and private sector satisfaction with the strength of the four science faculties at UG; (b) New investments in buildings, equipment and ICT maintained in working order; and (c) Studies produced by the Project are incorporated into the UG strategic plan.

The Project will have as implementing agency, the Ministry of Education Planning Unit. Project implementation arrangements have been designed to take advantage of existing capacities and comparative advantages within UG and the Ministry of Education. The Planning Unit of the Ministry of Education, which currently manages two other Bank-supported education projects, would provide overall coordination and fiduciary services (financial management and procurement) through a team to be physically located at UG. The University of Guyana would have primary responsibility for the technical implementation of the Project such as drafting of terms of reference, specifications, bidding documentation, review of work done, etc. through a Coordination and Technical Unit located in the UG's Vice-Chancellor's office. Higher level institutional support to the Project would be provided through a multi-stakeholder Project Steering Committee that would act in an advisory capacity to: (a) provide strategic guidance for the implementation of this Project; (b) ensure full transparency and mitigate political risks; (c) review and provide input on annual Project implementation plans and budgets; (d) monitor and review the progress of Project implementation and achievement of the Project development objectives and indicators; and (e) assist in the resolution of outstanding Project implementation issues.

The Project comprises the following three components:

1. ***Component 1: Education Quality Improvement Program (EQIP)*** *(estimated total cost: US$1.9 million of which IDA: US$1.5 million).* This component would support (a) carrying out of a science curriculum reform process by updating existing curricula and/or reorienting the existing curricula of UG aimed to support the LCDS through, inter alia: (i) the provision of technical assistance on curriculum reform, instructional design and science content and (ii) the provision of honoraria to selected UG lecturers participating in such curriculum reform processes; and (b) carrying out of selected research relevant to the LCDS through the provision of Research Grants to selected UG lecturers.

Sub-Component (a) – Curriculum Reform (US$1.0 million) would support a standardized process for the updating of existing curricula and the reorientation of existing programs to support the LCDS, through the provision of targeted technical assistance from specialists in curriculum reform, instructional design and science content, as well as through provision of honoraria to UG lecturers who dedicate time, expertise and energy to this process. Practical assessment components would be developed for each course. During the project implementation period, each of the 13 academic departments within the 4 target faculties would review their programs, and identify which existing courses need revision and which other courses need to be

re-oriented. At least 12 courses in standard and electronic formats (either as open courseware or e-learning courses) relevant to the LCDS would be developed over a 3-year period.

Component 2: Infrastructure rehabilitation *(estimated total cost: US$6.2 million, of which IDA: US$5.5 million).* This component would support (a) rehabilitation and/or improvement of existing science laboratory buildings of four (4) faculties located within the UG campus aimed to provide basic teaching, including the improvement of UG campus wide drainage; (b) provision of scientific and multimedia equipment to the existing science laboratory buildings aimed to deliver practical science teaching and research; and (c) establishment of a campus wide internet network within UG to connect its faculties and libraries to the internet and to prepare UG to connect it into an international link including, inter alia, the development of software applications, e-learning tools and digital content repositories to support the curriculum reform process described in component 1.

Sub-component (a) (US$5 million) would address rehabilitation and/or improvement of first the 14 science laboratory buildings in the four science faculties on the campus by improving the physical infrastructure to allow for basic teaching and research. The rehabilitation would include new floor surfaces, new cupboards, new water and power systems, new lighting, provision of air conditioning, new furniture, etc. The component would also address basic electrical, water, sewage, and roofing for the buildings in which the laboratories reside. Finally, the sub-component would address the campus-wide issue of appropriate drainage and pumps to avoid frequent flooding on the campus. An Environmental and Management Plan (EMP) has been developed to prevent and reduce any environmental impact. Also an Environmental Specialist (ES) will be onsite, during the construction period to ensure implementation of the mitigation measures.

Sub-component (b) (US$840,000) would entail the provision of scientific and multimedia equipment to the existing science laboratory buildings aimed to deliver practical science teaching and research. This equipment will be vital in allowing UG to actively participate in achieving Guyana's goals in their LCDS. Equipment is needed in the faculties of Natural Sciences, Technology, Agriculture and Forestry, Environmental and Earth Sciences, and in the Science Teacher Training Program. Examples of the equipment required in these faculties include tools for performing basic chemistry such as glassware and centrifuges; a spectrophotometer for analytical research on natural products; material strength testing equipment for courses in civil engineering; dissecting kits and microscopes for agricultural research; and environmental testing equipment which can be used to provide services to private sector clients.

Sub-component (c) (US$360,000) would first connect all faculties and libraries to the Internet with ICT cabling and prepare the University to connect into an international link, which would be established as part of the e-government broadband network currently under construction. The connectivity would include both a fiber ring as well as wireless access points across the campus. In conjunction with the connectivity, a data center would be established to provide a set of software applications such as e-learning tools and digital content repositories to support the design and delivery of the new curriculum in component 1.

Component 3: Institutional Capacity Building *(estimated total cost US$1.8 million, of which IDA: US$1.5 million).* This component would support the building of institutional capacity

within UG through the provision of (a) technical assistance on (i) managerial and administrative capacities, including, *inter alia*, curricular supervision, information and communication technology, environmental and social management, monitoring, evaluation and facilities management. Project capacities, *including, inter alia*, the elaboration of a facilities management plan, a project website, and an environmental management framework; and (ii) strategic business planning matters, including, *inter alia*, the preparation of studies related to the creation of a biodiversity institute, the set up of a research and innovation fund, the establishment of a business development unit and an assessment of existing human resources; and (b) honoraria to selected UG staff for carrying out Project tasks.

It would support managerial and administrative capacities by strengthening the existing capacity of the University through collaboration with the Ministry of Education to support coordination and fiduciary capacities – financial management and procurement. Further technical capacity in areas of facilities management, environmental management, and ICT would be strengthened at the University. Environmental and ICT consultancies would be contracted on an as needed basis. Additional monitoring and evaluation studies to assess the progress of the investments in achieving the PDO Indicators would be conducted by an independent organization. It would finance technical assistance to implement a comprehensive facilities management plan, including consultants and training in civil engineering and facilities management, essential to maintaining and sustaining the investments in basic infrastructure rehabilitation and equipment. Also, in conjunction with the Project website, a crowdsourcing platform would be deployed using mapping, geo-spatial and social networking technologies to encourage student and community identification of challenges and progress in the implementation of the Project. Additional technical assistance would be provided to implement the environmental management framework with the elaboration of a hazard assessment, laboratory protocols and chemical waste management guidelines.

It would support business planning matters by providing essential technical assistance and capacity building for making strategic institutional decisions designed to increase UG's relevance and impact related to the LCDS, and to enhance its financial sustainability. Four forward looking feasibility studies would be supported: (i) Viability assessment and Business Plan for a new Centre of Excellence for the Study of Bio-Diversity; (ii) Options and OM for a multi-stakeholder Research and Innovation Fund to support generation of new knowledge and marketable products and services related to the LCDS; (iii) Establishment of a Business Development Unit, which would focus on connecting the UG's skills, expertise and facilities with external needs on a fee for service basis; and (iv) A detailed review of the UG's existing human resources to identify areas where efficiency and effectiveness of personnel deployment could be enhanced. All of these products would feed into a strategic plan for the University's growth and development. The existing strategic planning process of the University would be supported by the Project with modest amounts of technical assistance as needed.
Sub-component (c) will support monitoring and evaluation studies to assess the progress of the investments in achieving the Project Development Objective.

Financing and Lending Instrument

The proposed Project would be financed by an IDA credit in the amount of SDR 6.2 million (US$10 million equivalent) carried out over a period of five years. The Project is designed to

support a longer term institutional reform of UG. The Project is therefore meant to provide catalytic investments to enable the University to contribute to the LCDS on a fully sustainable basis.

2. Topography, Boundaries and Administration in Guyana

Guyana is made up of four natural regions: the Flat Alluvial Coastal Plain, where about 90 % of the population lives; the Hilly Sand and Clay Belt, mainly covered by forest, which supports the main extractive industries (gold, diamond, timber); the Highland Region; and the Interior Savannahs.

For administrative purposes, Guyana is divided into ten regions, named as follows: One (Barima/Waini), Two (Pomeroon/Supenaam), Three (Essequibo Islands/West Demerara), Four (Demerara/Mahaica), Five (Mahaica/West Berbice), Six (East Berbice/Corentyne), Seven (Cuyuni/Mazaruni), Eight (Potaro/Siparuni), Nine (Upper Takatu/Upper Essequibo) and Ten (Upper Demerara/Upper Berbice). Guyana is also known as the land of many waters, because of the many rivers in the country. Most regional boundaries are established and identified following the natural features of rivers.

2.1 Guyana's Population and Indigenous People

According to the Bureau of Statistics (BOS), the national population of Guyana is considered as ethnically heterogeneous. It is composed chiefly of a native Amerindian population together with the descendants of immigrants who came to the country either as slaves or as indentured labourers. The population, therefore, comprises groups of persons with nationality backgrounds from Europe/Portugal, Africa, China, and India, with the Amerindians as the indigenous population. Note is taken, that essentially, this latter group, while being recognised as indigenous people are commonly referred to as Amerindians across the national language and other associated cultural systems. It is recognised here and elsewhere in this document that in line with the World Bank policy document OP 4.10 and in tandem with the Amerindian Act of Guyana, the term "Amerindian(s)" is used to identify and recognise the indigenous people of Guyana on account of the principles of self-identity.

These groups of diverse nationality backgrounds have been fused together by a common language, that is, English. However, the Amerindians are known for being able to retain their indigenous languages. Hence, while they are integrated into the national language system and have acquired competencies in the use of English, they have as a group, been able to maintain their specific languages and other cultural characteristics which serve to maintain their cohesiveness and functionality as indigenous people.

Historically, the national population has evolved out of, at least five distinct nationality backgrounds and the native Amerindian. Over centuries, there have been intermarriages between the various groups and as a result, a group of 'mixed heritage' persons has emerged. This is now a significant and growing group within the national population construct, comprising of various combinations of ethnic groups. The national census of 2002 recognise that unlike the situation that exist in the Caribbean nation of Belize, which labels such combinations, for example, as Creoles (a mix of white and black) and so on, no such labels are officially recognized in Guyana. This group of persons is generically referred to as 'mixed.'

The 1992 Contraceptive Prevalence Survey Report as well as the 2002 Census Report recognises that race and ethnicity issues are important, since they are social determinants of the demographic processes, particularly of fertility. The race/ethnic composition of the population also affects education, health customs, livelihoods and other social and economic variables. It is within this context that the race distribution of the population is often analysed for the country.

2.2 Ethnic Composition of Guyana's Population

The largest nationality sub-group is that of East Indians comprising 43.5 percent of the population in 2002. They are followed by persons of African heritage (30.2 percent). The third in rank are those of Mixed Heritage (16.7 percent), while the Amerindians are fourth with 9.2 percent. The smallest groups are the Whites (0.06 percent or 476 persons), the Portuguese (0.20 percent or 1497) and the Chinese (0.19 percent or 1396). A small group (0.01 percent or 112 persons) did not identify their race/ethnic background. (see Figure 1 to 4.)

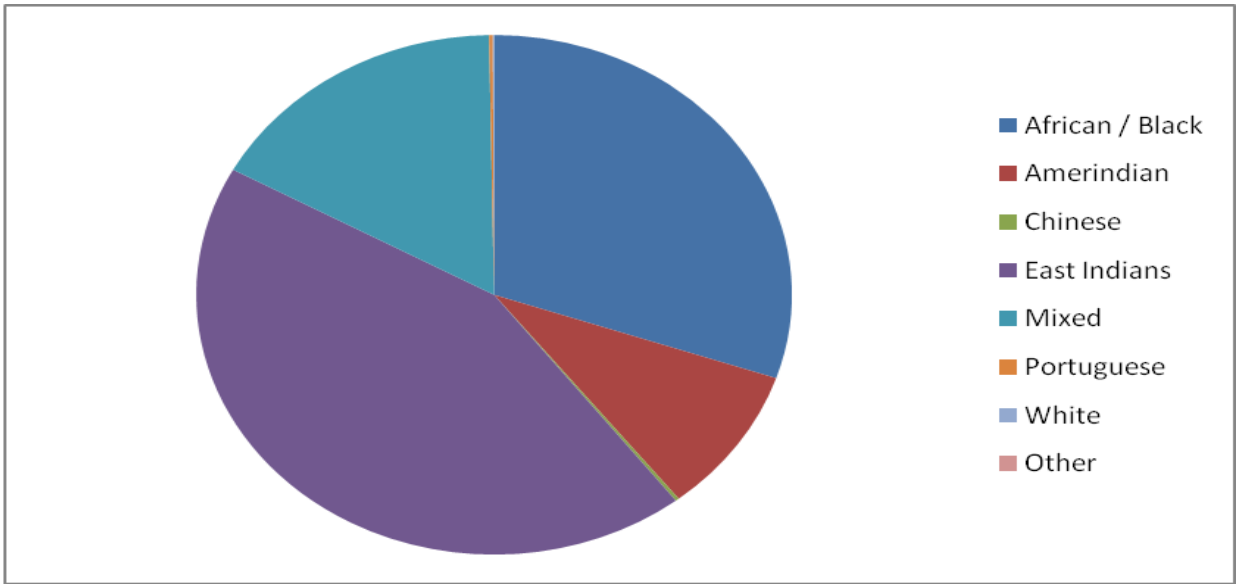
This reported number of persons of unspecified ethnicity, though small, is significant in the sense that ethnicity is determined by self-description of all respondents. Nevertheless, it is possible that the growth in the mixed population represents a growing sense of separate and distinct identity by the majority of persons within that group.

Figure 1. Distribution of the Population by Nationality Background/Ethnicity, Guyana: 1980 – 2002

Ethnicity	Population			Percentage		
Background	**2002**	**1991**	**1980**	**2002**	**1991**	**1980**
African / Black	227062	233465	234094	30.20	32.26	30.82
Amerindian	68675	46722	40343	9.16	6.46	5.31
Chinese	1396	1290	1864	0.19	0.18	0.25
East Indians	326277	351939	394417	43.45	48.63	51.93
Mixed	125727	87881	84764	16.7	12.14	11.16
Portuguese	1497	1959	3011	0.20	0.27	0.40
White	477	308	799	0.06	0.04	0.10
Other	112	107	294	0.01	0.10	0.04
TOTAL	**751223**	**723671**	**759586**	**100.00**	**100.08**	**100.01**

Source: Guyana Population Census 2002; Published by the Bureau of Statistics Georgetown, Guyana.

Figure 2. Population Distribution by Nationality Background/Ethnicity Guyana: 2002



Source: Guyana Population Census 2002; published by the Bureau of Statistics Georgetown, Guyana.

Figure 3. Percentage Distribution of Guyana's Population by Nationality/Race/Ethnicity and Region

Ethnicity/Background	Region 1	Region 2	Region 3	Region 4	Region 5	Region 6	Region 7	Region 8	Region 9	Region 10	Total
African / Black	0.07	0.88	2.91	17.21	2.27	3.47	0.27	0.09	0.03	3.01	30.2
Amerindian	2.01	1.07	0.28	0.7	0.14	0.27	0.98	1.02	2.3	0.39	9.14
Chinese	0	0.01	0.02	0.11	0.01	0.03	0	0	0	0.01	0.19
East Indians	0.05	3.14	8.98	15.51	4.03	11.31	0.21	0.03	0.01	0.17	43.5
Mixed	1.09	1.45	1.51	7.59	0.53	1.38	0.88	0.19	0.23	1.89	16.2
Portuguese	0	0.01	0.01	0.14	0	0.01	0	0.01	0	0.01	0.2
White	0	0	0	0.04	0	0.01	0	0	0	0	0.06
Other	0	0	0	0.01	0	0	0	0	0	0	0.01
Total %	**3.22**	**6.56**	**13.71**	**41.31**	**6.98**	**48**	**2.34**	**1.34**	**2.57**	**5.48**	**100**
Numbers	**24,275**	**49,254**	**103,061**	**310,320**	**52,428**	**123,694**	**17,597**	**10,094**	**19,388**	**41,114**	**751,223**

Source: Guyana Population Census 2002; published by the Bureau of Statistics Georgetown, Guyana.

Figure 4. Titled Amerindian Lands is Guyana

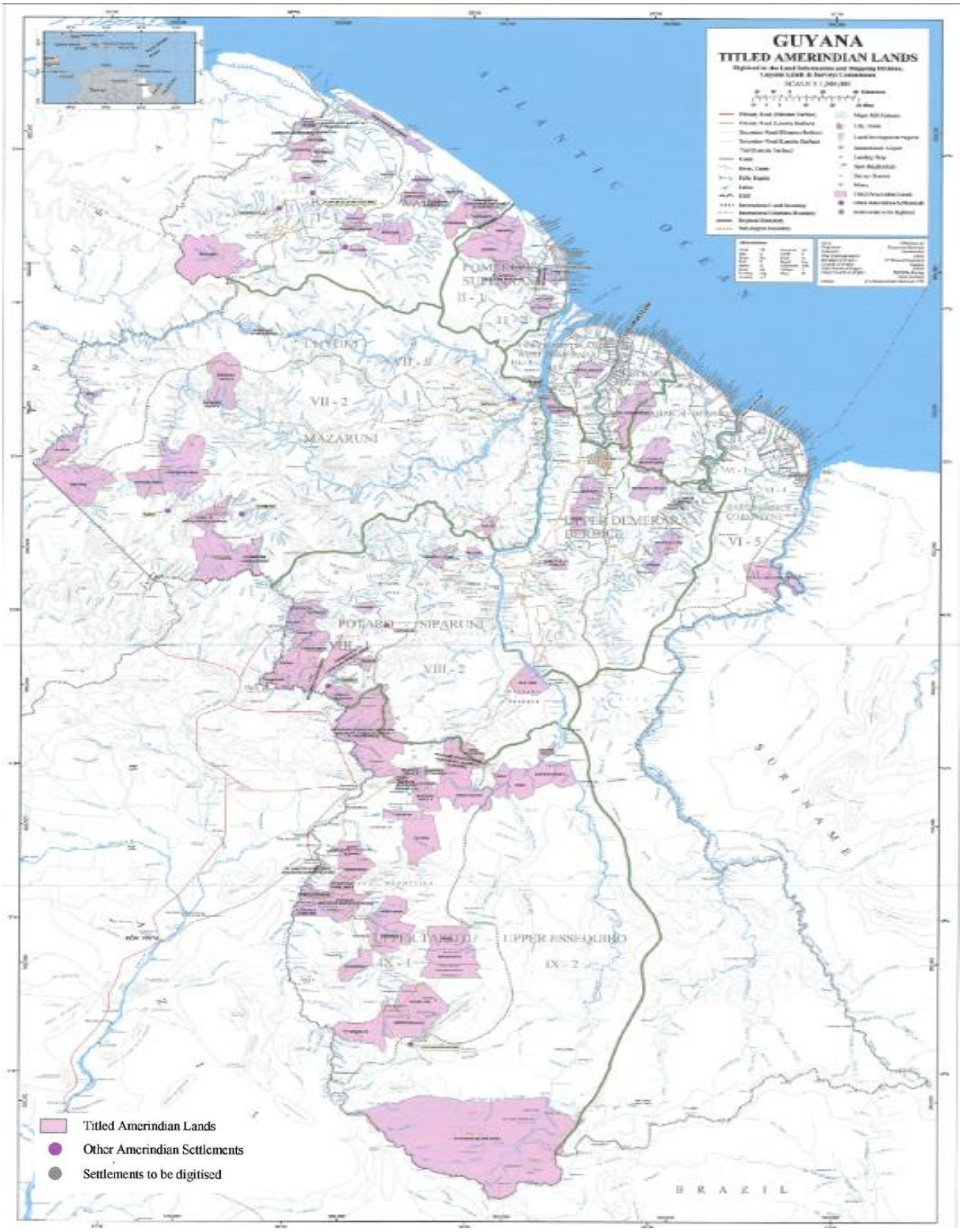
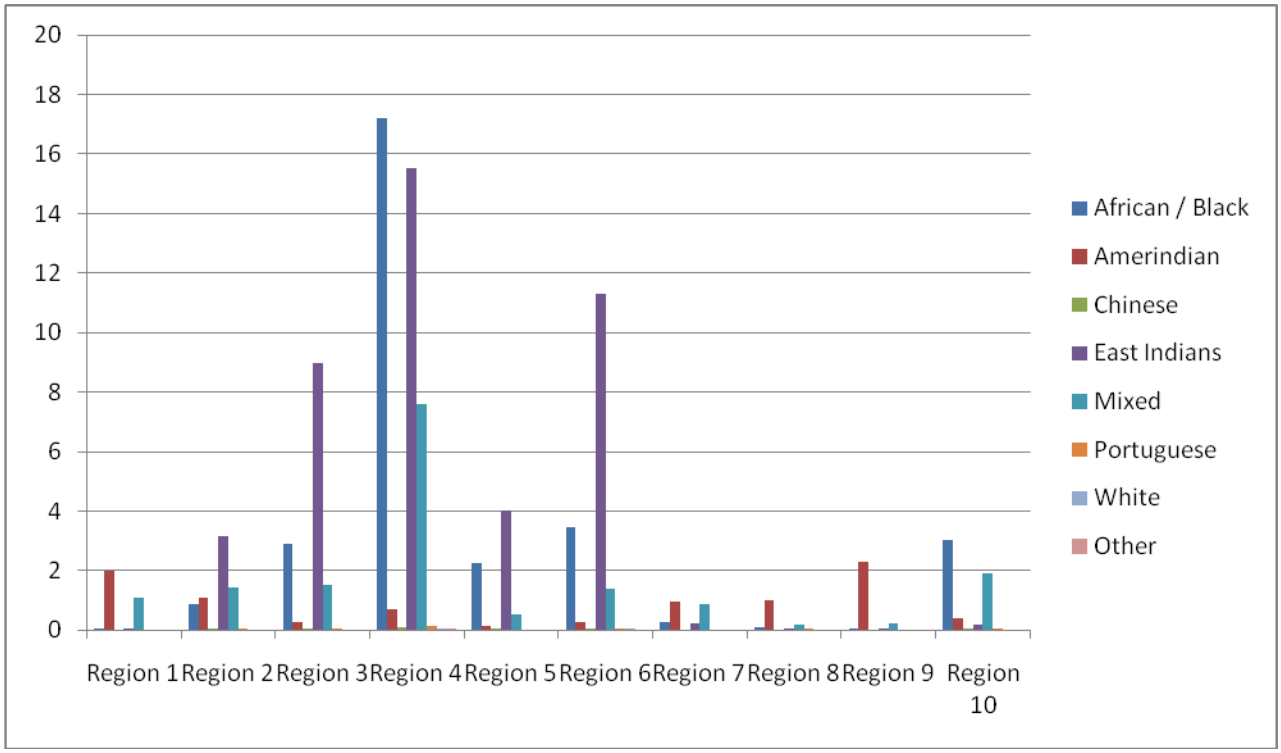


Figure 5. Population by Nationality Background/Ethnicity by Region of Residence, Guyana



Source: Guyana Population Census 2002; Published by the Bureau of Statistics Georgetown, Guyana.

3. Impact assessment

The following assessment of possible social impacts on Indigenous Peoples (Amerindians) was conducted based on consultations with relevant stakeholders (Annexes 4 and 6), ensuring effective participation of all affected and interested parties.

Throughout the Project preparation phase, this consultative process has been followed, providing opportunities for the voices of civil society organizations focusing on environmental and Amerindian issues as well as University stakeholders to be heard. Specifically during the elaboration of this document, discussions were held early enough in order for impacts, compensation and mitigation measures to be identified by the stakeholders themselves. Participative mechanisms for fostering ownership and minimizing impacts will be further pursued in the course of the Project. Table 1 summarizes the potential impacts identified and the mitigation measures proposed.

3.1 Component 1: Education Quality Improvement Program (EQIP)

- ***Sub-Component (a) Curriculum Reform***

(a) Positive impacts

- Since the curriculum reform is to be geared towards the Low Carbon Development Strategy, new courses will likely be relevant to Indigenous Peoples and to their livelihood practices. Possible confluences between the new curriculum on sustainable development and subjects that affect Indigenous Peoples are:
    - Feasibility of new low carbon industries, especially in the interior;
    - Integrated Natural Resources Management;
    - Sustainable and clean mining;
    - Land use, rotating agriculture and shifting cultivation;
    - Environmental monitoring and evaluation.

(b) Negative impacts

- There is a risk that indigenous peoples would be excluded from the consultation and deliberation process for the curriculum reform;
- In the case that new courses advance knowledge on sustainable environmental practices and livelihoods, the lack of opportunities for (distance) learning provided to Amerindian communities would prevent them from benefiting from that increased knowledge;
- Traditional knowledge on fauna and flora might be overlooked in the process of developing the new curriculum.

(c) Mitigation measures

- Since the curriculum reform process will be linked to research projects supported by Component 3 of this Project, emphasising research on alternative livelihoods and environmental management in the interior is key for the inclusion of these subjects in the new curriculum.
- The curriculum reform coordinator should liaise with representatives of Indigenous Peoples (Government and Non-Government) and with the Amerindian Research Unit regularly and include their feedback on the development process of new courses.

- ***Sub-Component (b) Research Grants***

(a) Positive impacts

- Research projects might target the improvement of livelihoods in communities and enhance the application of Amerindian traditional knowledge;
- Amerindian community members could be actively involved in research projects, assisting in the collection of data or providing background information;
- Social engagement strategies in the research projects could include the active participation of students and thus raise awareness on Indigenous Peoples issues among them;

- Research activities involving Amerindian communities or areas might foster stronger linkages between Amerindian groups and the Amerindian Research Unit.

(b) Negative impacts

- Research agenda might only target Amerindian areas but not provide benefits and participation opportunities for communities;

- Scientific language used for the discussions between researcher and communities on the research proposal might be unfamiliar to the communities, impairing their deliberation about the implications of a consent;

- Permission granted by Toshaos to research projects might not reflect a consent or even awareness about the research project by all members of the community, in the case that no appropriate consultation is conducted with the village council;

- Social or economic exploitation of Amerindian communities might occur due to lack of legislation on intellectual property rights;

- There might be no recognition of intellectual contributions by Amerindians in the final research product;

- Possible lack of appropriate systems for providing feedback to Amerindian communities.

(c) Mitigation measures

- Research in subject areas of interest for Amerindian communities should be promoted;

- Specific guidelines should be in place to ensure broad community support and free prior and informed consultations of research carried out within Indigenous communities;

- Ongoing consultation, engagement and training of indigenous communities to ensure mutual benefits of research activities in terms of their socio-economic development;

- The engagement between researchers and communities could include property rights education and other such training which can improve the governance systems in Amerindian villages;

- Amerindian representatives could be appointed to the membership of the Project Management/Steering Committee or any other decision making body for the project, specifically regarding curriculum and research content.

3.2 Component 2: Infrastructure rehabilitation

While no impact on Amerindians could be identified, the infrastructure rehabilitation works might cause general social impacts, including disruption of activities in the University and temporary relocation of students.

3.3 Component 3: Institutional Capacity Building

(a) Positive impacts

- New distance learning technologies can provide Amerindians with improved access to University education without being displaced from the local community;

- The studies on business development in context of the LCDS could include outreach to other groups directly involved in the wellbeing of Amerindian communities, such as small-scale miners and mining companies. Miners could be trained in water systems management and pollution control.

(b) Negative impacts

- New technologies and improved academic and institutional capacity on campus can contribute to further alienate faculty and students from traditional indigenous knowledge.

(c) Mitigation measures

- A strategy for long-term social engagement could be prepared by the University in order to foster dialog and exchange of knowledge with Amerindian communities;

- Studies on distance learning should contemplate the inclusion of Amerindian communities in the programs.

Table 1. Potential Impacts and Mitigation measures proposed.			
Project component	**Table Potential Impact**	**Level of Impact**	**Mitigation measures**
Component 1 (a) Curriculum reform (b) Research grants	+ University stakeholders to become familiar with social issues regarding the LCDS + New courses focusing on subjects relevant to Amerindians, as the promotion of sustainable livelihood practices + Opportunity for distance learning for Amerindian communities - No opportunity for Amerindians to participate in the consultations for the curriculum reform, to include their traditional knowledge in that process or to benefit from the new curriculum + Institutional capacity building in terms of research skills for University stakeholders + Involvement of Amerindians in research activities + Research on improved sustainable livelihoods + Stronger linkages to the University of Guyana - No participation of Amerindians in the research agenda - Lack of meaningful consultation on research in Amerindian areas due to language barriers or to weak governance systems in the communities - No recognition of intellectual contributions by Amerindians and expropriation of intellectual property - No feedback on research results to the communities	-/+ Medium	▪ Broad participation of University stakeholders in the curriculum reform ▪ Research in subject areas of interest for Amerindians ▪ Guidelines for having broad community support and ongoing free prior and informed consultations, benefit sharing and training in Amerindian communities ▪ Continuous engagement of University stakeholders with Amerindian representatives and their participation in the Steering committee
Component 2: Infrastructure rehabilitation	- Disruption of activities in the University and temporary relocation of students	- Low	▪ Adequate planning, grievance and monitoring mechanisms
Component 3	+ The studies on business development in context of the LCDS could include outreach to other groups directly involved in the wellbeing of Amerindian communities, such as small-scale miners and mining companies - New technologies and improved academic and institutional capacity on campus can contribute to further alienate faculty and students from traditional indigenous knowledge	-/+ Low	▪ The University Administration shall optimise opportunities by networking with other social partners (private sector, NGOs, among others)

4. Agency Responsibilities/Institutional Arrangements and Processing Requirements

All activities in relation to this Project must flow in accordance with the World Bank instrument OP 4.10 of 2005. For the avoidance of doubt, these activities are also required to comply with all applicable national laws approved in accordance with the constitutional provisions of the Parliament of Guyana. Further, these activities and their antecedents must also comply with all applicable provisions and regulations approved and enforced by the Academic Board of the University in association with the governing Council of the University of Guyana.

All researchers who are desirous of receiving funding under the UG Science and Technology Support Project for any research Project(s) are required to complete the Indigenous Peoples Impact Categorization Form (IP-ICF) which is the approved standardized instrument for evaluating the impact of each project on the indigenous peoples of Guyana and their communities/livelihoods. This instrument/form IP-ICF is available as Annex 2 of this document.

If after completing the assessment using instrument IP-ICF, the Project is assessed as a Category "A" Project, the researcher(s) must prepare an Indigenous Peoples Plan (IPP) to guide the operationalisation of the Project. All research proposals for projects assessed as Category "A" must be accompanied by an Indigenous People's Plan at the time of submitting the research proposal to the University. Research projects which are assessed as Category "B" do not require the preparation/submission of an Indigenous Peoples Plan (IPP) but a completed version of instrument IP-ICF must accompany the research proposal at the time of its submission to the University.

4.1 Definition of Categories

The following definitions shall apply when evaluating all research proposals or projects using the Indigenous Peoples Impact Categorization Form (IP-ICF)

Category A

A proposed project is classified as Category "A" if it is likely to have significant positive or negative impacts on indigenous peoples. A proposed project is also classified as Category "A" if it will have limited impacts on indigenous peoples or when there is a risk that the project may not bring the intended benefits to the affected indigenous peoples within a specific plan. An Indigenous Peoples Plan (IPP) is required for Category "A" project to avoid negative impacts and ensure appropriate benefits.

The circumstances where an intervention is considered as having a significant impact on indigenous peoples include:

(i) positive or negative effect(s) on their customary rights of use and access to land and natural resources;

(ii) positive or negative effect(s) on their socioeconomic and cultural integrity;

(iii) positive or negative effect(s) on their health, education, livelihood, and social security status;

(iv) impacts that may alter or undermine indigenous knowledge, preclude customary behaviours or undermine customary institutions;

(v) Project(s) which are to be located in, or pass through, areas of significant indigenous peoples' settlement and/or use such areas or settlements to attain the objectives of the project(s); and

(vi) Project(s) which are proposed to specifically target indigenous peoples in one or more of its activities; or is/are anticipated to have significant negative effects on indigenous peoples.

For the purpose of assessing community impact using Form IP-ICF, researchers are advised that community impact may be considerably broader than the immediate area physically affected by a project. Category "A" shall be applicable to a project and its impact area where indigenous peoples maintain distinctive customs or economic activities which may make them particularly vulnerable to hardship. It also applies to a project that is likely to adversely affect or disrupt community life. A full-blown IPP should include specific deliverables, budget and schedules of engagement.

Category B

A project is classified as Category "B" if it is likely to have very minimal or no adverse or significant impact on indigenous peoples. For this category of project(s), no IPP or specific action is required although impact on indigenous peoples still needs to be properly reviewed. The specific observations which lead to or support the conclusion that the project is assessed as a Category "B" project must however accompany the research proposal at the time of submitting the proposal for consideration of funding.

For the avoidance of doubt it is herein made clear that all research proposals at the time of their submission to receive consideration for funding by the University under the UG Science and Technology Support Project must be accompanied by a completed Indigenous Peoples Impact Categorization Form (IP-ICP).

Only those parties whose research proposals/projects are assessed as Category "A" are required to follow the procedures/guidelines outlined under items **5.3.1 – Processing and screening requirements for Indigenous Peoples Plan,** and **5.3.2 – Core steps for preparing an IPP** of this document. However, all researchers/stakeholders should also refer to the flow chart available in Annex 5 of this document which specifies the structural procedures which are mandatory in order to obtain funding.

4.2 The Academic Board and the Low Carbon Development Research Committee of the University of Guyana

The University of Guyana Academic Board, its constitution and functions are established under Statute 14, 15 and 16 of the University of Guyana Act Chapter 39.02 of 1963.

The Low Carbon Development Research Committee is comprised of persons the various faculties/schools as well as external experts in the area of Low Carbon Development.

4.2.1 Structural Arrangements for the Submission of Research Proposals to the Low Carbon Development Research Committee

The procedures which are to be followed for submission, consideration and receipt of grants through the grant application process must confirm to the standard arrangements outlined by the University of Guyana Low Carbon Development Research Committee. (Please also refer to the flow chart available in Annex 5 of this document). These are outlined as follows:

a) After completing the research proposal, this document must be evaluated by the researcher(s) in accordance with the Institutional Review Board (IRB) checklist and the Indigenous Peoples Impact Categorisation Form (IP-ICF). These completed instruments must accompany the research proposal at the time of submission. It is the responsibility of the researcher(s) to forward two copies of the completed forms/evaluations and the research proposal to the Amerindian Research Unit (ARU) and Environmental Specialist for the University of Guyana Science and Technology Support (UGSTS) Project. For the purpose of this Project this arm of the University is tasked with the continuous role of collaboration with the Environmental Specialist in pre-screening all research proposals and to monitor the implementation processes of Indigenous Peoples Plans submitted by researchers according to specifications contained in the approved research Project document.

b) In the event that a project is assessed as one that involves human subjects, eight copies of the proposal must be submitted to the Institutional Review Board (IRB) of the Ministry of Health through the office of the Chief Medical Officer for review and approval by that body.

c) If either of the two agencies offer an objection, or solicit a clarification in relation to the research proposal it is the responsibility of the researcher(s) to provide any additional information or document required by these bodies to enable their decision on whether to grant or not to authorization/approval for the execution of the particular research study. For the avoidance of doubt, it is mentioned here that studies which require entry into areas occupied by the indigenous/Amerindian peoples, either demarcated by law or in other way recognized as Amerindian land or habitats, it shall be the responsibility of the researcher(s) to obtain approval from the Ministry of Amerindian Affairs/Government of Guyana and or any other prescribed state agency charged with the responsibilities of granting such permission to execute the particular study prior to approaching the

Institutional Review Board and or the Amerindian Research Unit (ARU) of the University.

d) Provided that the Institutional Review Board of the Ministry of Health and or the Amerindian Research Unit of the University, (whichever is applicable) approves the research proposal and accompanying protocols, the researcher(s) shall now be authorised to submit this proposal for grant funding arising out of this Project to their Faculty/School to obtain endorsement.

e) Provided, that the faculty/school maintain a no objection to the proposal, the researcher should then submit their proposal to the Low Carbon Development Research Committee.

i. In the event that the Faculty/School is unable to approve the research proposal and the accompanying application for funding, the Low Carbon Development Research Committee is empowered to request any additional information it may require from any source it deems relevant for the purpose of fulfilling its mandate.

ii. In the event that the decision of the Low Carbon Development Research Committee is to reject the request for funding, the researcher(s) presenting the proposal shall enjoy the right to appeal the decision of the Low Carbon Development Research Committee, in writing, to the Academic Board of the University within thirty (30) days of the decision tendered in writing to the researcher. For the avoidance of doubt, any appeal against a decision made by the Low Carbon Development Research Committee by a party of interest in relation to a specific request for funding must be submitted by the appealing party in writing to the Registrar of the University.

iii. For the avoidance of doubt, the Low Carbon Development Research Committee must at all times convey its decision(s), in respect to any application for grant funding submitted to it as a body corporate, in writing to the applicant(s) through the office of the Dean or Director of the relevant Faculty or School.

(f) Provided that an application for funding is approved by the Low Carbon Development Research Committee of the University, that decision accompanied by a relevant extract of the minutes of the meeting at which the decision to grant approval was taken, must be forwarded to the Bursar of the University with an approved schedule of payment in accordance with the activities proposed and approved in the research proposal and accompanying application tendered to this body (the Low Carbon Development Research Committee).

(g) For the avoidance of doubt, the office of the Bursar in association with the Amerindian Research Unit (ARU), the Office of the Dean/Director shall continue to be charged with the responsibilities for oversight, in relation to any approved study which is financed by the resources of this Project. This is to ensure general compliance with all rules and regulations governing the financial responsibilities and obligations of the University as well as the approved technical and scientific standards of the Project.

(h) After the completion of any research, financed by resources derived from this Project, the researcher(s), may seek the support of the University or any approved alternative source, to finance the publication of the study, with due compliance with the procedures outlined by the Low Carbon Development Research Committee for the purpose of publishing their work.

4.3 Allied Agencies and their Role

All activities to be considered and authorised for performance within the settings of the Indigenous People/Amerindians of Guyana shall also, where necessary receive authorisation under the Amerindian Act of Guyana and/or the Institutional Review Board (IRB) of the Ministry of Health to enable consideration by the Low Carbon Development Research Committee of the University.

4.3.1 Role of the Amerindian Research Unit (ARU) of the University of Guyana

It is also proposed that the Amerindian Research Unit of the University of Guyana shall be involved as a formal body in the activities of monitoring and evaluating all relevant activities referred to under item 4.3.

For the avoidance of doubt the Amerindian Research Unit (UG) shall be/is empowered as an advisory agency but its advice must be taken into consideration to inform the decisions of the Low Carbon Development Research Committee of the University.

Where appropriate the Low Carbon Development Research Committee (UG) is compelled to accept any advice offered by the relevant authority under the Amerindian Peoples Act of Guyana and/or the Institutional Review Board (IRB).

4.4 Grievance Mechanism for University Stakeholders

(a) Any decision to finance any activity in relation to this Project shall arise out of the explicit decision of the Low Carbon Development Research Committee of the University. To avoid any potential conflict of interest it is herein made clear that no member of the Low Carbon Development Research Committee who has vested interest in any particular activity or project presented for consideration shall be present during the deliberations of that committee. Any such member shall only enjoy the right to appear before the committee to provide evidence/information to enable the deliberations of the said committee.

(b) If a faculty member or any group of such persons is aggrieved by any decision of the Low Carbon Development Research Committee he/she or the group reserves the right to appeal the decision(s) of the Low Carbon Development Research Committee to the Academic Board. This must be done in writing to the Registrar of the University within thirty (30) days of the decision.

(c) Upon receipt of any complaint tendered in accordance with item (b) above, the Registrar shall be compelled to submit the complaint for review by the next statutory meeting of the Academic Board of the University or no later than thirty (30) days after receipt of the complaint, whichever date is earlier.

(d) If the complainant is a member of the Academic Board of the University, he/she or they are compelled to remove themselves from any such meeting or part thereof convened for the purpose of hearing the complaint. The complaints shall have the right to appear before the meeting of the Academic Board convened to hear the appeal/complaint made by them.

(e) The decision of the Academic Board under this subsection, as an appeal authority shall be binding.

4.5 Procedures and Grievance Mechanism to be followed by Parties Solely External to the University of Guyana

(a) If an external party is aggrieved by any decision or action authored or performed by any agent of the University that party shall have the right to complain in writing to the Academic Board of the University through the Registrar.

(b) Upon receipt of any complaint tendered in accordance with the provision of this sub section, the Registrar of the University shall be compelled to submit the complaint for review by the next statutory meeting of the Academic Board of the University or no later than thirty five (35) days after receipt of the complaint, whichever date is feasible.

(c) The Academic Board reserves the right to receive evidence from any party including the complainants to enable its decision in relation to any complaint laid before it. The decision of the Academic Board under this subsection, as an appeal authority shall be binding.

The hearing of all complaints must be scheduled and completed within a reasonable time having due regard for the time lines prescribed in these provisions.

4.6 Grievance mechanisms currently enforced by the Ministry of Amerindian Affairs

Currently, the Ministry of Amerindian Affairs (MoAA) has identified the following instances qualified for dealing with complaints from Amerindian communities about research activities:

- District Council, composed by all Toshaos from the district along with one representative from each Village Council in the district;
- Community Development Officer: located at a district level and responsible for intermediating between Amerindian communities and the MoAA;
- National Toshaos Council: comprising all elected Toshaos in the country; meets annually;
- Complaints can also be filed directly with the MoAA or, if the research targets human subjects, with the Institutional Review Board of the Ministry of Health, which includes Amerindian representation.

5. Framework for Free, Prior and Informed Consultations/IPP

This component is in keeping with the World Bank Indigenous Peoples Planning Guidelines OP 4.10 of July 2005. It also draws on the Nuremburg Code of 1949 which sets out a set of principles to guide environmental and social research involving human subjects or vulnerable groups. The core principles of this framework are outlined as follows:

i. Voluntary consent

ii. Outcome(s) should benefit society

iii. Results should justify the study

iv. Avoid unnecessary suffering

v. Do not risk death or disability

vi. Risks should not exceed the importance of the problem

vii. Individuals should be protected from possible harm

viii. Investigators should be qualified

ix. Participants must be able to voluntarily withdraw from the study at any time

x. Studies should be terminated at any point that humans may be injured, disabled, or die.

Additionally, this component is also informed by the Declaration of Helsinki of 1964 which emphasise, in addition to the Nuremburg Code of Ethics, that all research should adhere to local laws and establish procedures for obtaining voluntary and informed consent. Further, it is herein recognised that the fundamental ethical principles established under the Belmont Report of 1979 are equally important. These principles draw attention to the need for all research involving human subject or vulnerable groups to embrace.

Respect for Persons: This principle emphasizes that:

- People should be treated as autonomous (self-determination)
- Persons with diminished autonomy are entitled to extra protection
- Requires that persons participating in any research study should be able to do so voluntarily and with adequate information

Beneficence: This principle emphasizes that:

- Research should do no harm
- Research should at all times maximize impossible benefits and minimize potential harms
- Researcher and research subjects must be able to decide or agree when it is justifiable to seek certain benefits despite the risks involved, and when the benefits which are likely to accrue from research should be

foregone because of the risks associated with the particular research activity/study

Justice: This principle emphasises that:

- There must be fairness in societal distribution of the risks and benefits of research
- There must be reasonable, non-exploitive procedures
- There is reasonableness surrounding who is selected to participate in research and why?

The Indigenous Peoples Plan is therefore a lead instrument for protecting the rights and welfare of those who participate in research funded by the World Bank through the practices of investigators, programme leaders and relationships emerging out of any such research with external partners.

5.1 Rationale for Free, Prior and Informed Consent

This component is derived from the three coequal fundamental ethical principles which are given as respect for persons, beneficence and justice.[2] Informed consent is an essential model for ethical decision making when conducting research that involves human subjects/vulnerable groups. The goal of informed consent is to protect the rights of a competent/vulnerable person such as the members of minority groups/human population to make their own decisions based on personal goals and values. Informed consent facilitates both research decision making and care decisions that are participant centered.

The informed consent process forms one of the cornerstones for ethical conduct when engaging in research. Potential participants must be informed on the intent and design of the particular research study, with affirm right to voluntarily consent to participation. The consent process must take place in a way that ensures that prospective subjects are informed and enjoy the right to voluntary decide on their own participation without compromise. All consent documents must communicate the necessary information in a meaningful way, to the research subjects to provide them with a clear understanding of the objectives and interest which are to be pursued in the study. Additionally, legal requirements of the Government of Guyana to obtain both the consent of Amerindian communities and a research permit should be met, as specified in the following section.

5.2 Institutional arrangements for consulting and obtaining approval for research on Amerindian areas

According to the Amerindian Act of 2006, researchers planning to conduct research on Amerindian areas are instructed to obtain:

[2] The Belmont Report of 1978.

- a technical approval from the Environmental Protection Agency (EPA), responsible for monitoring if research proposals are in accordance to adequate formal and technical specifications;

- permission to enter Amerindian villages granted by the Ministry of Amerindian Affairs (MoAA). The permission to enter Amerindian districts is intended to make it possible for researchers to seek approval from the communities to the conduction of research in their area;

- once in direct contact with the Amerindian community, researchers might seek the approval of the Amerindian governing bodies, including the village council, the elected Toshao for the village and, on a district level, the District Council (composed by all Toshaos from the district along with one representative from each Village Council in the district).

5.3 Specific Funding Requirement of the World Bank's Policy OP 4.10.

Policy document OP4.10 of the World Bank contributes to the Bank's mission of poverty reduction and sustainable development by ensuring that any development activity and their accompanying processes fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. Hence, it is a requirement that all projects which are proposed for financing by the World Bank; and affect Indigenous Peoples (who are recognised as Amerindians in the case of Guyana), must provide for a process of free, prior, and informed consultation. For the avoidance of doubt, it is emphasised that the World Bank provides Project financing only where free, prior, and informed consultation results in broad community support to the Project by the affected Indigenous Peoples. Consequentially, any activity which is proposed under the University of Guyana/Government of Guyana/World Bank Science and Technology Project must include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also to be designed and structured in a manner to ensure that the Indigenous Peoples receive social and economic benefits which are culturally appropriate and gender and intergenerationally inclusive.

The Bank recognizes that the identities and cultures of Indigenous Peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. These distinct circumstances expose Indigenous Peoples to different types of risks and levels of impacts from development projects, including loss of identity, culture, and customary livelihoods, as well as exposure to disease. Gender and intergenerational issues among Indigenous Peoples also are complex. As social groups with identities that are often distinct from dominant groups in their national societies, Indigenous Peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their interests in and rights to lands, territories, and other productive resources, and/or restricts their ability to participate in and benefit from development.

The World Bank recognizes and guarantees the need to uphold the rights and role of Indigenous Peoples in sustainable development intervention and the attending processes in accordance with both domestic and international law.

It is recognised here and elsewhere in this document that in line with the World Bank policy document OP 4.10 and in tandem with the Amerindian Act of Guyana, the term "Amerindian(s)" is used to identify and recognise the indigenous people of Guyana on account of the principles of self-identity.

Thus whenever considering and/or submitting a project or subproject for financing, researchers must comply with the provisions outlined below.

5.3.1 Processing and screening requirements for Indigenous Peoples Plans

All research projects proposed for financing require screening to identify, among others, whether Amerindians are present in, or have collective attachment to, the Project area. Research proposals that are positively screened regarding the former, and those which have been classified as category A according to the Indigenous Peoples Impact Categorization Form (please refer to Annex 2) are required to prepare an Indigenous Peoples Plan before approval of the research grant (see Policy OP 4.10 Annex 7). According to this policy, the disclosure of the draft Indigenous Peoples Plan is required at the appraisal stage. The level of detail necessary to meet the requirements of this policy is proportional to the complexity of the proposed Project and commensurate with the nature and scale of the proposed Project's potential effects on the Indigenous Peoples, whether adverse or positive. While the outline of the IPP might vary due to the considerations above, basic elements are specified in Annex B of the OP 4.10.

The following steps are not designed to be a comprehensive guidance in preparing an IPP, but rather to present the minimal requirements researchers must comply with and mandatory steps to be undertaken at appraisal level. Further elements of an IPP are: cost estimates and financing plan; grievance procedures, and mechanism for monitoring and evaluation.

5.3.2 Core steps for preparing an IPP

- Initial screening. In conducting screening for the presence of Indigenous Peoples in the research area, researchers are required to conduct an initial assessment for their research project using the **Indigenous Peoples Impact Categorization Form (IP-ICF),** or available as Annex 2 of this document. To achieve the preparation of the IPP, researcher(s) must also pay attention to all applicable local legislation as well as the recommendations of the World Bank which are available under policy instrument OP 4.10 (see Annex 7). This might require the judgment of qualified social scientists with expertise on the social and cultural groups in the Project area. Further questions to be taken into account are:

- Are there any Indigenous groups that make regular use of the same natural resources that are subject to the research?

- Are there other stakeholders that are both relevant to the research project as well as embedded in the social context that also includes Amerindians? Those could be civil society organizations, private sector or local governing bodies.

- Social assessment at appraisal stage. If, based on the screening, the researcher concludes that Amerindians are present in, or have collective attachment to, the Project area; the researcher(s) must undertake a social assessment to evaluate the project's potential positive and adverse

effects on the Indigenous Peoples, and to examine project alternatives where adverse effects may be significant.

The breadth, depth, and type of analysis in the social assessment are to be proportional to the nature and scale of the proposed research Project potential effects on the Amerindian people, whether such effects are positive or adverse (please refer to World Bank policy OP 4.10 Annex A for additional details). For research focusing or biological/ biophysical processes with no foreseeable implication or involvement of Amerindian interests, there need not be a comprehensive assessment. Assessment should include:

- Some baseline socioeconomic information on the population, livelihoods as well as stakeholders involved in profit and non-profit activities in the area;
- Information on the Amerindian representation in the specific village or district, underlining their reputation and representativeness;
- Summary of the key Project specific issues and social impacts. For example, if the research is about water quality, how does this affect local communities? If about wildlife harvesting, what do people say about these practices?

- Applicable legal context, i.e. Amerindian Act and OP 4.10. Each IPP do not need to repeat these sections, however the IPP must identify key permits and approvals required.

- Framework for achieving broad community support. According to the Amerindian Act of 2006, researchers planning to conduct research on Amerindian areas are instructed to obtain a technical approval from the EPA and a permission to enter Amerindian villages granted by the Ministry of Amerindian Affairs. The permission to enter Amerindian districts is intended to make it possible for researchers to seek approval from the communities to conduct research in their area.

For the specific purposes of processing research proposals, permission and initial consent from the EPA and the Village Captain (Toshao) are required to be included in the IPP. The IPP must also be supported with documentation of the relevant approval issued by the EPA. This documentation must be appended to the IPP at the time of its submission to the University of Guyana for funding consideration. The researcher(s) are allowed to contact the relevant village/village authority without being required to visit the community. At the appraisal stage, the approval of the village can be a written statement by the Toshao/Village Captain supporting the research project. The Ministry with responsibility for Amerindian Affairs may be accessed by the researcher to mediate first contact with the relevant community/communities.

Before conducting research activities and possibly after the grant approval, the researcher is required to establish a consultation and communication framework with all relevant stakeholders in order to maintain broad community support. Those might include different Amerindian governing bodies, as the village council, the elected Toshao for the village and, if research is conducted in a larger area, the District Council (composed by all Toshaos from the district along with one representative from each Village Council in the district). A consultation framework should comprise institutional arrangements for implementing the research project, a communications plan including presentation to community at inception and completion, as well as supporting evidence of the pathways and activities followed.

- Action plan for enhancement of benefits. It is required that researchers at least communicate and discuss research results with the communities, be it through the sharing of copies of the research paper or through presentations both at the beginning and at the end of the research project. The plan should delineate culturally appropriate actions to ensure benefits and/or address adverse impacts (if any). Possible initiatives are to hire local research assistants or to involve community in research design.

ANNEX 1: Research Methodology and Writing Tips for Preparing an Indigenous People Plan

- Role of methodology in the development of science, scope and application

The purpose of this unit is to provide some basic background information on scientific research design, some of the research techniques used by scientists, and some ethical considerations raised by these designs and techniques.

The pursuit of science is an attempt to understand the physical world; that is, to describe the phenomena that characterize physical reality, and, when possible, to define, predict, and even control the conditions under which these phenomena occur. Basic to scientific inquiry is an acceptance of the philosophical perspectives known as empiricism and determinism. Scientists are expected to be cognisant that knowledge results from experience and is based on observations of physical events. Moreover, these physical events are assumed to follow physical laws in that they depend upon causal factors which are discoverable.

Scientific understanding, then, must be based on objective, systematic observation of physical events and on analytical reasoning, or inference that is truly logical. The two adjectives used here, objective and systematic, describe critical characteristics of the observations upon which science is based. Objective observations can be experienced directly and are repeatable, making it possible for scientists to verify each others' work. Systematic observations are obtained under clearly specified, and, where possible, controlled conditions that can be measured and evaluated. The research methodology should provide the tools needed to produce objective and systematic observations, called empirical data, and to ensure that inferences based on these observations are grounded in logic.

Scientists develop theories to organize their empirical observations. A theory is a set of principles that attempts to explain the causal factors underlying related scientific observations. The usefulness of any theory depends upon its internal consistency, its ability to account for existing data, and its precision in prediction. Scientists use hypotheses to generate predictions that can be tested empirically. It is important to appreciate that scientific theories and hypotheses can never be "proven true" but can only be supported (confirmed) or not supported (disconfirmed) by currently available data.

Biomedical and biodiversity investigations can be broadly categorized into two types: experimental studies and descriptive studies. A true experimental study is one in which subjects are randomly assigned to groups that experience carefully controlled treatments manipulated by the experimenter according to a strict logic allowing causal inference about the effects of the treatments under investigation. Descriptive studies, although objective and systematic, lack the rigid control achieved through random assignment of subjects and precise manipulation of treatment conditions. As a result, causal inferences cannot logically be derived from descriptive studies

In summary the distinguishing characteristics of research versus non research are:

	Research	Non-research
Definition	"…systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalisable knowledge."	May use scientific methods to identify and control a particular problem or concern with benefits to study participants or their communities.
Primary Intent	To generate generalisable knowledge (i.e., information that can be usefully applied in other settings).	To benefit program participants or the communities from which they come.
Methods	• Scientific principles and methods used • Hypothesis testing/generating • Knowledge is generalisable	• Scientific principles and methods used • Hypothesis testing/generating • Knowledge may be generalisable, but that was not primary intent

Source: US Centre for Disease Control Guidelines on Human Subjects Research.

The value of research depends upon the integrity of study results. One of the ethical justifications for research involving indigenous subjects and/ or their physical communities is the social value of advancing scientific understanding and promoting or advancing human welfare through beneficence. But if a research study is methodologically flawed that little or no reliable information will result, it is unethical to put subjects at risk or even to inconvenience them through participation in such a study. One question which is often posed by Research Review Committee/Boards and other ethical bodies is "To what degree is it their responsibility to review the underlying science of the proposed research?"[3] Clearly, if it is not good science, it is not ethical. National regulations under which the local Institutional Review Board (IRB) operate and the guidelines of the University of Guyana Low Carbon Development Research Committee operate however, do not clearly require the review or evaluation of the research design for scientific validity. Nonetheless, there is the requirement to determine whether "risks to subjects are reasonable in relation to...the importance of the knowledge that may reasonably be expected to result". If the underlying science is no good, then surely no important knowledge may reasonably be expected to result.

Left without clear direction on this point, IRBs and other research management bodies appear to take the following approach, which has been described approvingly by Robert Levine (1986, p.

[3] Neuman, W.L (2000) Social Research Methods: qualitative and quantitative approaches (4th ed.) Boston: Allyn and Bacon

21): Where the investigator conducting the research under review is seeking government funding or other extramural funding agency, rigorous review of the science is left to the agency's peer review process. The IRB therefore, provides a less detailed examination to satisfy itself that there are no obvious flaws that would place subjects at unnecessary risk. Where the protocol will not receive such detailed scientific review, IRBs should review the research design with much more care, perhaps with the assistance of consultants, if the IRB itself does not possess sufficient expertise to perform such a review. Levine suggests that IRBs should establish their authority to criticize the scientific merits of protocols and to exercise that authority to require that investigators correct design flaws identified by the IRB before receiving IRB approval, but that IRBs should recognize their limits in this regard as well. Similarly, it is suggested that given the critical role of this Project in supporting the alignment of research and the university curriculum along the pathway of the Low Carbon Development Strategy (LCDS), the University of Guyana Low Carbon Development Research Committee is anticipated to be proactively involved in guiding the processes for the development of research emanating from this Project. Research must be both valid and of value [Freedman (1987b)]. Although members of research regulatory bodies do not need to be experts in scientific methodology or statistics, they should understand the basic features of experimental and survey design in particular, and they should not hesitate to consult experts when aspects of research design seem to pose a significant problem. Any requisite realignment of the University of Guyana procedural structure and guidelines in relation to this Project should take cognizance of this observation.

Informed Consent Document versus Informed Consent Process

Documents of this kind serve as a means of presenting information and as a record of what was supposed to have been communicated. Neither the document itself, nor its signing is consent. It is in no way proof of what participants would have actually understood, nor proof that they voluntarily consented, even if there is a statement contained therein "… I understand…" Informed consent must rely on a process that is guided by voluntariness, comprehension and free of coercive and/or exculpatory language. Hence, all informed consent instruments must embrace eight fundamental elements. These are:

- an explanation that the study is researched
- the associated risks
- identification of all benefits which will accrue (whether predicated or known)
- alternative options available to participants
- confidentiality of identity disclosures
- information about potential harm or injury
- provision of legitimate persons/agencies (referees) to be contacted in the event that there may be questions about the research project, rights as a potential or actual subject, harm/injury etc. (such nominees should not include the researcher(s) since this may generate a conflict of interest. Rather, referees should represent a higher institutional authority for example, the Vice Chancellor of the University, Chair, UG Low Carbon Development Research Committee, Chair of the IRB-

Ministry of Health, Guyana or any other relevant authorizing body outside of the research team conducting the study); and

- voluntary participation.

Element 1- Explanation that the study is research; this component must provide:

a. a statement that the study involves research
b. an explanation of the purposes of the research
c. expected duration of subject's participation in the research
d. a description of the procedures to be followed
e. identification of any procedures which are experimental

Element 2 - Risks - a description of any reasonable, foreseeable risks or discomforts to the subject(s)

Element 3 - Benefits - a description of any benefits to the subject or to others which may reasonably be expected from the research.

Element 4: Alternatives - a disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject

Element 5: Confidentiality - a statement describing the extent, if any, to which confidentiality of records identifying the subject will be maintained

Element 6: For research involving more than minimal risk information about harm/ injury:

a. an explanation as to whether any compensation is available if injury occurs
b. an explanation as to whether any medical treatments are available if injury occurs, and if so
c. what they consist of or where further information may be obtained

Element 7: Persons to contact with questions

a. an explanation of whom to contact for answers to pertinent questions about the research
b. an explanation of whom to contact for answers to pertinent questions about rights as a research subject
c. whom to contact in the event of research-related injury or harm to the subject

Element 8: Participation is voluntary

a. a statement that participation is voluntary
b. refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled
c. the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

- **Writing Tips for Preparing an Indigenous People Plan**

- The Indigenous Peoples Plan and all appendices must be submitted in English, the official language of Guyana.
- Researcher are encouraged to use standard Grade 6 (Primary Level) language when developing instruments which are to be used as part of the process for obtaining free prior and informed consultations/consent and data collection.
- Budgets must be quoted/submitted in local currency units (Guyana dollars[G$])
- Formatting and version control must be standardized
- Data collection forms and Informed Consent documents must be included
- Informed Consent documents and scripts must include the 8 required elements. Be concise!!!
- Use active voice
- The use of first person is acceptable
- The use of future tense is recommended
- Use version numbers and dates
- Proofread all documents before submission or circulation
- In the event that your work is a collaborative effort, concur with peers/collaborators on the version being submitted.

ANNEX 2: Indigenous Peoples Impact Categorization Form (IP-ICF)

The University of Guyana – Research Fund

Indigenous Peoples Impact Categorization Form (IP-ICF)

Name of Lead Researcher:	
Names of other researchers and assistants	
Department, Faculty:	
Project Name:	
Project Code:	
Project expected duration (months):	
Date :	

B. Identification of indigenous peoples in project area

Impact on indigenous peoples (IPs)/ ethnic minority (EM)	Not known	Yes	No	Remarks or identified problems, if any
Are there IPs or EM groups present in project locations?				
Do they maintain distinctive customs or economic activities that may make them vulnerable to hardship?				
Will the research project restrict their economic and social activity and make them particularly vulnerable in the context of project?				

Will the research project change their socioeconomic and cultural integrity?				
Will the research project disrupt their community life?				
Will the research project positively affect their health, education, livelihood or social security status?				
Will the research project negatively affect their health, education, livelihood or social security status?				
Will the research project alter or undermine the recognition of their knowledge, preclude customary behaviors or undermine customary institutions?				
In case no disruption of indigenous community life as a whole, will there be loss of housing, strip of land, crops, trees and other fixed assets owned or controlled by individual indigenous households?				

C. Anticipated project impacts on indigenous peoples

Project activity and output	Anticipated positive effect	Anticipated negative effect
1.		
2.		
3.		

D. Decision on Categorization

After reviewing the answer above, the Amerindian Research Unit and the Environmental Specialist agree that the project:

☐ Should be categorized as an A project, an Indigenous Peoples Plan (IPP) is required or, for sector/FI projects, an Indigenous Peoples Planning Framework (IPPF) is required

☐ Should be categorized as a B project, no IPP/IPPF or specific action required

Comments by the Amerindian Research Unit
Comments by the Environmental Specialist
Comments by Low Carbon Development Research Committee**:**

Proposed by:		Reviewed by:	
.....	.....	.....	.....
Lead Researcher	Date	ARU	Date
.....	.....	.....	.....
Collaborative Researcher	Date	Environmental Specialist	Date
.....	.....	.....	.....
Collaborative Researcher	Date	Low Carbon Development Research Committee	Date
.....	.....		
Collaborative Researcher	Date		

Explanation of IP Impact Categorization

A. Summary of Categorization

The IP categorization depends on the nature and magnitude of the project's potential positive and negative impact on indigenous peoples, which may result from its location, the type and scale of the project, and sensitivity of indigenous peoples' issues. The established categories and their explanations are as follows:

- Category A - Indigenous Peoples Plan (IPP) is required
- Category B - No impact

B. Definition of Categories

Category A

A proposed project is classified as Category "A" if it is likely to have significant positive or negative impacts on indigenous peoples. A proposed project is also classified as Category "A" if it will have limited impacts on indigenous peoples or when there is a risk that the project may not bring the intended benefits to the affected indigenous peoples within a specific plan. An Indigenous Peoples Plan (IPP) is required for Category "A" Project to avoid negative impacts and ensure appropriate benefits.

The circumstances where an intervention is considered as having a significant impact on indigenous peoples include:

(vii) positive or negative effect(s) on their customary rights of use and access to land and natural resources;

(viii) positive or negative effect(s) on their socioeconomic and cultural integrity;

(ix) positive or negative effect(s) on their health, education, livelihood, and social security status;

(x) impacts that may alter or undermine indigenous knowledge, preclude customary behaviours or undermine customary institutions;

(xi) Project(s) which are to be located in, or pass through, areas of significant indigenous peoples' settlement and/or use such areas or settlements to attain the objectives of the project(s); and

(xii) Project(s) which are proposed to specifically target indigenous peoples in one or more of its activities; or is/are anticipated to have significant negative effects on indigenous peoples.

For the purpose of assessing community impact using Form IP-ICF, researchers are advised that community impact may be considerably broader than the immediate area physically affected by a

project. Category "A" shall be applicable to a project and its impact area where indigenous peoples maintain distinctive customs or economic activities which may make them particularly vulnerable to hardship. It also applies to a project that is likely to adversely affect or disrupt community life. A full-blown IPP should include specific deliverables, budget and schedules of engagement.

Category B

A project is classified as Category "B" if it is likely to have very minimal or no adverse or significant impact on indigenous peoples. For this category of project(s), no IPP or specific action is required although impact on indigenous peoples still needs to be properly reviewed. The specific observations which lead to or support the conclusion that the project is assessed as a Category "B" project must however accompany the research proposal at the time of submitting the proposal for consideration of funding.

For the avoidance of doubt it is herein made clear that all research proposals at the time of their submission to receive consideration for funding by the University under the UG World Bank Science and Technology Support Project must be accompanied by a completed Indigenous Peoples Impact Categorization Form (IP-ICP).

ANNEX 3: Stakeholders Consultation: Participants list

Civil Society Organizations (Environmental and Indigenous Peoples Focus)
April 11, 2011

NAME	ORGANIZATION/ TITLE	CONTACT #	E-MAIL
Peter Persaud	TAMOG (The Amerindian Action Movement of Guyana) President	223-8032	tamog@yahoo.com
Melville Calistro	G.O.I.P (Guyana Organization of Indigenous Peoples) Executive	610-0335; 671-3652; 670-6092	goipguyana@gmail.com
Lawrence Anselmo	APA (Amerindian Peoples Association) Program Assistant	227-0275	apaguyana@gmail.com
René Edwards	Conservation International-Guyana Coordinator	695-3211; 2278171	redwards@conservation.org
Ashton Simon	NADF (National Amerindian Development Foundation)	275-0011	ashton@yahoo.com
Ramon Simon	NADF (National Amerindian Development Foundation)	275-0011	ashton@yahoo.com
Paulette Bynoe	Consultant	222-4180	bynoep2000@yahoo.com

ANNEX 4. Stakeholders Consultation: Summary of discussions

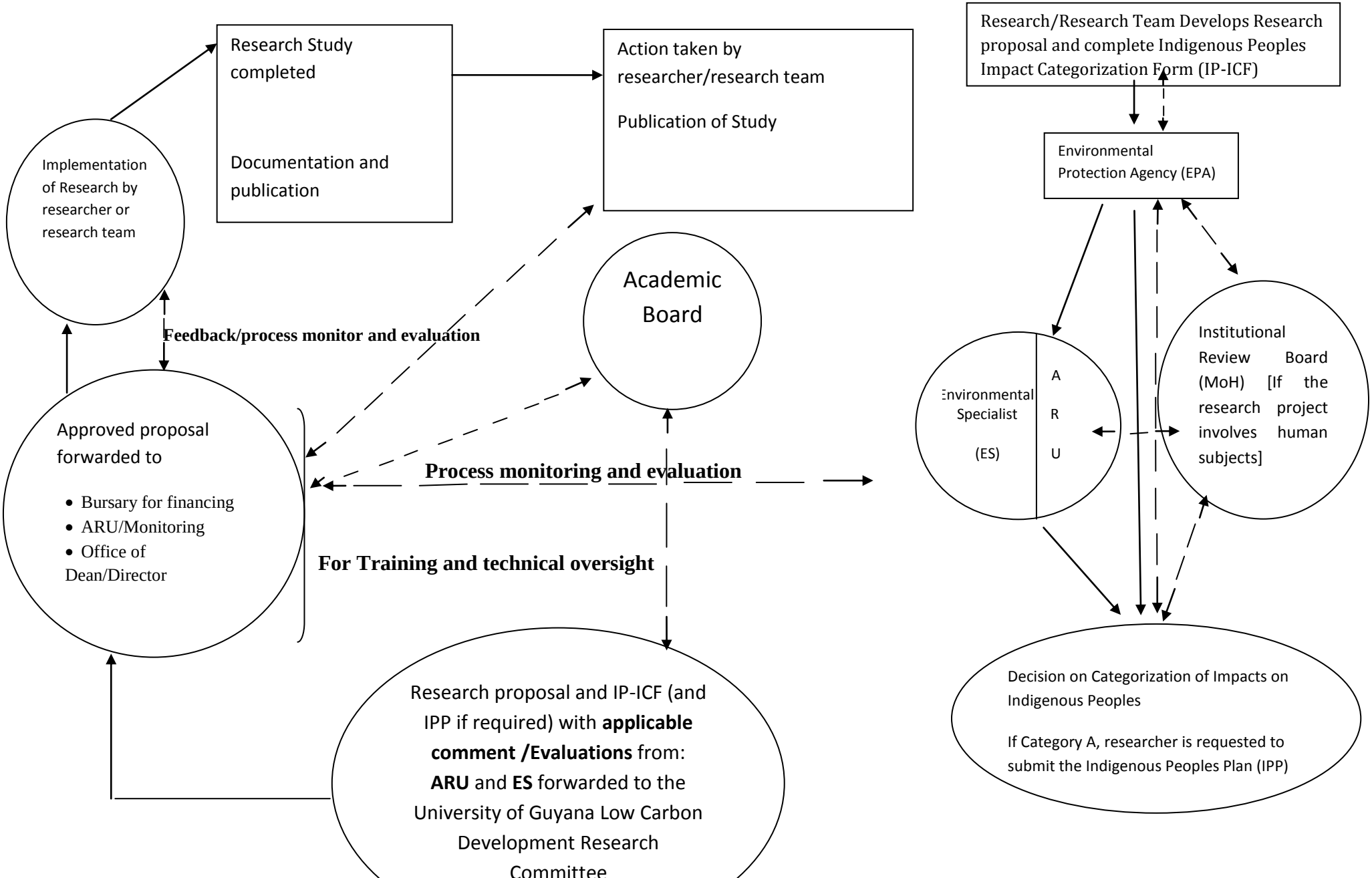
Civil Society Organizations (Environmental and Indigenous Peoples Focus)
April 11, 2011

Component	Sub-Component	Issues	Discussion results
1.Education Quality Improvement	(a) Provision of technical assistance to: • Support a standardized process for updating existing and generate new curricula. • Develop new curricula to support the LCDS. • Provide stipends to UG lecturers who dedicate time, expertise and energy to this process.	• Curriculum	• The University's curriculum on the LCDS should create linkages at the secondary level so that hinterland students can benefit and roll over to specializations in the sciences at the University and all other tertiary levels • The University should develop courses that target Amerindian community/population to create low carbon industries in hinterland communities. • The curriculum should also address mining since this is part of the livelihood of Amerindian communities. • The curriculum should prepare members of the Amerindian communities to perform work in areas such as environmental monitoring and evaluation. • The curriculum should provide scientific training in areas of rotating agriculture and shifting cultivation, integrated land use and landscape management. • New curriculum areas should tap into traditional/indigenous expertise and knowledge while providing intellectual property rights benefits. • The curriculum should speak to sustainable mining. Additionally, it should target miners since this type of economic activity sometimes negatively impact on the livelihood of the Amerindian people since they rely on the water systems of the hinterland. Miners should therefore be trained in water systems management and pollution control. This could be part of the outreach activities of the project. • The curriculum should also provide education on poverty reduction by taking a closer look at how this challenge can be overcomed by Amerindians as a cultural group. • Curriculum should provide Amerindian groups with property

Component	Sub-Component	Issues	Discussion results
			right education and other such training which can improve the governance systems in Amerindian villages. • The curriculum should also focus on improving food and nutrition issues/conditions relevant to the Amerindian people. • The curriculum should provide Amerindians with the opportunity for training in sustainable forestry and the use of integrative technologies.
	(b)Research	• Research and Collaboration	• The research agenda of the University should support biodiversity and integrated natural resource management. • Research should be conducted on energy efficiency, waste management and water control. • Research should address improvements in governance systems among Amerindian communities. • The Amerindian people should be provided with recognition on account of their intellectual contributions of local knowledge to research. • The research agenda should not only target Amerindian communities but should also provide benefits. • Systems must be put in place to prove local groups with feedback. • There must be systems in place to engage Amerindians in the decision making process relating to research. The research agenda of the University must address challenges which arise out of the culture of subsistence agriculture to explore shifts to other practices since shifting and subsistence agriculture drives deforestation. • UG should foster stronger linkages between Amerindian communities and the University particularly from the standpoint of the Amerindian Research Unit. • The research agenda should also examine what are some of the other areas of functional cooperation which can be pursued with agencies such as the Guyana Forestry Commission and the Guyana Gold and Diamond Association among others.

Component	Sub-Component	Issues	Discussion results
2.Infrastructure Rehabilitation	(a) Rehabilitation of 14 science buildings across Turkeyen campus • Would support the establishment of a campus wide Internet network to connect all faculties to the Internet and prepare the University to connect into an international link, which will be established as part of the e-government broadband network currently under construction (to be operational by end-2011). • In conjunction with the connectivity, a set of software applications would be developed such as e-learning tools and digital content repositories to support the design and delivery of the new curriculum in component 1.	• Upgrading Amerindian Skills	• Training Opportunities should be provided for Amerindians using the new technologies which would be available to the University. Amerindians should be trained in general information systems and remote censoring. • Training should also speak to improving food production and nutrition, and sustainable forestry.
3.Institutional Capacity Building	(a) • Will strengthen the existing capacity of the University with additional coordination, curricular supervision, civil works, ICT and facilities management capacities. • And finance capacity building for staff in charge of undertaking continuous review and maintenance of infrastructure and equipment. • The financial management and procurement capacities would be leveraged from the Ministry of Education's Planning Unit.	• Collaboration	• The University must collaborate with local groups so that they can benefit and not become displaced as a result of the project. • The technical outcomes of the project should facilitate improvements in social services i9n areas such as education and health in hinterland communities.
		• Health and Safety of Amerindian people	• Special attention should be directed to improving the health and safety of Amerindian people.
		• Technology	• New technologies should not be applied in such ways to displace local knowledge but rather serve to preserve that knowledge.
		• More Amerindian should have access to University-level education	• Distance learning technologies should provide Amerindian groups with improved access to University education without the need to remove from the local community.
	Research and Development and Business and Development	• Reciprocity	• There must be a benefit sharing policy.

ANNEX 5: Institutional Arrangements for Research Development and Publications at the UG



ANNEX 6: Minutes of the Public Consultation

THE UNIVERSITY OF GUYANA/ WORLD BANK SCIENCE AND TECHNOLOGY SUPPORT PROJECT (P125288) HELD ON APRIL 21, 2011 AT 2:00 HRS IN THE EDUCATION LECTURE THEATRE, TURKEYEN CAMPUS, UNIVERSITY OF GUYANA

The public consultation commenced at 2:15 hrs.

Dr. Paulette Bynoe, Chairperson, in her opening remarks emphasised that the consultation was critical in order for the World Bank to release funds for the Project. She stated that the consultation was an opportunity to solicit the views of the stakeholders on the project and to obtain feedback as to the improvement of the delivery of the project.

Dr. P. Bynoe expressed gratitude to the team which comprised Ms. Denise Simmons and Mr. Andrew Hicks who worked tireless to get the information needed for the representatives of the World Bank.

The following presentations were delivered at the consultation:

Overview of the Project Components and Predicated Impact by Ms. D. Simmons, Summary of Environmental Management Plan and Monitoring Schedule by Dr. P. Bynoe and Overview of the Indigenous Peoples Planning Framework by Mr. A. Hicks.

Immediately following these presentations, stakeholders asked questions and made comments and recommendations on the presentations and the way forward was discussed.

Dr P. Bynoe explained the steps of the Environmental Impact Assessment which is a precautionary tool and is a process where one step leads to another. In this process, the environment was taken into account. She indicated that not only the trees and birds comprised the environment, but also the surroundings which included the physical environment such as the land, air, water, the physical infrastructure, such as the buildings. Also, there is the biotic environment and the protection of the flora and fauna and its impact on the people.

Dr. Bynoe mentioned that the team not only examined the negative impact, but also the positive impact and the current environment and what changes would be derived after the execution of the project. The mitigation measures for negative impacts and ways to enhance positive impacts were provided.

Dr. Bynoe further stated that the World Bank had looked at the project and the documents and had given the green light on May 20, 2011 and towards the end of May 2011, the Board will meet to approve the funds for the project. Hence, the consultation with the stakeholders today was of great importance in order to obtain information towards the improvement of the documents. She apologised for the short notice for the meeting and mentioned that the entire project document that was prepared could be accessed on the University's website.

It was noted by Dr. Bynoe that the project was screened by the World Bank and was placed in a category B, which meant that the project had received prior approval from the Board.

The next phase was the scoping aspect which sought to solicit ideas and feedback on the project from indigenous groups, UGSS, and the Academic Board, among others.

Finally, the Environmental Management Plan which looked at the predicted impacts of the project and the mitigation measures.

Ms. D. Simmons in her presentation gave a synopsis of the project and stated that four Science Faculties were being strengthened to better prepare graduates to assist in the implementation of the LCDS. She mentioned that the team examined the components of the project, namely:

- Education Quality Improvement;
- Infrastructure Rehabilitation; and
- Institutional Capacity Building.

Ms. D. Simmons stated that a number of consultative efforts were needed to review the project and get feedback on what stakeholders expected. The university staff were expected to do research to find out what has to be done to the curriculum for the implementation of the low carbon economy, then develop courses and pilot them. Following this, approval had to be received from the Academic Board. She indicated that this research and development of curricula gives support for implementation of the broader University Policy.

In component II, rehabilitation of buildings and purchasing and implementation of basic science equipment would have to be done and a campus wide area network constructed. In addition to the repairs to buildings, there would be changes to the current lightening system to low energy, and proper drainage.

Management support for many of these particular projects would be part of the project where the University would have the equipment and a system to maintain the buildings and equipment. The project would strengthen the ICT capabilities. Also, a hazard assessment and a laboratory safety plan would be done for the campus and a feasibility study for the establishment of the bio-diversity institute. The establishment of a Business Unit for the Campus was also a part of the project.

Ms Simmons highlighted that during the Impact Assessment the impacts were assessed in terms of duration, likelihood of occurrence, geographic extent, reversibility and nature, and then the significance of the impact was determined. She indicated that impacts were classified as high, moderate or low. Ms. Simmons then provided an overview of the impacts that were classified as high, medium or low. Examples of high impacts mentioned by Ms. Simmons included: increase in social relevance of University of Guyana within a national context, opportunity created for design of distance education materials to respond to the interest expressed by representatives of the indigenous communities, and creation of opportunity for University of Guyana to create partnerships with other academic institutions at the regional and international levels, as well as sector agencies in Guyana. The high adverse impact would be traffic congestion due to the delivery of material supply. Ms. Simmons then presented the Medium Impacts, which included: increase in work load of lecturers who will be involved in the review of curricula, and increase in lecturers' income and spending power. Also, through the holding of workshops, there would be consensus building in curriculum development which in turn can enhance cross-disciplinary and

inter-disciplinary collaboration. The design of the project was done with a view to improve the Health and Safety aspects arising from the improved facilities.

She alluded to some medium adverse impacts such as social conflicts (in indigenous areas) arising from different cultural norms, exploitation of indigenous peoples' traditional knowledge and generation of dust and waste, and increase of noise and emission of gases. Regarding low impacts, Ms. Simmons identified that there can be some direct loss of animals and plants species and decrease in quality of surface water due to discharge of engine oil and transmission or hydraulic fluids into surface water.

Ms. D. Simmons stated that a lot of the mitigation measures for all negative impacts were identified and enhancement measures for all positive impacts were highlighted. And the project from the point of view of the Work Bank requires an IPPF to protect the rights of the indigenous people; hence, the need for a draft frame-work for the implementation.

Dr. P. Bynoe gave a presentation on mitigation measures for selected predicted impacts.

Mr. Hicks in his overview stated that the World Bank Policy Document OP4.10 which relates to the Indigenous People Framework IPPF can be found on the World Bank website www.worldbank.org. He further stated that all projects submitted to the World Bank for funding as a policy must be supported by an IPPF. The proposed IPPF for the UG project can be uploaded on UG's website and persons can also give feedback to the document.

He indicated that the World Bank was aware of the potential impact which projects could have on indigenous people, and hence the bank's instrument OP4.10 document that relates to respecting the rights of the Indigenous Peoples and their involvement. It is a critical instrument that supports the rights of the Amerindian which has to go through a screening and prescreening process to determine whether the project must be carried out, then there is the evaluation in terms of the IPPF what impacts it would have on the community.

All research projects which are intended to benefit from funding provided by the World Bank under the UG/Science and Technology Project must be supported by an Indigenous Peoples Plan (IPP). The policy also guarantees adherence to National and International laws as well as regulations of the University approved by the Academic Board.

Mr. Hicks explained the critical role for Amerindian research, and expressed the need to solicit funds for the indigenous research. He said that the Amerindian groups have shared a pivotal role in the involvement of the IPPF for the University's Project. There is an equally important role facilitated by the current institutional arrangements of the University for the Amerindian Research Unit and the Low Carbon Development Research Committee in trems of monitoring all research projects. He highlighted this in a diagram which illustrated the Institutional Arrangements/Structure to be followed when soliciting funds from the project as well as implementation. He further stated that the World Bank was strict on protecting the rights and welfare of the indigenous people and hence there is the need for the proposed grievance mechanisms which is available to all internal and external stakeholders. All grievances are addressed in the timely manner in keeping with the prescribed schedule outlined in the IPPF.

The presentation featured a comprehensive outline of the IPPF which is proposed for the University of Guyana. Discussions/interaction on the content of the document/presentation were later accommodated during the plenary session.

Dr. Bynoe then indicated that the document should not be treated as final since it was the objective of the consultation process to allow the writers to refine the document. The floor was then opened to questions/comments/recommendations from stakeholders.

- Mr. John Caesar, Faculty of Natural Sciences mentioned that there should be inclusion of certain pieces of legislation. At which Dr. Bynoe intervened to indicate that the section of the document that addressed the legislative framework was not shared at the consultation because of the time constraint, but that this section detailed finalised and draft Acts.

- Mr. Caesar continued by indicating that the mitigation measure of erecting cubicles for office space may present an issue given the University's current financial status. He recommended that the cost for such be borne by the World Bank project. Mr. Caesar also pointed out that research may be conducted on state forest lands which fall under the domain of the Guyana Forestry Commission. Mr. Hicks injected to remind the gathering that the University recently adopted a policy on confidentiality and that the use of cubicles was in keeping with that policy.

- An individual student asked whether there was a limit to how much funds was available for research projects. In response he was told USD600,000 was the amount available for research, but that in terms of what one could apply for would range from USD5,000-USD15,000 was available per project.. All applications to conduct research would have to pass through the University of Guyana.

- Mr. Oumardatt Ramcharran, Environment Protection Agency (EPA) mentioned that the Wildlife Conservation and Management Regulations, 2008 should be referred to as draft and queried consultations with NGOs while the institutions listed as being responsible for implementation of mitigation measures were all Government agencies. He then queried whether Guyana has IPR (Intellectual Property Rights) laws and whether the IPPF Framework would seek to address that. Dr. Bynoe responded that the World Bank has IPR safeguards and that issues raised by indigenous groups were cited under the draft Bio prospecting Regulations. Regarding institutions, Dr. Bynoe noted that institutions should be interpreted as organisations with power and invited him to identify other organisations that should be included in monitoring.

- The EPA representative further mentioned that regarding the IPPF, permission for granting approval for any kind of research in the county, whether on state lands or Amerindian lands, is the mandate of the EPA and this should be mentioned. Dr. Bynoe indicated that the Ministry of Amerindian Affairs informed her that EPA deals with the technical aspects, but consent is given by the local people. She further revealed that the IPPF was not a requirement of national legislation rather it was a requirement of the University of Guyana for the project to be considered by the World Bank. Mr.

Ramcharran reiterated that EPA has to grant the overarching permit. It was agreed that the IPPF would reflect EPA's involvement in the research approval process.

- Mr. Curtis Bernard, Conservation International - Guyana noted the importance of the project, commended the team for the analysis done thus far, and made the following comments/questions:

    - The materials for the consultation should have been provided to participants a little earlier so that persons could have come prepared.

    - Whether the public consultation was the only forum for feedback since he wanted the opportunity to review the entire document and provide more in depth feedback.

    - Some indicators were in response to impacts as opposed to how well the impact would be addressed. For example, the indicator for the impact incidents/accidents from construction is the presence of flagmen, but flagmen may be present but asleep and accidents/incidents still occur. Therefore, indicators should relate directly to the impacts that are being addressed and not in response to the impact.

    - Whether the project would examine impacts, especially from construction, outside the confines of the campus. For example, if wood is to be used in the project whether there would be measures to ensure the use of properly certified wood and from a reputable source so that it is not harvested in an unsustainable manner. There should be considerations for design features which use less electricity and more efficient use of water in the constructed and renovated buildings.

    - Entities outside of the University, such as the NTC are listed to assist in providing monitoring. How the project would be enabling those entities to carry out the functions that the project expects of them?

    - The EPA requires a permit for all research and therefore the EPA permitting process should be mentioned in the document.

    - It is a requirement to obtain permission from the Village Council to access any titled Amerindian land.

- Dr. Bynoe responded by indicating the following:

    - At the scoping meeting it was pointed out that the EMSF would have to be completed in two weeks to meet the deadline for the project to be considered; the Team had a submission date of April 20, 2011 for a World Bank meeting at 14:00 hrs on that date.

    - The World Bank has given approval, so that the University could move forward with the project. However, the document is a draft and the opportunities are being provided to refine the document. Consultation is a continuous activity and a social engagement plan would be developed to facilitate feedback during the

execution of the project. Based on the advice provided by the World Bank, for public disclosure the draft document was placed on the University's website, with the permission of the Public Relation Officer, on April 20, 2011 at 19:00 hrs.

- The impact indicators would be refined and other indicators included.

- The area of influence of the project was referred to as the geographic extent of the impact in assessing the nature of the impact. This was explained in the document.

- Supplier chain in terms of sustainability is important. If the University purchases materials from a supplier, the supplier should uphold environmental rules. In the new concept of sustainability appraisal, the supplied must be included.

- Regarding how persons would be involved in the project, such as the NTC, there is a section in the document that deals with capacity building which is not being shared at this consultation. In this section, specific groups are identified for training in order to implement the mitigation measures. Persons are invited to identify other groups for training.

- Mr. Dwayne Renville, Faculty of Natural Sciences, stated that he was expecting an environmentally friendly University and that there was the need to build up the land because of flooding and to introduce solar power. He mentioned that the current office space allows for little or no privacy, and suggested the need for added security, such as ID cards with a magnetic strip without which access to certain facilities would be prevented and the system would record who enters. He queried whether lists for laboratory equipment could still be submitted and suggested that impacts be categorised according to whether on campus or off campus. Mr. Renville was pleased to learn that the project would address the disposal of chemical waste and recommended that regulations for the use of plastics on campus be developed.

- In response, it was mentioned that the Deputy Vice Chancellor was overseeing the process of the development of the equipment lists and should be contacted regarding whether lists could still be provided. Regarding the representation of impacts according to whether they occur on or off campus, it would be examined with the World Bank specialist whether this could be done, recalling that there is a particular theoretical framework for EIAs in which the impacts are classified according to the components of the environment. With respect to building up of land, it was mentioned that the material would have to be acquired and transported which would be an impact as well. However, one component of the project is to address the issue of flooding and also sewage.

- Mr. Lenandlar Singh, Faculty of Natural Sciences noted that this was an opportunity for the University to embrace the idea of low carbon and going green and supported the notion of purchasing from suppliers who were "green". He further noted that there would be challenges in embracing a paper-less environment which his Department is currently experimenting with. He nevertheless was of the opinion that the University needed to practice some of these measures. Regarding the impact

"difficulty of access to lecture rooms", Mr. Singh suggested that the University think about how the construction work could be structured so that it would not affect the operations, particularly teaching, for example by shifting the semester. Regarding Health and Safety risk, he mentioned that both lecturers and students should avoid worksites and that the University must treat the Health and Safety risk seriously for example by ensuring persons wear dust masks or informing persons of their roles and responsibilities.

- In response, Ms. Simmons indicated that the word "lecturers" would be included in the mitigation measure to avoid worksites and pointed to use of dust masks and safety boots by the workers that was mentioned as a mitigation measure for the Health and Safety Risk. Further the worksites should be cordoned off to prevent persons from accessing these areas. Consideration would be given to the inclusion of reduction of waste in the University's practices and move to a paper-less environment (where practical) as mitigation measures in the document.

- Ms. Petal Jetoo, Ministry of Education queried whether with the fibre optic installation and increased broad band, consideration would be given to an online library to reduce paper and to collaborate with other universities that offer similar courses which could be done locally. She further mentioned that two proposals were submitted for a review of primary and secondary curriculum to integrate low carbon aspects into science and technology. She therefore recommended that the Ministry of Education and University of Guyana collaborate in the curriculum review component of the project. Ms. Jetoo noted that the project was timely since the Ministry of Education was in the process of re-mobilising science and technology for national development.

- Mr. Hicks responded by sharing that in the project, specifically the research component, the University would develop a system for approval of the research projects with the University's policies and procedures and that higher weightings would be given to projects that proposed to use secondary school students since this was intended to encourage the movement of these students into science and technology at the University. Ms. Simmons noted that the School of Earth and Environmental Sciences was offering a programme jointed with University of Suriname Anton De Kom where some of the course were being offered by distance. As such, the University was experimenting with offering courses by distance. Ms. Simmons also noted that in curriculum review there were opportunities to offer courses that are currently offered by other Universities.

Dr. P. Bynoe in concluding stated that another version would be uploaded for stakeholders to give their feedback and further recommendations on the project and for May 6 the final document will be uploaded. Regarding the social engagement plan, this would be developed to continue receiving feedback during construction and execution of the project. She also thanked her colleagues for the support, working overtime to gain the nod from the World Bank Officials and for a super human task that was under taken at very short notice. Finally she thanked all the institutions for their support.

The meeting ended at 17.00 hrs.

ANNEX 7: OP 4.10 - Indigenous Peoples

OP and BP 4.10 together replace OD 4.20, *Indigenous Peoples*, dated September 1991. These OP and BP apply to all projects for which a Project Concept Review takes place on or after July 1, 2005. Questions may be addressed to the Director, Social Development Department.

1. This policy[1] contributes to the Bank's[2] mission of poverty reduction and sustainable development by ensuring that the development process fully respects the dignity, human rights, economies, and cultures of Indigenous Peoples. For all projects that are proposed for Bank financing and affect Indigenous Peoples,[3] the Bank requires the borrower to engage in a process of free, prior, and informed consultation.[4] The Bank provides project financing only where free, prior, and informed consultation results in broad community support to the project by the affected Indigenous Peoples.[5] Such Bank-financed projects include measures to (a) avoid potentially adverse effects on the Indigenous Peoples' communities; or (b) when avoidance is not feasible, minimize, mitigate, or compensate for such effects. Bank-financed projects are also designed to ensure that the Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and intergenerationally inclusive.

2. The Bank recognizes that the identities and cultures of Indigenous Peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. These distinct circumstances expose Indigenous Peoples to different types of risks and levels of impacts from development projects, including loss of identity, culture, and customary livelihoods, as well as exposure to disease. Gender and intergenerational issues among Indigenous Peoples also are complex. As social groups with identities that are often distinct from dominant groups in their national societies, Indigenous Peoples are frequently among the most marginalized and vulnerable segments of the population. As a result, their economic, social, and legal status often limits their capacity to defend their interests in and rights to lands, territories, and other productive resources, and/or restricts their ability to participate in and benefit from development. At the same time, the Bank recognizes that Indigenous Peoples play a vital role in sustainable development and that their rights are increasingly being addressed under both domestic and international law.

3. *Identification.* Because of the varied and changing contexts in which Indigenous Peoples live and because there is no universally accepted definition of "Indigenous Peoples," this policy does not define the term. Indigenous Peoples may be referred to in different countries by such terms as "indigenous ethnic minorities," "aboriginals," "hill tribes," "minority nationalities," "scheduled tribes," or "tribal groups."

4. For purposes of this policy, the term "Indigenous Peoples" is used in a generic sense to refer to a distinct, vulnerable, social and cultural group[6] possessing the following characteristics in varying degrees:

(a) self-identification as members of a distinct indigenous cultural group and recognition of this identity by others;

(b) collective attachment to geographically distinct habitats or ancestral territories in the project area and to the natural resources in these habitats and territories[7]

(c) customary cultural, economic, social, or political institutions that are separate from those of the dominant society and culture; and

(d) an indigenous language, often different from the official language of the country or region.

A group that has lost "collective attachment to geographically distinct habitats or ancestral territories in the project area"; (paragraph 4 (b)) because of forced severance remains eligible for coverage under this policy.[8] Ascertaining whether a particular group is considered as “Indigenous Peoples” for the purpose of this policy may require a technical judgment (see paragraph 8).

5. *Use of Country Systems.* The Bank may decide to use a country’s systems to address environmental and social safeguard issues in a Bank-financed project that affects Indigenous Peoples. This decision is made in accordance with the requirements of the applicable Bank policy on country systems.[9]

Project Preparation

6. A project proposed for Bank financing that affects Indigenous Peoples requires:

(a) screening by the Bank to identify whether Indigenous Peoples are present in, or have collective attachment to, the project area (see paragraph 8);

(b) a social assessment by the borrower (see paragraph 9 and Annex A);

(c) a process of free, prior, and informed consultation with the affected Indigenous Peoples’ communities at each stage of the project, and particularly during project preparation, to fully identify their views and ascertain their broad community support for the project (see paragraphs 10 and 11);

(d) the preparation of an Indigenous Peoples Plan (see paragraph 12 and Annex B) or an Indigenous Peoples Planning Framework (see paragraph 13 and Annex C); and

(e) disclosure of the draft Indigenous Peoples Plan or draft Indigenous Peoples Planning Framework (see paragraph 15).

7. The level of detail necessary to meet the requirements specified in paragraph 6 (b), (c), and (d) is proportional to the complexity of the proposed project and commensurate with the nature and scale of the proposed project’s potential effects on the Indigenous Peoples, whether adverse or positive.

Screening

8. Early in project preparation, the Bank undertakes a screening to determine whether Indigenous Peoples (see paragraph 4)are present in, or have collective attachment to, the project area.[10] In conducting this screening, the Bank seeks the technical judgment of qualified social scientists with expertise on the social and cultural groups in the project area. The Bank also consults the Indigenous Peoples concerned and the borrower. The Bank may follow the borrower’s framework for identification of Indigenous Peoples during project screening, when that framework is consistent with this policy.

Social Assessment

9. *Analysis.* If, based on the screening, the Bank concludes that Indigenous Peoples are present in, or have collective attachment to, the project area, the borrower undertakes a social assessment to evaluate the project’s potential positive and adverse effects on the Indigenous Peoples, and to examine project alternatives where adverse effects may be significant. The breadth, depth, and type of analysis in the social assessment are proportional to the nature and scale of the proposed project’s potential effects on the Indigenous Peoples, whether such effects are positive or adverse (see Annex A for details). To carry out the social assessment, the borrower engages social scientists whose qualifications, experience, and terms of reference are acceptable to the Bank.

10. *Consultation and Participation.* Where the project affects Indigenous Peoples, the borrower engages in free, prior, and informed consultation with them. To ensure such consultation, the borrower:
(a) establishes an appropriate gender and intergenerationally inclusive framework that provides opportunities for consultation at each stage of project preparation and implementation among the borrower, the affected Indigenous Peoples' communities, the Indigenous Peoples Organizations (IPOs) if any, and other local civil society organizations (CSOs) identified by the affected Indigenous Peoples' communities;

(b) uses consultation methods[11] appropriate to the social and cultural values of the affected Indigenous Peoples' communities and their local conditions and, in designing these methods, gives special attention to the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits; and

(c) provides 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 Indigenous Peoples' communities) in a culturally appropriate manner at each stage of project preparation and implementation.

11. In deciding whether to proceed with the project, the borrower ascertains, on the basis of the social assessment (see paragraph 9) and the free, prior, and informed consultation (see paragraph 10), whether the affected Indigenous Peoples' communities provide their broad support to the project. Where there is such support, the borrower prepares a detailed report that documents:
(a) the findings of the social assessment;

(b) the process of free, prior, and informed consultation with the affected Indigenous Peoples' communities;

(c) additional measures, including project design modification, that may be required to address adverse effects on the Indigenous Peoples and to provide them with culturally appropriate project benefits;

(d) recommendations for free, prior, and informed consultation with and participation by Indigenous Peoples' communities during project implementation, monitoring, and evaluation; and

(e) any formal agreements reached with Indigenous Peoples' communities and/or the IPOs.

The Bank reviews the process and the outcome of the consultation carried out by the borrower to satisfy itself that the affected Indigenous Peoples' communities have provided their broad support to the project. The Bank pays particular attention to the social assessment and to the record and outcome of the free, prior, and informed consultation with the affected Indigenous Peoples' communities as a basis for ascertaining whether there is such support. The Bank does not proceed further with project processing if it is unable to ascertain that such support exists.

Indigenous Peoples Plan/Planning Framework

12. *Indigenous Peoples Plan.* On the basis of the social assessment and in consultation with the affected Indigenous Peoples' communities, the borrower prepares an Indigenous Peoples Plan (IPP) that sets out the measures through which the borrower will ensure that (a) Indigenous Peoples affected by the project receive culturally appropriate social and economic benefits; and (b) when potential adverse effects on Indigenous Peoples are identified, those adverse effects are avoided, minimized, mitigated, or compensated for (see Annex B for details). The IPP is prepared in a flexible and pragmatic manner,[12] and

its level of detail varies depending on the specific project and the nature of effects to be addressed. The borrower integrates the IPP into the project design. When Indigenous Peoples are the sole or the overwhelming majority of direct project beneficiaries, the elements of an IPP should be included in the overall project design, and a separate IPP is not required. In such cases, the Project Appraisal Document (PAD) includes a brief summary of how the project complies with the policy, in particular the IPP requirements.

13. *Indigenous Peoples Planning Framework.* Some projects involve the preparation and implementation of annual investment programs or multiple subprojects.[13] In such cases, and when the Bank's screening indicates that Indigenous Peoples are likely to be present in, or have collective attachment to, the project area, but their presence or collective attachment cannot be determined until the programs or subprojects are identified, the borrower prepares an Indigenous Peoples Planning Framework (IPPF). The IPPF provides for the screening and review of these programs or subprojects in a manner consistent with this policy (see Annex C for details). The borrower integrates the IPPF into the project design.

14. *Preparation of Program and Subproject IPPs.* If the screening of an individual program or subproject identified in the IPPF indicates that Indigenous Peoples are present in, or have collective attachment to, the area of the program or subproject, the borrower ensures that, before the individual program or subproject is implemented, a social assessment is carried out and an IPP is prepared in accordance with the requirements of this policy. The borrower provides each IPP to the Bank for review before the respective program or subproject is considered eligible for Bank financing.[14]

Disclosure

15. The borrower makes the social assessment report and draft IPP/IPPF available to the affected Indigenous Peoples' communities in an appropriate form, manner, and language.[15] Before project appraisal, the borrower sends the social assessment and draft IPP/IPPF to the Bank for review.[16] Once the Bank accepts the documents as providing an adequate basis for project appraisal, the Bank makes them available to the public in accordance with *The World Bank Policy on Disclosure of Information*, and the borrower makes them available to the affected Indigenous Peoples' communities in the same manner as the earlier draft documents.

Special Considerations

Lands and Related Natural Resources

16. Indigenous Peoples are closely tied to land, forests, water, wildlife, and other natural resources, and therefore special considerations apply if the project affects such ties. In this situation, when carrying out the social assessment and preparing the IPP/IPPF, the borrower pays particular attention to:
(a) the customary rights[17] of the Indigenous Peoples, both individual and collective, pertaining to lands or territories that they traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods;

(b) the need to protect such lands and resources against illegal intrusion or encroachment;

(c) the cultural and spiritual values that the Indigenous Peoples attribute to such lands and resources; and

(d) Indigenous Peoples' natural resources management practices and the long-term sustainability of such practices.

17. If the project involves (a) activities that are contingent on establishing legally recognized rights to lands and territories that Indigenous Peoples have traditionally owned or customarily used or occupied (such as land titling projects), or (b) the acquisition of such lands, the IPP sets forth an action plan for the legal recognition of such ownership, occupation, or usage. Normally, the action plan is carried out before

project implementation; in some cases, however, the action plan may need to be carried out concurrently with the project itself. Such legal recognition may take the following forms:

(a) full legal recognition of existing customary land tenure systems of Indigenous Peoples; or

(b) conversion of customary usage rights to communal and/or individual ownership rights.

If neither option is possible under domestic law, the IPP includes measures for legal recognition of perpetual or long-term renewable custodial or use rights.

Commercial Development of Natural and Cultural Resources

18. If the project involves the commercial development of natural resources (such as minerals, hydrocarbon resources, forests, water, or hunting/fishing grounds) on lands or territories that Indigenous Peoples traditionally owned, or customarily used or occupied, the borrower ensures that as part of the free, prior, and informed consultation process the affected communities are informed of (a) their rights to such resources under statutory and customary law; (b) the scope and nature of the proposed commercial development and the parties interested or involved in such development; and (c) the potential effects of such development on the Indigenous Peoples' livelihoods, environments, and use of such resources. The borrower includes in the IPP arrangements to enable the Indigenous Peoples to share equitably in the benefits[18] to be derived from such commercial development; at a minimum, the IPP arrangements must ensure that the Indigenous Peoples receive, in a culturally appropriate manner, benefits, compensation, and rights to due process at least equivalent to that to which any landowner with full legal title to the land would be entitled in the case of commercial development on their land.

19. If the project involves the commercial development of Indigenous Peoples' cultural resources and knowledge (for example, pharmacological or artistic), the borrower ensures that as part of the free, prior, and informed consultation process, the affected communities are informed of (a) their rights to such resources under statutory and customary law; (b) the scope and nature of the proposed commercial development and the parties interested or involved in such development; and (c) the potential effects of such development on Indigenous Peoples' livelihoods, environments, and use of such resources. Commercial development of the cultural resources and knowledge of these Indigenous Peoples is conditional upon their prior agreement to such development. The IPP reflects the nature and content of such agreements and includes arrangements to enable Indigenous Peoples to receive benefits in a culturally appropriate way and share equitably in the benefits to be derived from such commercial development.

Physical Relocation of Indigenous Peoples

20. Because physical relocation of Indigenous Peoples is particularly complex and may have significant adverse impacts on their identity, culture, and customary livelihoods, the Bank requires the borrower to explore alternative project designs to avoid physical relocation of Indigenous Peoples. In exceptional circumstances, when it is not feasible to avoid relocation, the borrower will not carry out such relocation without obtaining broad support for it from the affected Indigenous Peoples' communities as part of the free, prior, and informed consultation process. In such cases, the borrower prepares are settlement plan in accordance with the requirements of OP4.12,*Involuntary Resettlement*, that is compatible with the Indigenous Peoples' cultural preferences, and includes a land-based resettlement strategy. As part of the resettlement plan, the borrower documents the results of the consultation process. Where possible, the resettlement plan should allow the affected Indigenous Peoples to return to the lands and territories they traditionally owned, or customarily used or occupied, if the reasons for the irrelocation cease to exist.

21. In many countries, the lands set aside as legally designated parks and protected areas may overlap with lands and territories that Indigenous Peoples traditionally owned, or customarily used or occupied. The Bank recognizes the significance of these rights of ownership, occupation, or usage, as well as the need for long-term sustainable management of critical ecosystems. Therefore, involuntary restrictions on Indigenous Peoples' access to

legally designated parks and protected areas, in particular access to their sacred sites, should be avoided. In exceptional circumstances, where it is not feasible to avoid restricting access, the borrower prepares, with the free, prior, and informed consultation of the affected Indigenous Peoples' communities, a process framework in accordance with the provisions of OP 4.12. The process framework provides guidelines for preparation, during project implementation, of an individual parks and protected areas' management plan, and ensures that the Indigenous Peoples participate in the design, implementation, monitoring, and evaluation of the management plan, and share equitably in the benefits of the parks and protected areas. The management plan should give priority to collaborative arrangements that enable the Indigenous, as the custodians of the resources, to continue to use them in an ecologically sustainable manner.

Indigenous Peoples and Development

22. In furtherance of the objectives of this policy, the Bank may, at a member country's request, support the country in its development planning and poverty reduction strategies by providing financial assistance for a variety of initiatives designed to:

(a) strengthen local legislation, as needed, to establish legal recognition of the customary or traditional land tenure systems of Indigenous Peoples;

(b) make the development process more inclusive of Indigenous Peoples by incorporating their perspectives in the design of development programs and poverty reduction strategies, and providing them with opportunities to benefit more fully from development programs through policy and legal reforms, capacity building, and free, prior, and informed consultation and participation;

(c) support the development priorities of Indigenous Peoples through programs (such as community-driven development programs and locally managed social funds) developed by governments in cooperation with Indigenous Peoples;

(d) address the gender[19] and intergenerational issues that exist among many Indigenous Peoples, including the special needs of indigenous women, youth, and children;

(e) prepare participatory profiles of Indigenous Peoples to document their culture, demographic structure, gender and intergenerational relations and social organization, institutions, production systems, religious beliefs, and resource use patterns;

(f) strengthen the capacity of Indigenous Peoples' communities and IPOs to prepare, implement, monitor, and evaluate development programs;

(g) strengthen the capacity of government agencies responsible for providing development services to Indigenous Peoples;

(h) protectindigenous knowledge, including by strengthening intellectual property rights; and

(i) facilitate partnerships among the government, IPOs, CSOs, and the private sector to promote Indigenous Peoples' development programs.

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1. This policy should be read together with other relevant Bank policies, including *Environmental Assessment* (OP 4.01), *Natural Habitats* (OP 4.04), *Pest Management* (OP 4.09), *Physical Cultural Resources* (OP/BP 4.11), *Involuntary Resettlement* (OP 4.12), *Forests* (OP 4.36), and *Safety of Dams* (OP 4.37).

2. "Bank" includes IBRD and IDA; "loans" includes IBRD loans, IDA credits, IDA grants, IBRD and IDA guarantees, and Project Preparation Facility (PPF) advances, but does not include development policy loans, credits, or grants. For social aspects of

development policy operations, see OP 8.60, *Development Policy Lending*, paragraph 10. The term "borrower" includes, wherever the context requires, the recipient of an IDA grant, the guarantor of an IBRD loan, and the project implementing agency, if it is different from the borrower.

3. This policy applies to all components of the project that affect Indigenous Peoples, regardless of the source of financing.
4. "Free, prior, and informed consultation with the affected Indigenous Peoples' communities" refers to a culturally appropriate and collective decisionmaking process subsequent to meaningful and good faith consultation and informed participation regarding the preparation and implementation of the project. It does not constitute a veto right for individuals or groups (see paragraph 10).
5. For details on "broad community support to the project by the affected Indigenous Peoples," see paragraph 11.
6. The policy does not set an *a priori* minimum numerical threshold since groups of Indigenous Peoples may be very small in number and their size may make them more vulnerable.
7. "Collective attachment" means that for generations there has been a physical presence in and economic ties to lands and territories traditionally owned, or customarily used or occupied, by the group concerned, including areas that hold special significance for it, such as sacred sites. "Collective attachment" also refers to the attachment of transhumant/nomadic groups to the territory they use on a seasonal or cyclical basis.
8. "Forced severance" refers to loss of collective attachment to geographically distinct habitats or ancestral territories occurring within the concerned group members' lifetime because of conflict, government resettlement programs, dispossession from their lands, natural calamities, or incorporation of such territories into an urban area. For purposes of this policy, "urban area" normally means a city or a large town, and takes into account all of the following characteristics, no single one of which is definitive: (a) the legal designation of the area as urban under domestic law; (b) high population density; and (c) high proportion of nonagricultural economic activities relative to agricultural activities.
9. The currently applicable Bank policy is OP/BP 4.00, *Piloting the Use of Borrower Systems to Address Environmental and Social Safeguard Issues in Bank-Supported Projects*. Applicable only to pilot projects using borrower systems, the policy includes requirements that such systems be designed to meet the policy objectives and adhere to the operational principles related to Indigenous Peoples identified in OP 4.00 (see Table A1.E).
10. The screening may be carried out independently or as part of a project environmental assessment (see OP 4.01, *Environmental Assessment,* paragraphs 3, 8).
11. Such consultation methods (including using indigenous languages, allowing time for consensus building, and selecting appropriate venues) facilitate the articulation by Indigenous Peoples of their views and preferences. The *Indigenous Peoples Guidebook* (forthcoming) will provide good practice guidance on this and other matters.
12. When non-Indigenous Peoples live in the same area with Indigenous Peoples, the IPP should attempt to avoid creating unnecessary inequities for other poor and marginal social groups.
13. Such projects include community-driven development projects, social funds, sector investment operations, and financial intermediary loans.
14. If the Bank considers the IPPF to be adequate for the purpose, however, the Bank may agree with the borrower that prior Bank review of the IPP is not needed. In such case, the Bank reviews the IPP and its implementation as part of supervision (see OP 13.05, *Project Supervision*)
15. The social assessment and IPP require wide dissemination among the affected Indigenous Peoples' communities using culturally appropriate methods and locations. In the case of an IPPF, the document is disseminated using IPOs at the appropriate national, regional, or local levels to reach Indigenous Peoples who are likely to be affected by the project. Where IPOs do not exist, the document may be disseminated using other CSOs as appropriate.
16. An exception to the requirement that the IPP (or IPPF) be prepared as a condition of appraisal may be made with the approval of Bank management for projects meeting the requirements of OP 8.00, *Rapid Response to Crises and Emergencies.* In such cases, management's approval stipulates a timetable and budget for preparation of the social assessment and IPP or of the IPPF.
17. "Customary rights" to lands and resources refers to patterns of long-standing community land and resource usage in accordance with Indigenous Peoples' customary laws, values, customs, and traditions, including seasonal or cyclical use, rather than formal legal title to land and resources issued by the State.
18. The *Indigenous Peoples Guidebook* (forthcoming) will provide good practice guidance on this matter.
19. See OP/BP 4.20, *Gender and Development.*