

# International Practices in Small Grant Programs for Indigenous Peoples and Local Communities

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## Abbreviations Used In this Report

ADB	Asian Development Bank
AED	Academy for Educational Development
AMN	Aboriginal Mapping Network
C&I	Criteria and Indicators
CANARI	Caribbean Natural Resources Institute
CARPE-IUCN	Central African Regional Program for the Environment – International Union for Conservation of Nature
CBFF	Congo Basin Forest Fund
CBFP	Congo Basin Forest Partnership
CBO	Community-Based Organizations
CFA	Conservation Finance Alliance
COMIFAC	Central African Forests Commission
CPF	Cherokee Preservation Foundation
CSO	Civil Society Organization
CTF	Conservation Trust Fund
CVL	Community Video Letter
DFID	Department for International Development of the United Kingdom
EFEA	Nepalese Environment and Forestry Enterprise Activity
FAO	Food and Agricultural Organization of the United Nations
FCP	Clayoquot Forest Community Program
FIP	Forest Investment Programme
FMG	Forest Management Group
FNDI	First Nations Development Institute
GEF	Global Environment Facility
GEF-UNDP-SPG	Global Environment Facility - United Nations Development Programme - Small Grants Programme
GFP	Growing Forest Partnerships
GIS	Geographic Information Systems
GPS	Global Positioning System
GreenCOM	Environmental Education and Communication Project
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
IFAD	International Fund for Agricultural Development
IPAF	Indigenous Peoples' Assistance Facility
INAC	Department of Indian and Northern Affairs Canada
KFWCA	Kireita Forest and Wildlife Conservation Association
KOTEF	Keepers of the Earth Fund
LLL	Linking Local Learners Programme
METAP	Mediterranean Environmental Technical Assistance Program
NFP Facility	National Forest Programme Facility
NGO	Non-Governmental Organization
NSC	National Steering Committee

NTFP	Non-Timber Forest Product
ONZAE	National Zapara Organization of the Ecuadorian Amazon
PFM	Participatory Forest Management
PRIA	Regional Programme in Support of Indigenous Peoples in the Amazon Basin
RAN	Rainforest Action Network
RAVI	Rights and Voice Initiative
RCAP	Rural Communities Assistance Program
REDLAC	Latin America and Caribbean Network
RENGOF	Rwanda Environmental Non-Governmental Organizations Forum
SEARCA	Southeast Asian Regional Centre for Graduate Study and Research in Agriculture
SGP-PTF	Small Grants Program to Promote Tropical Forests
SPALE	Society for the Protection of Animal Life and the Environment
TEP	Tribal Energy Program
UAP	Project Administration Unit
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USD	United States Dollars

# PART ONE

## Introduction and Methodology

This report describes international practices in grant-making operations in cooperation with indigenous peoples and local communities. In particular, it focuses on granting procedures and programs that have among their main objectives forest preservation, sustainable forest livelihoods.

The findings summarized in this paper are based on a jurisdictional review of international organizations who participate in grantmaking operations. The jurisdictional review has informed the four major components of the paper: 1) the identification of common practices and structures of grant programs operating worldwide (the next main section of this Part One); 2) the identification of existing programs or operations within the early pilot countries (the final main section of this Part One); 3) the articulation of common themes, challenges, and tools for building successful programs (Part Two); and 4) program-by-program descriptive summaries in table format (Part Three).

Part One of this report presents an overall description of themes and trends arising from the review, beginning with commonalities and differences in how grant programs are developed and designed internationally. Part One goes on to presents examples of existing granting programs within each of the early pilot countries (Brazil, Burkina Faso, Ghana, Indonesia, Lao Republic and Peru),<sup>1</sup> which are representative of the common themes and trends outlined. Part Two analyzes major themes that sponsors and commentators have identified as important to the evolution and design of small grant programs internationally. It provides a commentary on common program principles, practices and challenges. Part Three compiles the program-by-program descriptions that underlie the review. These case examples were utilized to inform the programmatic and thematic analysis of the first two parts of the paper; the case descriptions include links to further resources.

The review of existing international programs revealed a broad consensus on a number of practices and structures that are seen as important to success of small grant programs. They include:

- Participating in knowledge sharing and learning practices;
- Valuing traditional knowledge;
- Working to expand and enhance partnerships and networks;

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<sup>1</sup> This “early” country list was created based on information available at the inception of the research, namely the pilot countries emerging from the March 2010 Forest Investment Program Sub-Committee meeting and the subsequent Expert Group report.

- Developing culturally appropriate criteria, indicators and measurement strategies;
- Facilitating inclusion of women and marginalized populations; and
- Working to build trust.

Similarly, the programs reviewed here face common challenges in several broad areas:

- National/local challenges, in reconciling national interests and strategies with local interests and strategies;
- Financial challenges, such as allocating limited funds and assuring long-run sustainability; and
- Local capacity challenges, such as connecting appropriately with distinctive local governance structures.

This report will attempt to draw lessons by compiling the experience of multiple programs in dealing with these challenges and themes and discussing how they can inform the development of future

program practices. By integrating the principles and possible solutions identified, small grant programs can better serve local indigenous communities by ensuring local involvement in the grant process, and facilitating local voice.

## Methodology

Two main techniques were used to gather qualitative information for the report. The first method was a jurisdictional scan of grantmaking programs for indigenous peoples and local communities in the forestry sector. This jurisdictional research focused on three arenas: i) international or multilateral organizations, ii) early pilot countries<sup>2</sup> (Brazil, Burkina Faso, Ghana, Indonesia, Lao Republic and Peru) and iii) Canada and the United States. The second method was a thematic scan of the case studies and of literature on indigenous, local community, environmental and forestry related topics relevant to grant programming. The research methodologies used for the jurisdictional and thematic sections are listed below.

This report highlights, wherever possible, themes and practices which those operating the programs, and secondary commentators, appear to regard as important to success, or as important challenges. As such the researchers made no independent evaluation of any of the programs, so the comments

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<sup>2</sup> The list of countries scanned represents all pilot countries emerging from the March 2010 FIP-SC meeting, and also includes Brazil, which was included as a recommendation in the subsequent Expert Group report.

here should be viewed instead as summaries public materials described below. In general, the prime source of information on each program described was the program itself.

### ***(i) Jurisdictional Review***

The jurisdictional review began by focusing on international organizations and governments using keywords such as indigenous, small grant\*, forest\*, grant\* program\*, grant\* mechan\*, and country names. Research was performed online through government and non-governmental organization websites.

The review of international organizations was carried out using the keywords noted above. Once organizations were identified, research focused on specific projects, grantees of funding and success stories. One document that provided useful insight was a review of Conservation Trust Fund practices by the World Wildlife Foundation. The subsequent review of pilot countries utilized the findings from the international scan as the basis for further research into each individual country to identify local programs. The pilot country review expanded its scope to include regional banks such as the African Development Bank and government websites.

For Canada and the US, an initial scan of the same keywords found that a high concentration of small grant programs are government-operated. Following that result, research focused on government departments and agencies. The research was conducted almost exclusively online, through government agency websites, and document databases of the government-run projects, and through individual project websites and archives.

### ***(ii) Thematic Analysis***

The thematic analysis was conducted using the following resources: Google, Scholars Portal, and searches of the publications sections of the official websites of grantmaking and civil society organizations engaged in collaborative forest management, e.g., the Forest Peoples Programme. Sources include grey literature such as: guidebooks for practitioners created from consultations with

Once the various program examples were identified and researched as described here, , the final step was to organize cross-case material by how each program handled the following design topics:

- Governance
- Scope
- Operational Procedures
- Funding Modalities
- Monitoring & Evaluation
- Grievance & Compliance Mechanisms

This organization allowed for gap analysis, cross-comparison, and enabled researchers to identify common patterns in granting models internationally.

indigenous communities; meeting notes and publications outlining the highlights from international symposia on indigenous collaborative forest management; academic articles and case studies.

The keywords used were: conflict, security, capacity building, forestry industry, indigenous infrastructure, projects and programmes, protected areas, conservation and indigenous grievances, community development, sustainability and forestry, agro forestry, forestry and donor dependence, civil society organizations and forestry, nongovernmental organizations and forestry, developing countries and forestry, indigenous networking, best practices in indigenous forest management, financial infrastructure, poverty and livelihood, customary laws and indigenous culture, collaborative forest management, capacity-building in indigenous communities, indigenous capacity-building, capacity building in local development, indigenous grantmaking, policies and Forest Peoples, gender and related issue searches.

For both the Jurisdictional Scan and the Thematic Analysis, case studies were subsequently organized by terms of reference. Analysis focused on cross comparisons of jurisdictions to identify not only common program elements, but also to note consistent themes and patterns.



## Trends in International Granting Procedures

This section outlines the major results from the jurisdictional review of small granting programs, both multi-national and national. The subsequent section will focus on programs in pilot countries, while the present section reviews the wider picture. The current section is organized by the main elements listed in the Methodology and it will identify the organizational and structural similarities and differences in the granting programs of international organizations, governments, and NGOs. It will identify patterns in program practices internationally; note variations and possible issues with given structures; and present an overview of major trends in international granting structures. This presentation will not attempt to identify which practices are considered “best” – instead this section should be considered as a broad-brush compilation of existing structures.

This section will draw on research of international practices, including Canada and the USA. However, it should be noted in advance that the review found relatively few relevant models in Canada and the USA; in general, it appeared that Canada and the USA can benefit from a further look at international practices. At any rate, this report will include trends and examples from Canada and the USA where appropriate, but the focus will be mostly on international practices elsewhere.

### **(a) Governance**

Our research found that Canadian and American granting projects are generally run through government agencies and are governed by the ministries and departments that oversee their implementation. In many cases, partnerships exist between the projects' home ministry and community groups, and most projects reviewed have oversight by a federal agency. Such an organizational design (in which programs are organized from the center, using a hierarchical model) can be problematic due to the relatively low level of local community involvement. Within this type of governance model, indigenous and local community groups have input in the early steps of the process, as they craft the grant applications, but in subsequent steps (including the decision process for choosing grant applications, and program implementation and evaluation) community groups are largely removed from decision-making processes for programs that will likely have a significant effect on their communities. Comparison of North American and international practice through the lens of this review suggests that North American operational designers could learn much from international examples.

Another model prominent in the US and Canada features oversight by a Board of Directors composed of representatives from native groups, homeowners groups, provincial governments, and local governments. A notable example of this model is the *Clayoquot Forest Community Program (FCP)*.<sup>3</sup> The FCP governance model includes the *Clayoquot Sound Central Region Board* which has representation from the following organizations: the *Clayoquot Biosphere Trust*, the *Canadian Forest Service*, and *Canadian Model Forest Network*. The Region Board is co-chaired by representatives appointed by each of the *Nuu-chah-nulth Central Region Chiefs* and the *Government of British Columbia*. This model attempts to encourage dialogue between and within communities and sectors through a forum to enhance collaboration and communication, however it is difficult to ascertain the effectiveness of this model based on program documents.

International grant programs reviewed for this report exhibited a variety of governance structures. However the larger multi-national programs generally used some variation of a “National Steering Committee” (NSC) with granting responsibility in each country included in the program. The NSC generally comprises representatives from local NGO’s, government, and academia, and may include co-funding donors, indigenous peoples and local community organizations, the private sector and the media. Four of the international organizations use such a model. Main features and variations include the following:

- In the Global Environment Facility - UN Development Programme Small Grants Programme (GEF-UNDP SGP), local populations are highly involved through the NSC in making and

<sup>3</sup> "Clayoquot Forest Communities Program" Ecotrust Canada, accessed September 3, 2010. Online: <http://www.ecotrustcan.org/clayoquot/fcp>.

## La Ruta Moskitia

### GEF-UNDP Small Grants Programme

Rare, an international conservation organization, and the Small Grants Programme SGP/GEF/Honduras United Nations Development Program (UNDP) established the Ruta Moskitia in an effort to link sustainable tourism, biodiversity protection, and poverty alleviation in the Reserve. La Moskitia, the largest tract of tropical rainforest north of the Amazon, not only contains diverse wildlife. It is home to six distinct indigenous groups, each with their own unique languages and cultures. Due to the dependency on the land for food, shelter, and income, the area is in danger from deforestation and over-fishing. Established in 2006, La Ruta Moskitia is 100% owned and operated by local indigenous members. The enterprise has given grants of more than a quarter of a million dollars to rural communities within the largest and most threatened rainforest north of the Amazon. The revenues support more than 250 jobs and over 1000 family members in one of the poorest regions in Central America. All of the funds from la Ruta Moskitia go back into the community, with 10% allocated to conservation projects.

Sources: [www.undpsgprptf.searca.org](http://www.undpsgprptf.searca.org)

implementing funding decisions in a decentralized manner. However, the NSC is often based on strong representation of academia and government (national or local), and may not necessarily include representatives of indigenous peoples and local communities. The *Global Environment Facility (GEF)* has a main office that monitors the activities of the NSC for each country for GEF-UNDP SGP projects. Regional operating units submit semi-annual and bi-annual reports, work plans and country strategies to the GEF main office for review.<sup>4</sup>

- In the EU-UNDP Small Grants Program to Promote Tropical Forests (SGP-PTF), the governance model is more decentralized; the NSCs independently set country level priorities and select grant recipients. Each country has a SGP-PTF Coordinator based at the UNDP Country Office that provides project coordination but does not make the decisions on grants.<sup>5</sup>
- The National Forest Programme Facility (NFP Facility) has a similar, but more centralized structure. The NFP Facility is governed by a Steering Committee which decides upon the eligibility, priority and indicative funding for the countries that wish to become partners. Once a partnership is created, the government official responsible in that host country establishes the NSC. The NSC works with the NFP Facility to develop a detailed one-year program indicating the activities to be carried out, their estimated costs, timetable, and expected outputs for each activity and does so according to guidance from the Facility Steering Committee. In this model, the Facility Steering Committee has greater authority than the NSC of the host country.<sup>6</sup>
- The Central African Regional Program for the Environment - International Union for Conservation of Nature (CARPE-IUCN) grant mechanism works similarly. CARPE-IUCN establishes the guidelines to evaluate projects and grant applications, and each NSC must follow those guidelines. Grant giving is based on a points system developed by CARPE-IUCN, and implemented by the host country.<sup>7</sup>

The above organizations, which all use a National Steering Committee model, state that the intent of this governance structure is to ensure national ownership of programs, together with involvement at

<sup>4</sup> "How Does SGP Work?" The GEF Small Grants Programme, accessed September 3, 2010. Online: <http://sgp.undp.org/index.cfm?module=ActiveWeb&page=WebPage&s=HowdoesSGPwork>

<sup>5</sup> The European Commission (ECO, United Nations Development Programme (UNDP). "Small Grants Programme 'Operations to Promote Tropical Forests' in Southeast Asia: Regional Strategic Framework". Los Baños, Philippines, June 2002. Online: [http://www.undpsgppf.searca.org/docs/SGPPTF\\_SFframework.pdf](http://www.undpsgppf.searca.org/docs/SGPPTF_SFframework.pdf)

<sup>6</sup> "Steering Committee", The National Forest Program Facility, accessed September 3, 2010. Online: [www.nfp-facility.org/58172/en/](http://www.nfp-facility.org/58172/en/)

<sup>7</sup> IUCN Regional Office for Central Africa, "IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa" (December 2006) Online: [http://cmsdata.iucn.org/downloads/carpe\\_smqpolproc.pdf](http://cmsdata.iucn.org/downloads/carpe_smqpolproc.pdf)



the grassroots level: indigenous peoples and local communities. However, it is not clear from our review of public materials whether or to what extent direct grassroots representation of indigenous peoples and local communities was actually achieved in the composition of NSCs. It seemed easier to find evidence, in published materials, of government, business, academia and other national-level institutional and professional representation. A related concern is that since indigenous peoples and local communities are often diverse and decentralized, a small number of representatives on a committee may be an inadequate approach.

- The *International Fund for Agricultural Development (IFAD) Indigenous Peoples' Assistance Facility* stands apart from the previous examples. Its governing board comprises of a majority of indigenous and tribal peoples' representatives. The Board works closely with assigned IFAD staff, who are responsible for the administrative and financial aspects of the *Indigenous Peoples' Assistance Facility*. Once again, however, it is difficult to ascertain to what extent the members of the Board are members of grassroots indigenous peoples and local communities in countries where IFAD operates, and to what extent those indigenous peoples and local communities view the Board as representing them (among others).<sup>8</sup>

Other programs have no regional or national bodies, and instead use more centralized governance structures. Examples include the *Rainforest Action Network*, the *Congo Basin Forest Fund (CBFF)* and *Indigenous Peoples Climate Action Fund*. The CBFF Secretariat is responsible for the day-to-day management of the Fund and the initial assessment of proposals, and the CBFF Governing Council provides guidance and oversight of the Fund, and ensures stakeholder participation. The Governing Council is comprised of high-ranking government representatives and NGO officials from states outside the Congo Basin. A Reference Group acts as a forum for consultations to enable stakeholders to make representations to the governing council. The Governing Council reports regularly to, and receives feedback and advice from, the members of the *Congo Basin Forest Partnership (CBFP)* acting as a Reference Group.<sup>9</sup>

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<sup>8</sup> "Indigenous People's Assistance Facility", The International Fund for Agricultural Development, accessed September 3, 2010. Online: [www.ifad.org/english/indigenous/grants/index.htm](http://www.ifad.org/english/indigenous/grants/index.htm)

<sup>9</sup> "How is the CBFF Managed?" Congo Basin Forest Fund, accessed September 3, 2010. Online: [www.cbf-fund.org](http://www.cbf-fund.org)

## The Sangwe Biodiversity Protection through Woodlands Management and Afforestation Programme

### GEF-UNDP Small Grants Programme

This program received a grant of USD 17,023.92 for forest management. Direct beneficiaries of this project are 34 households in six villages. The Sangwe community members are key participants in the project and are actively involved in problem identification, project development, implementation, management, and setting up mechanisms to ensure program sustainability. The project is aimed at improving the management of existing forests and the reclamation of forests from soil erosion and deforestation. Program activities eligible for financing can include the promotion of alternative sources of energy as a mitigation strategy against deforestation, siltation, and erosion, as well as the promotion of water harvesting as a method to improve water surface area.

The project also funds capacity building for forest management, and income generating activities. Activities include: sustainable agriculture, nutritional gardening, mopane worm collection and sale, and marula wine production, among others. These activities are aimed at increasing incomes and improving livelihoods. Activities such as awareness workshops and look and learn tours will be undertaken to improve public awareness.

It is expected that 65% of the committee and leaders will be youth and women, to ensure access and equality of opportunities and resources.

Source: [www.nfp-facility.org](http://www.nfp-facility.org)

One form of organization that is common in the area of conservation is the *Conservation Trust Fund (CTF)*.<sup>10</sup> CTFs are a funding mechanism which provide stable and long-term sources of funding to conservation projects for the sustainable management of natural resources. The trust funds can take the shape of endowment funds (in which accrued interest, but not capital, is spent); sinking funds (where the income and some of the capital is spent, sinking the fund to zero over a specified period of time); and revolving funds (which are continuously replenished with revenues from earmarked taxes and/or fees). In a review of CTFs, a paper prepared for the *Conservation Finance Alliance (CFA)*<sup>11</sup> recommended that the governing body of the CTFs have greater independence from government in order to be more transparent, effective and less influenced by short-term political considerations. Other recommendations included the following:

- That the Chairman of the board not be a government official;
- That Conservation Trust Fund offices not be physically located inside a government ministry;
- That non-governmental members of the board not be chosen or appointed by a government;
- That board members have diverse backgrounds and be chosen on the basis of their personal competencies and their ability to contribute to the program; and
- That board members' terms of office should be staggered.

The review suggested that a promising practice for

<sup>10</sup> Barry Spergel and Philippe Taieb. "Rapid Review of Conservation Trust Funds.

Prepared for the CFA Working Group on Environmental Funds" prepared for the Conservation Finance Alliance (CFA). 2008.

<sup>11</sup> The Conservation Finance Alliance is collaborative network established in 2002 to increase collaboration among conservation participants including government, NGOs etc. Members include many large grantees listed in this report such as the World Bank, The World Wildlife Fund for Nature, United Nations Development Programme, United Nations Environment Programme, among others. For a full list and more details on the network see the website: [www.conservationfinance.org](http://www.conservationfinance.org)

governance models is that in selecting board members from government, boards should choose high-level policy-makers rather than operational level or line agency officials.

### **(b) Scope of Activities for Financing**

International small grant programs reviewed for this report generally had a dual objective focusing on: (1) environmental and forest conservation benefits and (2) improved human livelihoods. In service of both goals, many grant-making organizations also have capacity building objectives, including the promotion of knowledge sharing, and effective networking within and across indigenous peoples, local communities, and other relevant stakeholders. Granting programs also often include a focus that is specific to the sponsoring organization. For example, the *Rainforest Network* and the *First Peoples Worldwide Organization* have as their main focus advocacy for climate change mitigation, with a secondary focus on small grants to indigenous peoples.<sup>12</sup>

The *National Forest Program Facility* (NFP Facility) has a particularly extensive scope. The program was developed in 2002 with support from the Food and Agricultural Organization and is now giving support to 70 countries and organizations. The intent of the NFP Facility is to help develop coordinated national forestry programs that inform subsequent grants and projects to create a unified goal in forestry. The NFP Facility's main scope of financing is capacity building for stakeholders and communities to participate in national forest program development. Activities will also be sponsored if they promote capacity building in governments and organizations in the area of policy development and implementation. The facility does not give grants directly to conservation projects, but supports the foundations which forest development can be fostered.<sup>13</sup>

Internationally, eligibility criteria tended broadly to favor projects that would combine the conservation of forests with the indigenous activity, including use of local traditional knowledge and practices both in forest management and related economic activity. Most organizations employ a broad base of eligibility requirements in order to remain flexible. The following summary offers examples of the activities eligible for financing in existing programs:

In the *Congo Basin Forest Fund*, projects will be approved if they: (i) improve the livelihoods of rural forest dwellers in ways that are compatible with sustainable forest management; (ii) develop partnerships between local communities and the forest sector; or (iii) build capacity in

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<sup>12</sup> "Application Guidelines" Rainforest Action Network, accessed September 3, 2010. Online: [http://ran.org/campaigns/protect\\_an\\_acre/about\\_protect\\_an\\_acre/](http://ran.org/campaigns/protect_an_acre/about_protect_an_acre/)

<sup>13</sup> "Facility Grants" National Forest Program Facility, accessed September 3, 2010. Online: <http://www.nfp-facility.org/63741/en/>

local, national or regional institutions and through professional training provided to individuals.<sup>14</sup>

For the *Central African Regional Program for the Environment (CARPE-IUCN)* grants must: (i) foster partnership among civil society, promote transparency and gender equity in forest conservation; (ii) have an integrated approach to local society capacity building; and (iii) effectively deal with forest management and biodiversity.<sup>15</sup>

Among the criteria for the *Small Grants Programme for Operations to Promote Tropical Forests (SGP PTF)* was the need to promote and demonstrate community-based management and resource-use in tropical forests. Projects must also use local knowledge and practices to the extent possible and promote the spread of successful community-level strategies.<sup>16</sup>

For the NFP Facility, projects should address: (i) poverty reduction; (ii) integrating the forest sector in other sectors; and (iii) developing a national consensus on how to address issues relevant to forests and trees or implementing international commitments. Projects are to include a high degree of participation in the design of the project from indigenous and forest-dependent people, and private forest industries.<sup>17</sup>

The *Indigenous Peoples Assistance Facility (IPAF)* has a stronger focus on indigenous peoples than on environmental goals. Project criteria include: (i) capacity building of indigenous peoples to adapt to and mitigate climate change impacts; and (ii) development of partnerships and alliances with other stakeholders. Other organizations, such as the *Rainforest Initiative* and *First Peoples Worldwide* have their main focus as advocacy, and, indirectly, forest environmental benefits.<sup>18</sup>

The *Rufford Small Grants Program* has a more general focus on conservation projects. However, many of the funded projects target indigenous communities as either recipients of program support, or as key partners. With this slightly different focus in mind, the Rufford criteria are as follows: (i) projects should focus on nature conservation activities; (ii) grant funding requested must constitute the majority of the total budget; (iii) the project should be approximately 12-18

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<sup>14</sup> Criteria & Assessment“ Congo Basin Forest Fund, *op cit*.

<sup>15</sup> “IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa.”

<sup>16</sup> “Small Grants Programme ‘Operations to Promote Tropical Forests’ in Southeast Asia: Regional Strategic Framework.”

<sup>17</sup> “Facility Grants” National Forest Program Facility.

<sup>18</sup> “Indigenous Peoples’ Assistance Facility: Application Form.” Online:  
<http://www.ifad.org/english/indigenous/grants/application.htm>



months in duration; (iv) funds must be used predominantly for field activities; and (v) the impact of the project must be pragmatic, measurable and long-lasting.<sup>19</sup>

The *Rights and Voice Initiative (RAVI)* of Ghana once again has a more general focus, this time on strengthening the voices of marginalized populations and those living in poverty. The RAVI criteria for funding state that eligible programs must: 1) use a rights-based approach and people-centered advocacy; and 2) match the RAVI principles and aims. The RAVI aims are as follows: strengthen capacity of vulnerable groups to voice their demands for rights; enhance citizen capacity; support citizens' de rights; and enhance the capacity of Civil Society Organizations.<sup>20</sup>

In the United States and in Canada, most of the activities that were eligible for funding fit one or more of the following categories: market expansion, forest conservation, economic development and recovery, and renewable energy. The design and development of sustainable communities with strong local institutions is a common theme cutting across multiple projects and programs. Moreover, many programs make as an explicit requirement that benefits accrue to Aboriginal populations. The following program examples illustrate some of the activities that are available for financing in existing programs in the US and Canada.

The *ecoENERGY* project guidelines specifically state that projects must have a primary focus on energy efficiency or renewable energy or where the benefit accrue to Aboriginal or local communities.<sup>21</sup>

The *Forest Community Program* specifically funds a number of activities, from tourism planning to watershed monitoring, that exist within the context of the broader categories (mentioned above) but which focus specifically on an area of economic development or environmental conservation that is unique to that project.<sup>22</sup>

The *Rural Community Assistance Program (RCAP)*, run through the US Department of Agriculture Forestry Service, focuses most of its funding on projects to assist rural communities affected severely by changes in resource-management policy decisions. While Aboriginal communities are by no means excluded from assistance programs, there is also no specific requirement that

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<sup>19</sup> "Application Criteria" Rufford Small Grants Program, accessed on September 3, 2010. Online: <http://apply.ruffordsmallgrants.org/criteria>

<sup>20</sup> "Grants" Rights and Voices Initiative, accessed September 3, 2010. Online: <http://www.ravighana.org/grants.asp>

<sup>21</sup> "ecoENERGY for Aboriginal and Northern Communities Program Overview" Indian and Northern Affairs Canada, accessed September 3, 2010. Online: <http://www.ainc-inac.gc.ca/enr/clc/prs/ovr-eng.asp>

<sup>22</sup> "Clayoquot Forest Communities Program" Ecotrust Canada.

benefits accrue to Aboriginal communities in order for a program to be eligible for funding under the RCAP.<sup>23</sup>

### **Small Grants Programme for Operations to Promote Tropical Forests in Southeast Asia (SGP-PTF)**

#### ***Kemiri Forest for the Community's Welfare***

This Indonesian organization received an SGP-PTF grant in 2005. The goal of the program is to conserve the Mount Seulawah Protection Forest in Greater Aceh. The *Kemiri* (Candle-wax nut) Forest Program for People's Welfare is an effort to diminish the number of poor villagers through increasing incomes based on local natural resources, including perennial species, such as *kemiri*, and annual plants for interval planting in kemiri orchards. It is also an effort to prevent further destruction to the buffer zone of Mount Seulawah Protection Forest, as unemployment has driven community members to practice illegal logging. The program also aims to revitalize KTM (*Kelompok Tani Hutan, Agroforester Group*) Uteun Lembah Seulawah, as a local community-based organization, through activities design by its members. The activities will involve women, particularly in land preparation as well as *kemiri* harvesting and post-harvesting practices.

Program outputs include:

- a. A functional community-based organization;
- b. Improved local economy;
- c. Extended kemiri orchard area managed by community members; and
- d. More group members understanding kemiri development methods.

Source: [www.undpsgpptf.searca.org](http://www.undpsgpptf.searca.org)

### **(c) Operational Procedures and Funding Modalities**

At a general level, the CFA identified the following as keys to operational success for Conservation Trust Funds:

- (i) A country-wide conservation strategy that presents a quantified biodiversity conservation needs assessment both within and outside project areas;
- (ii) Political support at the highest levels in a country, with limited government involvement in a Conservation Trust Fund's (CTF) day-to-day management;
- (iii) Fundraising and technical support from international organizations;
- (iv) Consultative processes that include all major stakeholders and reflect those inputs in a CTF's design, including support for sustainable livelihoods; and

<sup>23</sup> "Programs and Services" Rural Community Assistance Partnership, accessed September 3, 2010. Online: <http://www.rcap.org/>

(v) Good human resources that provide the breadth of skills needed to lead a CTF, both at the senior management staff level and board level.

Another valuable practice cited by the *CFA* is the use of a separate grant administration manual, or a section of an operations manual, containing the following: grant proposal review procedures, procedures for responding to applicants, grant reporting requirements, and grant monitoring and evaluation criteria and procedures. *CFA* also found that grants for long periods of time (more than three years) can result in a lack of accountability, or spending funds on approaches that fail to produce intended results. The *CFA* report suggests that promising practices to mitigate this problem include disbursing a grant in stages based on achievement of specified performance benchmarks, and requiring increasingly larger amounts of co-financing from the grantee or other sources for grant renewal.<sup>24</sup>

Two challenges in operational procedure are inherent for grant programs which seek to combine national and local objectives. The first challenge is how to develop a national program, for example around sustainable forest management, that involves local communities (both indigenous peoples and others) in a meaningful way. The second challenge is how to assure that local projects cohere and connect to the national strategy, so that the whole is at least equal to, and preferably greater than, the sum of the parts. Both are discussed further in Part Two.

Grantmaking processes for the international programs reviewed here vary from closed application procedures within a centralized organizational structure to local decentralized procedures in which an open board makes the grant decisions.

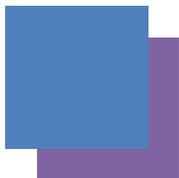
Both the *Congo Basin Forest Partnership (CBFF)* and the *Indigenous People's Climate Action Fund* have centralized systems, in which an application form is found on the web and proposals are assessed by a central body. The CBFF has a centralized process with open bidding. Interested parties submit proposals, which are assessed by the CBFF Secretariat and the African Development Bank.<sup>25</sup>

CARPE-IUCN funding goes through several decision-making stages. A first screening is done to make sure proposals meet the format in the guidelines from CARPE-IUCN. This is done in collaboration with the program manager and a steering committee composed of voluntary members from the NGO/CBO sector. After the first screening, eligible proposals are sent to the program manager, who then organizes a steering committee to analyze the technical content of the project before the final

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<sup>24</sup> "Rapid Review of Conservation Trust Funds."

<sup>25</sup> "Criteria & Assessment" Congo Basin Forest Partnership, accessed September 3, 2010. Online: <http://www.cbf-fund.org/cn/proposals/criteria.php>



decision is made. After the second screening, the program team begins communicating with organizations about their proposed project.<sup>26</sup>

The *NFP Facility* and *The Small Grants Programme for Operations to Promote Tropical Forests (SGP-PTF)* feature more decentralized granting systems. Under the NFP Facility, the Facility Steering Committee creates the national strategy. A grant approval mechanism is designed based on the national strategy. The NSC then approves grants based on the program criteria developed.<sup>27</sup> Comparatively, the SGP-PTF has a more decentralized funding model than the NFP. In the start up phase within the SGP-PTF, a *Regional Strategic Framework* is developed outlining the overall intent and policies of the program. The process to develop the grantmaking mechanism begins with country-level workshops involving stakeholders to determine areas of focus for the grant funding. These findings are put into a *Country Guideline Paper* and combined with the program grant eligibility requirements to indicate a national grantmaking strategy. The Country Guideline is created through horizontal consultation and outlines how grants will meet the directives of the program. It forms the bases for assessment and the acceptance of proposals. From the Country Guideline, a *Regional Operation Manual* is written to provide clear guidance on procedures and operations at the micro and macro level. The *National Steering Committees* and Coordinators are responsible for selecting projects for SGP-PTF that meet criteria and set the general program policies and strategies at the national level.<sup>28</sup>

Two other notable approaches to decentralized granting emerged from our review. The first is under the Global Environment Facility (GEF)-UNDP Small Grants Program, which has an alternative mechanism due to the increased involvement of grassroots communities. In order to be successful, the GEF requires that Small Grant Program applicants find partner organizations to support the initiative by matching the GEF funds. Over 600 partner organizations now provide co-financing and other support to SGP activities. Donor partners that join in sustainable initiatives include: *The Programme for Operations to Promote Tropical Forestry*, *The Nile Basin Initiative*, *The Rainforest Alliance ECOINDEX*, *REDLAC*, and *METAP*.<sup>29</sup>

The second notable example is the *Indigenous Peoples Assistance Facility*. The funding system has significant participation by indigenous members and is also decentralized. The *Indigenous Peoples Assistance Facility* Board is made up primarily of Indigenous members, and is responsible for project decisions. The Board works closely with IFAD staff to review proposals and make final recommendations on grant awards. The panel reviews grant proposals on the basis of project

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<sup>26</sup> "IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa".

<sup>27</sup> "Facility Grants" National Forest Program Facility.

<sup>28</sup> "Small Grants Programme 'Operations to Promote Tropical Forests' in Southeast Asia: Regional Strategic Framework".

<sup>29</sup> "Partnerships" The GEF Small Grants Programme, accessed September 3, 2010. Online: <http://sgp.undp.org/index.cfm?module=ActiveWeb&page=WebPage&s=Partnership>

relevance, feasibility and institutional capacity and makes final recommendations on awards. As previously noted, it is difficult to ascertain whether the members of the Board are members of grassroots indigenous peoples and local communities, thus calling into question the extent to which the process is representative of local voices. Nonetheless, IPAF appears to ensure that the application approvals process is inclusive of some level of indigenous representation, and does not rely solely on a centralized board for the approval of small grants.<sup>30</sup>

Generally, the duration of a small grant is based on the individual project length as identified in program proposals. Each application is required to state the timeline based on program needs, up to a maximum length of time for projects. The endowment structures reviewed were almost entirely grants of funding that did not include loan portions, and were for periods of time between 1-3 years. CARPE-IUCN and the Indigenous Peoples Assistance Facility have a one-year maximum on granting periods, although extensions can be obtained from CARPE-IUCN upon application. While there was no strict maximum time length for grants found by the Congo Basin Forest Fund, an examination of previous allocations of funding revealed them to be generally 2 or 3 years in length. Rufford Small Grants has a unique structure worth noting. Each grant has flexible grant time periods between 12-18 months, however the grants are given in stages allowing grantees to apply for more funding as required. On the original application, organizations can only apply once in any 12-month period for grant funding, even if application was rejected the first time. There are then five different stages of grants given in sequence. Applicants can apply for more than one grant but need to have completed a previous stage of funding before moving on to the next stage and must wait 18 months before moving from one stage to the next. The funding process is as follows:

- Rufford Small Grant (up to £6,000);
- 2nd Rufford Small Grant (up to £6,000);
- Booster Grant (up to £12,000);
- Continuation Grant (up to £25,000); and
- Completion Grant (up to £25,000).

Once an applicant has received a Completion Grant they cannot apply for any further support from the Rufford Small Grants Foundation.<sup>31</sup>



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<sup>30</sup> “Criteria & Assessment“ Congo Basin Forest Fund.

<sup>31</sup> “Application Criteria” Rufford Small Grants Foundation, accessed September 8th, 2010. Online: <http://apply.ruffordsmallgrants.org/criteria>

#### **(d) Monitoring and Evaluation**

The monitoring and evaluations systems among the international grant programs we reviewed can largely be categorized into three models:

- (i) Monitoring and evaluation activities are undertaken by the grant-giving organization, either directly or by contract;
- (ii) Monitoring and evaluation activities are undertaken by the national steering committee, either directly or by contract; and
- (iii) The the evaluation and monitoring activities are completed by the community or organization that receives funding for a project, again either directly or by contract.

#### **Indigenous Peoples Assistance Facility:**

#### **The Kireita Forest and Wildlife Conservation Association (KFWCA)**

KFWCA received a grant of USD19,300 for the project. The project aims to promote the rehabilitation and sustainable management of the Kireita Forest through:

- The creation of community awareness on sustainable conservation and new forest laws / policies;
- The planting of 30 hectares of degraded sections of the forest with indigenous tree species;
- Spot weeding of the planted seedlings/trees; and
- The protection of the seedlings and forest in general.

Source: [www.ifad.org](http://www.ifad.org)

CFFB<sup>32</sup> and CARPE-IUCN<sup>33</sup> both belong to the third category. They require applicants to set out how in the project proposal how they will carry out monitoring and evaluation of the project. In the GEF-UNDP-SPG<sup>34</sup> and the SGP-PTF<sup>35</sup>, monitoring and evaluation is done by the National Steering Committees for each country. The *Indigenous People's Assistance Facility (IPAF)* performs evaluation and monitoring at a higher level. The implementation of the projects financed by IPAF are supervised and monitored directly by IFAD or through other possible forms as decided appropriate by the Fund. *The Office of Evaluation (OE)* is responsible for evaluating IFAD's operations and policies.<sup>36</sup>

Where information was available about monitoring and evaluation in the Canadian and American cases, it consisted primarily of 'performance measurement' systems driven by government benchmarks and sustainable development strategies. For example, the ecoENERGY project has been aligned with departmental planning and reporting through *INAC's Sustainable Development Strategy*.<sup>37</sup> The *Whistler-Squamish-Lil'wat Community Forest* is benchmarked against the Whistler2020 performance indicators set

<sup>32</sup> "IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa".

<sup>33</sup> "How Does SGP Work?" The GEF Small Grants Programme.

<sup>34</sup> "Small Grants Programme 'Operations to Promote Tropical Forests' in Southeast Asia: Regional Strategic Framework".

<sup>35</sup> "IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa".

<sup>36</sup> IFAD has a set Evaluation Policy found here: [http://www.ifad.org/evaluation/policy/new\\_policy.htm](http://www.ifad.org/evaluation/policy/new_policy.htm)

<sup>37</sup> "Whistler, Squamish and Lil'wat partnership invited to apply for community forest" EcoTrust Canada, accessed September 3, 2010. Online: <http://www.ecotrust.ca/whistler-squamish-and-lilwat-partnership-invited-apply-community-forest>

out by Whistler's regional municipal authorities.<sup>38</sup> In general, little information was found on monitoring and evaluation of the USA and Canada programs.

In the *CFA* evaluation of Conservation Trust Funds (CTFs), the *CFA* recommends that CTFs perform two streams of evaluation: (i) project completion indicators and (ii) monitoring of biodiversity impacts of the grants. Where the nature of the grants suggests it, the *CFA* also recommends threat reduction assessments. Currently, most CTF evaluations focus on project completion indicators, mainly because the data (including baseline data) necessary to monitor and evaluate biodiversity impacts is challenging to collect and interpret.

*CFA* recommends that CTFs should require each grantee to include goals and indicators for biodiversity conservation in its grant proposal; collect relevant baseline data on biodiversity before implementing the grant; and submit data several times during grant implementation, and after grant completion, to measure changes in the key indicators. As most CTFs do their own evaluations, *CFA* recommends that CTFs allocate sufficient funds and staff for monitoring and evaluation early on in order to do preliminary assessments. The *CFA* also created a model evaluation form, which is included as an appendix in their report.<sup>39</sup>

#### **(e) Grievance and Compliance Mechanisms**

Published descriptions included very little found in the way grievance mechanisms in either the North American or the international programs reviewed. Many of the organizations reviewed made no mention of grievance procedures or appeal mechanisms for groups who are denied funding. Some groups mentioned that if an applicant did not receive a grant then the applicant could apply again the following year.

<sup>38</sup> "ecoENERGY for Aboriginal and Northern Communities Program Overview" Indian and Northern Affairs Canada.

<sup>39</sup> Barry Spergel and Philippe Taieb. "Rapid Review of Conservation Trust Funds.

Prepared for the CFA Working Group on Environmental Funds." Conservation Finance Alliance (CFA). 2008.

#### **Rainforest Action Network**

##### **The Zapara People of the Ecuadorian Amazon**

The Zapara People have been supported through the Protect-an-Acre-Fund. The survival of the Zapara hinges on their ability to control and sustainably manage their own traditional territory. To support the Zapara's struggle for land and cultural revitalization, RAN has provided several grants through the Protect-an-Acre Program. Manarikaji Ushigua, president of the National Zapara Organization of the Ecuadorian Amazon (ONZAE) has stated that "the grants we receive from Protect-an-Acre were critical in our struggle to protect our ancestral territory from international oil companies and local colonizers. We are the smallest indigenous nationality in the Ecuadorian Amazon, but our territory is undamaged and has a higher density of animals than any other area of Pastaza. Thanks to Protect-an-Acre, we are preserving this beautiful land for our children and for all people."

Source:

[http://ran.org/campaigns/protect\\_an\\_acre/about\\_protect\\_an\\_acre/](http://ran.org/campaigns/protect_an_acre/about_protect_an_acre/)

There are generally two distinct grievance and compliance issues. The first is with respect to applicants who did not receive funding but felt that they should have; the second is with respect to projects/communities that received funding but were thought to violate program guidelines or the rights of local peoples/communities.

Formal grievance procedures for both types of issue exist in large multilateral organizations, such as the World Bank, as well as in governments, including the US Federal Government. For an example of a grievance mechanism for external stakeholders, the World Bank has a well defined policy, ranking top among international organizations according to a review by One World Trust.<sup>40</sup> As that review notes:

The World Bank responds to complaints from external stakeholders through the Inspection Panel, which conducts inspections on issues of grievance from affected parties in the territories of a borrowing country. Crucially, the Panel cannot enforce rulings; instead it only recommends action to the Executive Board. However, the Panel's significance lies in the fact that those affected by improper Bank operations have an avenue through which to seek redress.<sup>41</sup>

Based on the jurisdictional scan, it appears as though decision-making bodies that decide who receives grants generally have discretion in each organization with little formal monitoring as to whether the procedure was fair or to allow an appeal process, except where the sponsoring body itself has an applicable process. As previously discussed, the grant-giving structure often had a decision making body that had a broad range of sectoral and professional backgrounds built into the system. It appears that the intent of the larger organizations is to build accountability mechanisms into the governance structure by including such a range of individuals, with a view to having decisions made fairly and in a representative fashion.

Grievance procedures for the second type issue (violation of program guidelines or local rights), beyond those associated with large organizations such as the World Bank, are not generally included within program funding guidelines. Instead, conflict management is in practice often sought and achieved through a variety of means, including traditional, administrative, legal, negotiation or agreement. From our review, it appears that conflict management is a commonly faced need, though we did not find a direct discussion of the various options within the materials on the specific grant

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<sup>40</sup> See the One World Trust report at: [http://www.oneworldtrust.org/index.php?option=com\\_docman&task=doc\\_download&gid=105&Itemid=55](http://www.oneworldtrust.org/index.php?option=com_docman&task=doc_download&gid=105&Itemid=55)

<sup>41</sup> *Ibid.*, p. 3.

programs. Instead, for an overview of these options, we turned to the 2003 Food and Agricultural Organization report on lessons learned from conflict resolution in forestry program in Bangladesh.<sup>42</sup>

The report identifies a range of practices that can help prevent disputes and mediate them as they arise, for example: identifying shared interests, flagging conflicting issues, respecting differences and differing cultures and traditions, and putting in place a mechanism for conflict resolution through dialogue. Face-to-face interaction between parties in conflict was found to be advantageous effective in making them active partners in decision-making. Another practice is to build small groups as a platform for airing dissent and allow people to learn and work together to resolve conflict. Representative leadership, transparency, accountability in decision-making and a commitment to equity, empowering diverse local communities, can help prevent conflict in resource use and management.<sup>43</sup>



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<sup>42</sup> Laskar Muqsudur Rahman, "Conflict Management in Participatory Forest Development: Insights from Bangladesh". submitted to the XII World Forestry Congress 2003, accessed September 3, 2010. Online: <http://www.fao.org/DOCREP/ARTICLE/WFC/XII/0010-C1.HTM>

<sup>43</sup> *Ibid.*

The following section is a brief introduction to some sample funding programs for community-level activities in early FIP pilot countries. We have not attempted a comprehensive review; that would require a separate, intensive study for each country. Instead, we offer some highlights for each country and some notes on how the global topics discussed here can play out on the national level in each country. Thus, this section will seek to identify examples of strategies and partnership models that already exist in the pilot countries and which could potentially be leveraged in the future.<sup>44</sup>

### (i) **Brazil**

Brazil has a wide variety of public and public-private programs providing funding to indigenous peoples and local communities in forests. Below, we highlight three examples.

<b>Organization</b>	<b>Programme/Project</b>
Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)	Coordination Office for Indigenous Peoples in Latin America and the Caribbean <a href="http://www.gtz.de/en/weltweit/lateinamerika-karibik/regionale-themen/7346.htm">http://www.gtz.de/en/weltweit/lateinamerika-karibik/regionale-themen/7346.htm</a> Strengthening of Indigenous Organisations in Latin America <a href="http://www.gtz.de/en/praxis/18698.htm">http://www.gtz.de/en/praxis/18698.htm</a>
* Financed by G7 Countries	The Pilot Program for the Protection of Brazilian Tropical Rainforests <a href="http://vsites.unb.br/ics/dan/Serie364empdf.pdf">http://vsites.unb.br/ics/dan/Serie364empdf.pdf</a>
* International Fund for Agricultural Development (IFAD)	Regional Programme in Support of Indigenous Peoples in the Amazon Basin (PRIA) <a href="http://www.ifad.org/evaluation/public_html/eksyst/doc/tag/tag234be.htm">http://www.ifad.org/evaluation/public_html/eksyst/doc/tag/tag234be.htm</a>

The *Pilot Program for the Protection of Brazilian Tropical Rainforests* was an extensive national project that financed close to 200 sub-projects. Of these sub-projects, 21 involved indigenous peoples. As an example, we reviewed in more detail two of the sub-projects, a program to implement agroforestry management techniques in the state of Acre. Based on the available information, it does not appear that the program had significant involvement by indigenous peoples and local communities in its design. Program documents state that the project was executed by a non-indigenous organization which trained local indigenous people in agroforestry techniques.

Again, it is not clear whether this approach took account of indigenous and local priorities, practices and knowledge. Program documents did not mention consultation with indigenous populations, but it

<sup>44</sup> Part Three includes a series of charts providing basic information on selected programs in each pilot country. Note that not all of the country programs noted below are included in these charts, largely because sufficiently detailed information was not always available. For convenient reference, we have marked with an asterisk (\*) in this section those projects for which more details can be found in Part Three.

was noted that the experts had previously worked with indigenous populations. The continuation of the program into a separate sub-project saw one major programmatic change: the training was conducted by indigenous people who had been trained in the initial project.

The *Regional Programme in Support of Indigenous Peoples in the Amazon Basin* (PRIA) focused more significantly on direct indigenous participation in programs, promoting the allocation of funding directly to indigenous groups, rather than to intermediary organizations to run projects. The project evaluation recognized that one area that required the most support was in accounting practices (budgets, funding, etc) for program management. It is suggested in program documents that in supporting the instruction of accounting practices, some non-traditional (accounting) practices were integrated into the overall program mechanism. Overall, PRIA stressed participatory governance by indigenous organizations of community pilot programs.

**(ii) Burkina Faso**

Information on grant programming in Burkina Faso was less available than for some of the other pilot countries. Programs dealing directly with indigenous peoples and local communities have been more difficult to find. Below are two programs in operation within Burkina Faso.

<b>Table 4.2 Burkina Faso</b>	
<b>Organization</b>	<b>Program/Project</b>
Japan International Cooperation Agency	Dispatch of Village Forestry Advisors– 2005 to 2008 Comoé Province Community-Based Sustainable Forest Management Project – 2007 to 2012 <a href="http://www.jica.go.jp/burkinafaso/english/activities/activity01.html#03">http://www.jica.go.jp/burkinafaso/english/activities/activity01.html#03</a>
* Food and Agriculture Organization of the United Nations	The National Village Forestry Program – The Nazinon Reserved Forest <a href="http://www.fao.org/docrep/005/w4442e/w4442e0i.htm">http://www.fao.org/docrep/005/w4442e/w4442e0i.htm</a>

The *National Village Forestry Program* presents a well-delineated organizational structure. The program grew out of a partnership between the *Government of Burkina Faso* and local communities and indigenous populations. It was implemented in 1985 following a political decision to support the cessation of unrestricted and unsustainable forestry practices. In 1995, the program expanded, and the *Forest Management Fund* structure was applied to every forest project in the country. The project covered a total of 24 villages that were organized into *Forest Management Groups* (FMGs), which were an integral part of the program's organizational and implementation structure. The FMGs were provided with training, and were supported in planning activities and consensus building. Of particular note to this program is the mechanism in place for revenue stream management.

Forestry-based revenues generated from the program were distributed in the following way: remuneration of FMG members: 38%; the *Forest Management Fund*: 31%; the *Village Investment Fund*: 12%; and the *Forestry Tax*: 19%. The development of this revenue management policy allows the program to be sustainable by re-investing in the *Forest Management Fund*, and paying back costs incurred by the FMG members. This approach also contributes to the development of local communities by funding the *Village Investment Fund*, which is utilized for local projects (school repairs, health facilities, etc.)

### (iii) Ghana

The following examples illustrate programs involving various combinations of multilateral, bilateral, governmental, private sector and civil society partnerships supporting forest activity at the local level in Ghana:

<b>Table 4.3 Ghana</b>	
<b>Organization</b>	<b>Program/Project</b>
* African Development Bank	Community Forestry Management Project <a href="http://www.afdb.org/en/projects-operations/project-portfolio/project/p-gh-aad-001/">http://www.afdb.org/en/projects-operations/project-portfolio/project/p-gh-aad-001/</a>
Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)	The Forest Protection and Resource Use Management (FORUM) in the Volta Region <a href="http://www.gtz.de/en/praxis/7326.htm">http://www.gtz.de/en/praxis/7326.htm</a>
* Ghana Primewood Products Ltd. and Dalhoff Larsen & Horneman	Gwira-Banso Joint Forest Management Project <a href="http://www.springerlink.com/content/jj417t821q4n21p0/">http://www.springerlink.com/content/jj417t821q4n21p0/</a>
* Rights and Voice Initiative (funded through DFID)	Civil Society Strengthening Facility <a href="http://www.ravighana.org/documents/File/Downloads/ravi_fund_directory.pdf">http://www.ravighana.org/documents/File/Downloads/ravi_fund_directory.pdf</a>

To illustrate different governance models, the discussion below highlights two programs from the above list: (1) the *Gwira-Banso Joint Forest Management Project*, which was a partnership between local farmers and authorities in the Gwira-Banso region, two private timber companies, and the national government; and (2) the *Rights and Voice Initiative (RAVI) Civil Society Strengthening Facility Project*, a multi-stakeholder partnership that builds capacity to promote the inclusion of indigenous voices in community forestry programs.

The *Gwira-Banso Project* differs from programs discussed in the previous section (“Trends in International Granting Procedures,” above) because of the involvement of the private sector in program development and management. At the same time, the project also has much in common with the programs reviewed in that section, including a similar operational structure and adherence to the dual goals of environmental benefits for forests and improved livelihood of local populations. Project design was based heavily on a participatory communication strategy, which involved consultation with chiefs, elders and farmers in the development of forest management techniques. The project utilized educational workshops and incorporated local representatives in the program stewardship model and project steering committee. Benefits to the community came in a number of forms, including a community development fund, which received financial contributions based on the number of logs extracted from the region. The community development fund was used to create incentives for tree planting activities, as well as for financing local community development projects.

The organizational structure of the *Rights and Voice Initiative* (RAVI) follows a pattern similar to the international organizations described in the “Trends” section above. The RAVI Steering Committee, which is responsible for general oversight, includes lawyers, academics and representatives from Ghanaian NGOs and government, and also includes representatives from the communities that are receiving the grants. The RAVI governance model raises questions about the timing of engagement with indigenous and local communities in the overall process.

**(iv) Indonesia**

The following examples illustrate international granting organization support of forest activity at the local level in Indonesia:

<b>Table 4.4 Indonesia</b>	
<b>Organization</b>	<b>Program/Project</b>
SGP-PTF	Remote Community with Local Government Support Negotiates Resource Rights within National Park <a href="http://www.undpsgppft.searca.org/countries.asp?Country=Indonesia">http://www.undpsgppft.searca.org/countries.asp?Country=Indonesia</a>
* Rufford Small Grants Program	Reducing the Poverty of Indigenous Forest Peoples while Conserving Natural Forests <a href="http://www.ruffordsmallgrants.org/rsg/projects/alimaturahim_1">http://www.ruffordsmallgrants.org/rsg/projects/alimaturahim_1</a>
NFP Facility Partnership (in cooperation with GTZ)	Training on Forest Plantations <a href="http://www.nfp-facility.org/60680/en/">http://www.nfp-facility.org/60680/en/</a>

The *Small Grants Programme for Operations to Promote Tropical Forests in Southeast Asia* (SGP-PTF) operates extensively within Indonesia, with a total of 26 projects that range in funding packages from

€20,000 to €100,000. None of the projects listed note a focus on indigenous peoples,<sup>45</sup> However, all programs focus on small forest communities, many of which are located in geographically isolated areas and offer funding mechanisms that provide useful insight into further program design within the country.

A project of note within Indonesia is the *Rufford Small Grants Program - Reducing the Poverty of Indigenous Forest Peoples while Conserving Natural Forests*. This programme focuses on conservation projects and pilot programs, and offers five different grants based on the status and the stage of the project.<sup>46</sup> The graduated granting structure ensures that projects see long-term investment, and allows for ongoing program evaluation at each stage. The Indonesian project, noted here, spans three endangered forests in the Southeast Sulawesi Province, in which the Torete people, the Tolaki people and the Wawonii people live. The project itself focused specifically on improving forest governance, a major cause of deforestation in the region.

The project is of interest because of its approach to economic development. Rather than focusing directly on economic gains from forestry practices, it worked to provide indirect market support in a way that in turn benefit from good forest governance. Specifically, the project supported the honey-home industry, working to boost the productivity and marketing capabilities of the local populations, while conserving the forest region. The project worked to increase the capacity of indigenous forest peoples to produce and market honey that is in high demand locally and nationally. As the honey-home industry requires healthy forests to produce better honey, the project aligns economic incentives with community work to protect forests. Moreover, by linking the project to an indirect economic activity, the program works to diversify the economic capability of the community, and of the local forests. This activity may enable longer-term economic and environmental sustainability, as it builds a greater range of economic skills while ensuring that good forest governance practices remain an important component of the economic success of these indirect programs.

#### **(v) Lao Republic**

Information on programs in Lao Republic is limited, and our review did not uncover substantial information even on the programs listed below. Nonetheless, we noted that the program design documents for the second project listed below (supported by the *Asian Development Bank* in partnership with the *Nordic Development Fund*) require that pilot activities integrate indigenous knowledge in their local adaptation plans. However, we do not have information on how such integration will occur.

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<sup>45</sup> "Indonesia" SGP-TPF Grants, accessed September 3, 2010. Online: [http://www.undpsgppf.searca.org/projects\\_list.asp?Country=Indonesia](http://www.undpsgppf.searca.org/projects_list.asp?Country=Indonesia)

<sup>46</sup> For information on the five grants see: <http://www.ruffordsmallgrants.org/rsg/criteria>

<b>Table 4.5 Lao Republic</b>	
<b>Organization</b>	<b>Program/Project</b>
Japan International Cooperation Agency	Project for Reducing Deforestation System Development through Participatory Land and Forest Management in Lao P.D.R (PREDD) - Jul. 2009 – Jul. 2014 Forestry Strategy 2020 Implementation Promotion Project (FSIP) - Apr. 2006 – Sep. 2010 <a href="http://www.jica.go.jp/laos/english/activities/activity.html#01">http://www.jica.go.jp/laos/english/activities/activity.html#01</a>
* Asian Development Bank (ADB)	Lao People’s Democratic Republic: Capacity Enhancement for Coping With Climate Change <a href="http://www.adb.org/Documents/TARs/LAO/43443-lao-tar.pdf">http://www.adb.org/Documents/TARs/LAO/43443-lao-tar.pdf</a>

**(vi) Peru**

Again, available information from Peru was limited. The following table showcases two recent programs.

<b>Table 4.6 Peru</b>	
<b>Organization</b>	<b>Program/Project</b>
* Rufford Small Grants Program	Sustainable Harvest and Marketing of Non-Timber Forest Products (NTPFs) with Indigenous Communities in the Northern Peruvian Amazon <a href="http://www.ruffordsmallgrants.org/rsg/projects/campbell_plowden">http://www.ruffordsmallgrants.org/rsg/projects/campbell_plowden</a>
Rufford Small Grants Program	Using Participatory Mapping as a Tool for Nature Conservation in Maijuna Traditional Lands <a href="http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore">http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore</a>

The *Rainforest Action Network* (RAN), listed also as an international program in the “Trends” section above, has provided at least four grants (between \$1000 and \$6000) for rainforest projects and indigenous capacity building projects in Peru. The *Initiative for Conservation in the Andean Amazon* also has a mandate to make local grants in Bolivia, Columbia, and Ecuador in addition to Peru). However, neither of these organizations were included in the table above because information is lacking.

Both of the Rufford Small Grants projects feature significant partnership with local indigenous populations. Of special interest is their Participatory Mapping project. Participatory mapping is a powerful capacity building tool, discussed in more detail in the final section of Part Two below. Mapping can help secure local ownership of forestland and forest resources and can provide a strong basis for indigenous sustainable forest management and related projects. In other countries, it has been used to address issues such as land claim disputes, treaty negotiations and resource development.

## Overarching Principles, Thematic Discussion & Analysis

Our examination of grant programs that promote forest management, local livelihoods and capacity building found that the guiding principles, promising practices and major challenges reported by the relevant organizations or stakeholders shared many themes in common. While we cannot independently verify the link to results, the literature we reviewed and the commonalities in the reports suggest to us, as a hypothesis for further development, that these principles, practices and challenges can have a significant effect on program outcomes. This Part Two will go through each of these three areas – guiding principles, challenges, and promising practices -- and describe how different programs and communities have addressed them.

### **I. Common Guiding Principles in Grant-making Programs for Forest Communities**

We found that grant-giving institutions engaged around the three goals of capacity building, forest management and the development of local livelihoods had similar principles at the core of their programming that guided program management. The following section will outline common themes that reappeared throughout our examination, expressed in the form of guiding principles. The principles include: promoting knowledge sharing and learning; valuing traditional knowledge; expanding and enhancing partnerships and networks; developing appropriate criteria and indicators; building trust; and ensuring programs foster gender equity. Below we elaborate each principle in general terms, together with an example of how the principle in question has been carried out in practice. In seeking examples of effective application of these principles, we will go beyond specific grantmaking activities – though that is the context in which the principles themselves we identified – to include any strongly illustrative case that can inform future programming.

#### **1. Promoting knowledge sharing and learning**

Grantmaking programs we reviewed generally viewed knowledge sharing and learning as an integral part of sustainable forest management. Knowledge sharing is a mutual exchange of knowledge and experiences between partners in development projects. Mutual sharing allows indigenous communities to learn more of the science of forest development and learn how other communities have approached similar challenges. It also helps the grantor and other international and national stakeholders (including scientists) to learn from the experiences and traditional practices of the indigenous communities, and to learn from from the grantors' projects themselves.

Many organizations we reviewed strongly recommended that projects adopt a well-defined knowledge management strategy from the very beginning.<sup>47</sup>

Knowledge sharing can occur at a local or regional level. The International Fund for Agricultural Development (IFAD) provides a list of knowledge sharing tools used in projects at the local level including: reflection workshops, impact studies, stakeholder workshops and documentation processes; project websites; knowledge management and communication strategies in projects; supervision reports, implementation reviews and evaluations.<sup>48</sup> IFAD also uses country program teams to provide a forum for sharing experiences and lessons between projects throughout the country. IFAD's projects in Kenya, Tanzania and Uganda established a Rural Knowledge Network, which uses the Linking Local Learners (LLL) approach to support peer-to-peer learning. LLL uses face-to-face exchange with an internet learning platform. At the regional level, IFAD created a regional knowledge-sharing network for western Africa. IFAD Africa was created to provide support, advice and capacity building to IFAD-supported projects and programmes to integrate knowledge management into their activities. IFAD Africa will host an interactive website and will eventually link to the websites of projects and country programmes as they are established. The forum will also contain on-line discussion forums on different themes as well as face-to-face thematic workshops and publish the results and conclusions online.<sup>49</sup>

## **2. Valuing traditional knowledge**

Those emphasizing this principle frequently begin with the observation that there are often two systems of forestry management operating in a country at one time: a national forest management system based on modern science, and an indigenous forest management system based on traditional knowledge and experience. The idea behind valuing traditional knowledge is that each approach deserves full respect, so that indigenous forest management systems are not considered incompatible with or secondary to science-based approaches. Traditional knowledge and practices are viewed as uniquely valuable not only because they reflect, in complex ways, productive and protective adaptation to each distinctive local environment, but also because they reflect the cultural value and rights of indigenous peoples and local communities.<sup>50</sup>

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<sup>47</sup> "Progress in Eastern and Southern Africa", International Fund for Agricultural Development. Newsletter, Issue number 10: December 2008, accessed September 3, 2010. Online: <http://www.ifad.org/newsletter/pf/10.htm>

<sup>48</sup> "Progress in Eastern and Southern Africa" International Fund for Agricultural Development.

<sup>49</sup> "Progress in Eastern and Southern Africa" International Fund for Agricultural Development.

<sup>50</sup> Prasad, Ram. "Joint forest management in India and the impact of state control over non-wood forest products" FAO Corporate Document Repository, accessed September 3, 2010. Online: <http://www.fao.org/docrep/x2450e/x2450e0c.htm>.

## CARPE-IUCN Small Grants

### Rwanda Bamboo Society

Rwanda is one of the world's 20 poorest countries, with a high population density and immense wildlife. The high human population density and rural poverty generate pressure to convert protected wildlife areas into farmland and grazing land, and to exploit forest products such as bamboo, firewood, and wildlife. The Bamboo Society received grants from CARPE-IUCN and from the GEF for projects aimed at capacity building for bamboo multiplication for local farmers' organizations and to raise awareness of the income generating projects based on the use of this resource. The project focused on the conservation and sustainable use of bamboo using proper farming techniques along with capacity building in the use of the plant. The Bamboo Society is part of a group of NGOs that form RENGOF, a non-profit umbrella organization for 40 international environmental NGOs in Rwanda. The Bamboo Society has been particularly active in preparing for climate change and promoting sustainable environmental practices in Rwanda. RENGOF also receives funding from CC-DARE.

Source:

<http://carpe.umd.edu/Plone/resources/smallgrants>

The most common way to ensure that local knowledge and practice are valued in this way is to involve local communities in the decision-making in a participatory approach. Advocates of the participatory approach also note that it can increase local ownership of projects and build trust among partners. In India, the government adopted a participatory forestry approach in 1988. The model places state governments with broad responsibility and the local people with the responsibility for everyday protection and management. The communities involved are required to organize forest protection committees, village forest committees, village forest conservation and development societies. Each of these bodies has an executive committee that manages its day-to-day affairs.<sup>51</sup>

Countries have been increasingly adopting principles of Participatory Forest Management (PFM), with many countries revising forest legislation, policies, procedures, and management plans to provide for increased stakeholder participation in decision-making and management. A study of PFM systems from the Caribbean Natural Resources Institute listed common characteristics of successful PFM as follows: committed and sustained leadership; national forest policies that provide support and guidance for collaboration; respect for the objectives of all parties; clearly defined roles and responsibilities that fully address management needs; management agreements that define and protect the rights of all parties; benefits to each party that are commensurate with their responsibilities; and mechanisms for ongoing dialogue and negotiation.<sup>52</sup>

The Regional Programme in Support of Indigenous Peoples in the Amazon Basin (PRIA) also noted an example where local communities themselves seemed to undervalue their own traditional practices. This was in a project in Brazil, where PRIA reported that "Indigenous peoples did not take sufficiently

<sup>51</sup> Prasad, Ram. "Joint forest management in India and the impact of state control over non-wood forest products"

<sup>52</sup> "Tighe Geoghegan Participatory Forest management in the Insular Caribbean: Current Status and Progress to Date", Caribbean Natural Resources Institute (CANARI), CANARI Technical Report No. 310 (June 2002), accessed September 3, 2010. Online: [www.canari.org/docs/310pfm.pdf](http://www.canari.org/docs/310pfm.pdf)

into account their own economic specificity and their traditional knowledge of resource management; on the contrary, they were searching to replicate the productive strategies which [characterize] the non-Indigenous populations with which they are in contact in each specific region".<sup>53</sup>

### **3. Increasing partnerships and networks**

Grant programs frequently note the importance of networks and partnerships, for example to enable effective knowledge sharing (see Principle 1 above) and joint problem solving. Networking also allows communities to potentially develop economic partnerships with investors interested in sustainable development of forest resources, and to connect community priorities with national initiatives and strategies. The initiative undertaken by Growing Forest Partnerships (GFP) is a good example of how networking can enhance opportunities for indigenous peoples. The main goal of GFP is to work with existing organizations and increase the coordination between actors to foster a more coherent bottom-up approach to preserving forests and bettering the livelihoods of forest dwelling people. Rather than acting as a fund that gives grants, it identifies funding opportunities and helps make the connection to financial resources and project participation. The approach assists countries in developing a unified strategy instead of multiple piecemeal projects. There are projects currently underway in Mozambique, Guatemala and Ghana. These three country programs are currently working to develop national plans through consultations with all actors. The program links economic developers with indigenous peoples looking to increase development. The GFP does not actually give grants itself, but it increases the links between existing partners to more efficiently coordinate resources that already exist.<sup>54</sup>

### **4. Developing culturally appropriate criteria, indicators and measurement strategies**

It is normal grantmaking practice to require monitoring and evaluation of projects based on objective criteria that also permit practical measurement. Criteria and indicators (C&I) in the forestry sector were historically developed for large-scale forestry enterprises. However, the current trend in the forest sector is towards decentralization, often with local communities rather than large-scale forestry enterprises responsible for forest management. Many of the previously used C&Is are not applicable at the community level. Reasons for their unsuitability include: a lack of technology to cost-effectively monitor results against the criteria; incompatibility with local or traditional management practices; or a focus that is not relevant to community projects.<sup>55</sup> Yet if there is no effective set of indicators that

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<sup>53</sup> "Regional Programme in Support of Indigenous Peoples in the Amazon Basin: Interim Evaluation Condensed Executive Summary" International Fund for Agricultural Development, accessed September 3, 2010. Online: [http://www.ifad.org/evaluation/public\\_html/eksyst/doc/tag/tag234be.htm](http://www.ifad.org/evaluation/public_html/eksyst/doc/tag/tag234be.htm)

<sup>54</sup> "About GFP" Growing Forest Partnership, accessed September 3, 2010. Online: <http://www.growingforestpartnerships.org/about-gfp>

<sup>55</sup> Erin Sherry, Regine Halseth, Gail Fondahl, Melanie Karjala, and Beverly Leon. *Local-level criteria and indicators: an Aboriginal perspective on sustainable forest management*. Forestry Advance Access published September 6, 2005 p. 3. Online: [cura.unbc.ca/pubs/Sherryetal2005\(C&I\).pdf](http://cura.unbc.ca/pubs/Sherryetal2005(C&I).pdf)

the community can use and that are agreeable to funders, an important opportunity for collaborative monitoring and improving project effectiveness is lost. This is the impetus for the development of locally-driven, funder-compatible C&I.

A study conducted for the World Forestry Congress in 2009<sup>56</sup> noted not only that culturally appropriate C&I can facilitate local management of forest projects, but also that it can lead directly to more better results, but harmonizing project activity with local concepts of sustainability – concepts that may be more applicable than those that drive more general, global C&I. One community that developed a local set of criteria and indicators with high community involvement is the Tl'azt'en Nation in central British Columbia, Canada. The C&I framework was developed through several stages, the first of which was 100 interviews with members of the communities that constitute the Tl'azt'en Nation on sustainable forest management practices. An analysis of the interviews was done to determine community priorities and concerns in forest management and community forest values. The information collected was used to develop C&I for evaluation, management practices, forest planning, and also helped foster inclusiveness and enhance sustainability of the project.<sup>57</sup>

## 5. Building trust

In order for grant-giving organizations to have successful long-lasting relationships with indigenous peoples and local communities there must be a sufficient amount of trust. The partnership between the community and the grant-giving organization will be more cohesive and collaborative if there is a concentration on building trust as a first stage. The Cherokee Preservation Foundation found a crucial element of the grant partnership was for indigenous communities to see the grantor organization as having the legitimacy to make decisions on which communities receive grants and for what purpose. The foundation identified four

### Criteria & Indicators: Q Method

This tool was customized for two First Nation community partners in British Columbia, Canada. It utilizes a set of generic or tailored statements about forestlands that members of the community are asked to rank, and which subsequently indicate conditions that communities desire or do not desire. The tool requires:

- Working with aboriginal communities to develop the questions/statements, or to assess the suitability of generic statements
- Incorporating the views and opinions of community members

With these considerations, Q Method is an adaptable tool that can assist in the assessment of programs, policies and needs, and can inform the development of appropriate criteria & indicators.

Source:

<http://www.forestry.ubc.ca/FNPerceptions/index.php>

<sup>56</sup> Reem Hajjar l, Angeline Gough, Anne-Helene Mathey, Craig Nitschke, Shyam K. Paudel, Pano Skrivanos, Patrick O. Waeber, and John Innes, "Criteria and indicators for sustainable forest management in the face of decentralization: are they still relevant in their current form". Buenos Aires, Argentina, 18 – 23 October 2009 XIII World Forestry Congress

<sup>57</sup> "Local-level criteria and indicators: an Aboriginal perspective on sustainable forest management" p. 6

methods for gaining this legitimacy in communities, each of which are cited below and can be found in more detail in the report.<sup>58</sup>

1. *Ensure that communities have an effective and meaningful participation in the governance of the organization.* The communities' role must be explicit and transparent. This may be difficult where communities do not have existing leadership or governance structures that lend themselves to such participation; thus, capacity building may be a necessary a first step.

2. *Engage in community-wide planning to help set the agenda for grant-making.* Such a planning process allows the community's needs to be a main driver behind the grant making. The community members become involved in setting the priorities for the projects, and when those priorities are kept transparent and then realized in operations, trust builds.

3. *Reflect community values in both the grant-maker's decision-making process and in its operations.* The values must not only be present in the general day-to-day operations but also in the behaviours of the people working in the organization to be meaningful. The manner of asking individuals questions to obtain information, how group meetings are run may have to alter to reflect and respect the values of the community.

4. *Create mutual accountability for the effective use of community funds.* This means that the community and the grantor have mutual, shared accountability for the success of the project. This is achieved through a participatory approach. Some grantees have a sense of entitlement over funds granted. The entitlement creates tension when deciding who will be responsible for how funds are spent. In creating mutual accountability, the sense of entitlement can be a barrier to open dialogue over community funds. The First Nations Development Institute (FNDI), a US-based organization that gives technical and financial support grants to North American First Nations communities, facilitates meetings involving various grantees from the program to share ideas and do peer reviews among communities. The discussions among grantees created a reduced sense of entitlement over funds by community members when they realize they are not alone in their work.<sup>59</sup>

## **6. Gender Equity and Vulnerable Groups**

The Terms of Reference for the design of the grant mechanism underlying this research include a mandate for equal emphasis on both genders as well as full engagement with vulnerable or

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<sup>58</sup> John Weiser & Ellen E. West "Arm in Arm: Engaged Grantmaking in Local Communities" prepared for the Cherokee Preservation Foundation. pp. 15-18, accessed September 3, 2010. Online: [cura.unbc.ca/pubs/Sherryetal2005\(C&I\).pdf](http://cura.unbc.ca/pubs/Sherryetal2005(C&I).pdf)

<sup>59</sup> "Grantmaking programs" First Nations Development Institute, accessed September 3, 2010. Online: [http://www.firstnations.org/default2.asp?active\\_page\\_id=75&top=75](http://www.firstnations.org/default2.asp?active_page_id=75&top=75)

marginalized populations. Many of the programs reviewed here highlighted the importance of these themes. Below, we will focus on gender as an epitome of the broader equity and vulnerability concerns that forest programs typically face.

In addition to the core equity principle reflected above, gender considerations were noted as relevant in programs reviewed here for two main reasons: first, as members of forest-dwelling communities, women as well as men will inevitably see their lives affected by forest programs, and women (and children) are often especially vulnerable; second, engagement by women in the process is important to ensure full accountability and a critical dialogue on what should be done in forest communities. Among indigenous peoples and local communities, there can be special challenges in ensuring equitable voices and representation of women, and equal rights vis-à-vis resources, arising from traditional cultural gender structures. This sometimes entails engaging with a mix of traditional and newer organizational structures within indigenous and local communities.

International organizations are increasingly placing gender equality as a centre focus of rural development. IFAD for example is undertaking a plan to mainstream gender equality in all IFAD operations. Guidelines for future projects include the following: each loan agreement will have a statement on the centrality of gender concerns; a discussion of gender will take place in the start-up workshop; and, there will be a greater emphasis by supervision on gender issues including monitoring and evaluation focused on gender alone. Similarly, improved learning and information sharing will enable replication of best practices and cross-fertilization between regions and countries. IFAD will develop a common framework and then regional and country-specific strategies will be developed based on that framework to ensure the strategy is appropriate for that area. Each area will have workshops to gender mainstreaming goals and

### **Indigenous Peoples Assistance Facility**

#### **The Society for the Protection of Animal Life and the Environment (SPALE)**

SPALE received a grant of USD 10,000 for the promotion and preservation of indigenous ethno-veterinary practices among the Mbororo Nomadic Herders of Wum(Upkwa) in Cameroon. Along with the preservation of veterinary practices, the project aims to support the documentation, assessment and promotion of local health traditions and the conservation and sustainable use of medicinal plants. The organization is involved in training farmers in cheap, sustainable and ecologically sound methods of soil fertility, watershed/water catchment sites, and carrying out sustainable agriculture and biodiversity conservation projects. As women are major contributors to farming in Cameroon, the ratio of women to men as beneficiaries of programs is 3:1.

Source: [www.ifad.org](http://www.ifad.org)

then develop outreach programs specific for that region to meet those goals. The IFAD gender website provides further guidance along with country profiles.<sup>60</sup>

Cooperation from the host country also helps facilitate the process of gender mainstreaming. Ghana provides a good example of policy development in this area. In Ghana, women's access to land depends on derivative rights, normally through a male relative. Women often rely on access to forest resources as common property rather than having an individual proprietary right. Controlling forests and managing forest resources is traditionally viewed as a male role. To resolve this issue the government, which controls communal land, has adopted land-sharing arrangements to ensure equitable benefit across both genders on forest resources collected from communal lands. Ghana also took the need for women's voices and representation as a serious issue, since decision-making in local communities was also traditionally a male role. To address this, the Ghana Government stated in the Ghana Poverty Reduction Strategy 2002-2004 that communities may only receive loans for forest development if women are equitably represented in all decision making consultations and that women headed households will be treated equally in the allocation of forest reserve lands.<sup>61</sup>

Although we do not have data on the results of these initiatives, the national response of the government of Ghana to the gender equity challenge is clearly an opportunity for constructive learning. At the same time, even when national policy is not (or not yet) as fully articulated as in Ghana, it is possible to make progress case by case, at the local level.

## **II. Common Challenges**

We reviewed a variety of reports illustrating common challenges facing granting institutions engaging with indigenous communities in community development; two major examples are the Cherokee Preservation Foundation's "Arm in Arm: Engaged Grantmaking in Local Communities" paper<sup>62</sup> and IFAD's "Work in Support of Indigenous People's: Challenges and Ways Forward".<sup>63</sup> The following section highlights some common challenges that our review suggests are relevant for granting institutions engaged in capacity building, forest protection and the development of local livelihoods. This section also gives examples on how different communities have addressed those

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<sup>60</sup> "Framework for Gender Mainstreaming in IFAD's Operations" International Fund for Agricultural Development, accessed September 3, 2010. Online: <http://www.ifad.org/gender>

<sup>61</sup> "Appraisal Report: Community Forestry Management Project, Republic of Ghana." Agricultural and Rural Development Department (OCAR) (April 2002) accessed September 3, 2010. Online: <http://www.afdb.org/fileadmin/uploads/afdb/Documents/Project-and-Operations/GH-2002-043-EN-ADF-BD-WP-GHANA-FORESTRY-APPRAISAL-CEGL-3FINAL1.PDF> at p. 5.

<sup>62</sup> John Weiser & Ellen E. West "Arm in Arm: Engaged Grantmaking in Local Communities".

<sup>63</sup> Victoria Tauli-Corpuz, IFAD's Work in Support of Indigenous People's: Challenges and Ways Forward, Member, UN Permanent Forum on Indigenous Issues, 2004, accessed September 3, 2010. Online: [workshop\\_IPPMG\\_ifad\\_indigenous\\_en.pdf](http://www.un.org/News/Press/docs/2004/20040920.unpfii.en.pdf)



challenges. Below, the challenges are organized into three subsections: national/local challenges; financial challenges; and local capacity challenges.

## **1. National/local challenges**

We begin by discussing two complementary challenges: first, how to involve local communities affected by forest programs in national program development, including grantmaking programming, but also more generally (subsection (a) below); and second, how to support local projects in a way that is driven by community priorities but that also harmonizes with national programming (subsection (b) below). We then offer examples around two special topics that often complicate the national/local programming: land tenure and rights (subsection (c) below), and different concepts of conservation and development (subsection (d) below).

### **a) Involving local communities at the national level**



Assuring good representation from all concerned parties in the decision-making process is challenging, especially in countries where the population is very culturally diverse with a broad range of interests. Smaller decision-making bodies are more effective at achieving consensus and accomplishing tasks in a timely manner, but using small bodies may result in many segments of society being left out. This challenge is reflected in the National Steering Committees, which often include between 10-15 individuals, most of whom are government, academic or private sector representatives. In a country with diverse indigenous and local populations, many affected communities may be unrepresented or underrepresented in such a committee structure. Large democratic countries are accustomed to making decisions through elected representatives that stand for a large group of people. This system may not be a good fit with diverse local communities, who often operate through consensus decision making or through structures that can't effectively be represented by an elected official (without, at any rate, special resources enabling such an official to connect appropriately with local decision making).

The Congo Basin Forest Fund attempts to have representation from local communities through a Reference Group that informs the decision-making body rather than having representation in the decision-making body itself. The Reference Group acts as a forum for consultations around the operation of the CBFF to help community members be informed and to enable stakeholders to make representations to the governing council. For a break-down of further examples see the discussion of governance structure section beginning on page 7 above.<sup>64</sup>

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<sup>64</sup> "How is the CBFF Managed?" Congo Basin Forest Fund.

## **b) Making sure local projects fit into a larger context**

There are often at least two levels of forest program operations within a given country: the national forest program at the government level; and individual, independently sponsored programs at the community level. There may also be programs regionally based encompassing many countries together such as the Sangha Tri-National Foundation involving three countries in one preservation effort.<sup>65</sup> Each level of programming will have greater chances of success if they are all coordinated around common goals and objectives. Many recipients of funding with active projects at the local level for forest conservation and sustainable forest management are in practice isolated from other local projects and from national strategies. The *National Forest Program Facility* (NFPF) notes that well-funded organizations at the national level may have effective control over forestry initiatives, with the results that neither the government nor local communities have the opportunity to set strategy. NFPF therefore recommends that the national forest program be the platform for coordination of all forest related activities in the country.<sup>66</sup>

The NFPF attempts to assure that projects fit a broader strategy through a top down approach: the Facility assists countries in developing national forest programs, which are then intended to apply to local activities. Other programs, such as *Growing Forest Partnerships* (GFP), have attempted a more bottom up approach. The GFP aims to increase coordination between existing organizations and initiatives. By providing this kind of connectivity for local organizations, this GFP helps countries to develop a unified strategy for forests that directly engages local initiative.<sup>67</sup> Underlying both approaches is the belief that local projects receiving grants will be more effective if they are linked to each other and to a broader national strategy.

The GEF-UNDP Small Grants Program begins by developing a national strategy with the local partners, and then with small grants approved based on this strategy. The local partners typically include government officials from the forestry sector on the National Steering Committee. The SGP-PTF develops a Regional Strategic Framework that outlines the overall intent and policies of the program followed by the creation of a County Guideline. The Country Guideline is created with horizontal consultation with stakeholders and outlines how the grants will meet the directives of the program. It forms the bases for assessment and the acceptance of proposals. From the Country Guideline a Regional Operation Manual is written to provide clear guidance on procedures and operations at the micro and macro level.<sup>68</sup> These approaches again recognize the challenge under

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<sup>65</sup> "Sangha Tri National Foundation" World Wildlife Foundation, accessed September 3, 2010. Online: <http://www.worldwildlife.org/what/wherewework/congo/sanghatri-nationalfoundation.html>

<sup>66</sup> "Facility Grants" The National Forest Program Facility, accessed September 3, 2010. Online: <http://www.nfp-facility.org/63741/en/>

<sup>67</sup> "About GFP" Growing Forest Partnership.

<sup>68</sup> "IUCN Small Grant Policy and Procedure Manual for the Support Program for Civil Society Strengthening for Biodiversity Conservation in Central Africa".

discussion here. However, it is not clear from information available to this research project whether and to what extent these approaches lead in practice to effective coordination among projects, in a way that ultimately produces improved results.

### **c) Land Tenure and Rights**

This is a complex and sensitive topic that in the main is beyond the scope of the present research. Here, we will simply note that clarifying land tenure is a common key to success across a wide variety of the grantmaking programs we surveyed, and it is also an explicit component of the proposed grant initiative under the Forest Investment Program. Some promising approaches to meeting this challenge in practice – for example, through “mapping” – are discussed in subsection 3 below. As a way to frame the challenge through a particular case here, we focus below on one of the FIP pilot countries, Ghana, which has provided, through government policy, an example of a national framework for progress in this area.

More than a decade ago, the Government of the Republic of Ghana embarked on a broad-based consultative process aimed at reforming the existing natural resources policies related to land and tree tenure. As a first step, Ghana developed the Land Policy in 1999 that recognized all traditional sources of land tenure and rights as legitimate sources of land titles. The policy document permits leaseholds on the land for 49 years and provides a framework for access to land by all Ghanaian men and women, including internal migrants and foreign investors. Conditions for access to land are: a) land must be available, b) the individual must agree with land owners to adhere to covenants and other customary practices governing the disposal of the land, c) the individual agrees to put the land to a use that conforms to the land use plans for the area and to principles of sound land use management.<sup>69</sup> A question for the grantmaking initiative now is how grants to local communities in Ghana can help develop a secure environment for local tenure rights in the context of sustainable livelihoods and sustainable forest management.

### **d) Reconciling contrasting notions of conservation and development**

One recurring challenge emerging from our review is that international organizations and national governments may believe a particular forest area should be preserved as a pristine wilderness, while the local community may seek to continue, or enhance, their use of forest resources to sustain their livelihoods, while protecting the forest for the long term, but not in “pristine” fashion. The difference may also take the reverse form: international and national stakeholders, such as private business, may seek economic benefits from the forest in a way that, to them, remains sustainable,

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<sup>69</sup> “Appraisal Report, Community Forestry Management Project: Republic of Ghana” Agricultural and Rural Development Department (OCAR) at p. 15.

while the indigenous community may see such strategies as degrading the forest and threatening their way of life.<sup>70</sup>

In Brazil, indigenous communities and international actors seem to differ in their views of preservation of the Amazon Rainforest. Indigenous communities value the flora and the fauna for sustenance purposes as well as for spiritual and cultural reasons, so their approach to questions of both preservation and development are based on these principles. International actors, in contrast, often value the biodiversity of the rainforests for economic purposes, seeking to find valuable genetic material that can be patented and turned into commodities. Development in terms of the indigenous community may mean gaining rights and protection over forest resources and traditional ways of living, while international stakeholders may have interest in both exploiting and preserving the forest for economic purposes.<sup>71</sup>

A possible response to this challenge is to work to address the priorities of both parties and create a partnership. IFAD reported practical experience blending indigenous knowledge and modern technology to enhance livelihood options, increase food security and improve health. Examples include projects based on indigenous knowledge of medicinal plants to promoting fair national and international value chains. These projects, which reported significant gains in community well being, were developed with high participation from local communities, governments, donors, and other partners such as the private sector and NGOs. In India's State of Andhra Pradesh, modern techniques and traditional knowledge have been brought together to develop innovative non-timber forest products such as gum karaya. Local communities quickly saw gains in the quality of their product and a resulting 250% percent increase in producer prices. The increase in productivity led to the development of value-added products: powder, granules, cream and gel. The gum karaya initiative was a major source of income for about 12,000 local indigenous people and an important source of employment for women.<sup>72</sup>

Another example of a reconciliation of contrasting viewpoints is the introduction of geographic information systems (GIS) in local and indigenous communities. Communities that rely on traditional methods such as oral history and local knowledge may view modern GIS techniques with skepticism.

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<sup>70</sup> Paul E. Little, "The Challenges of Interculturality: Indigenous Peoples and Sustainable Development Subprojects in Brazilians Amazonia". University of Brasilia (2004), accessed September 3, 2010. Online: <http://vsites.unb.br/ics/dan/Serie364empdf.pdf> at p. 14.

<sup>71</sup> "IFAD Policy on Engagement with Indigenous Peoples, Executive Board —Ninety-seventh Session Rome" (14-15 September 2009) Online: [www.un.org/esa/socdev/unpfi/documents/engagement\\_background\\_en.pdf](http://www.un.org/esa/socdev/unpfi/documents/engagement_background_en.pdf)+IFAD+Policy+on+Engagement+with+Indigenous+Peoples&hl=en&gl=ca&pid=bl&srcid=ADGEESHvviDgP-2HWsu2hCN1zxG90Qf1OInNH-tjobYAXAbL84CLhwTCFTf9ykLegMcqSvrNvNkmjEO1JTbAqA6173fAc2sx7k947QUY\_uO5ORG1sWTtoLJR212MCa427eeOZOd7AF\_AH&sig=AHIEtbR2U1vdYz\_lyrVS8IM7JOCc53XR2g at p. 6.

<sup>72</sup> "IFAD Policy on Engagement with Indigenous Peoples, Executive Board —Ninety-seventh Session Rome" at p. 14.

Yet experience shows that this gap can be effectively bridged. For example, the Community Mapping Project in Kalimantan, Indonesia combined traditional and modern systems to create a map trusted by all parties. The project mapped customary lands using oral history, traditional knowledge, sketch maps and GPS. The GIS was used to overlay the information with official land use maps in order to clarify boundaries.<sup>73</sup>

## **2. Financial challenges:**

Three main financial challenges arose in our research. While all of the challenges relate to program structure, each one arises in a different segment of the grant period. The first challenge relates to how to structure grants at the beginning of the program with the knowledge that the grantor has limited resources to accomplish the project to its completion. The second is how, during the grant period to address differences in opinions on how the funds are to be allocated. The last challenge is how to ensure financial sustainability of a project after the grant period ends, so that grantors have an effective exit strategy.

### **a) Limited resources compared to aggregate project costs**

Projects often need more funding than is available from any one organization's grant program. Any grant program has limits, leaving many organizations with the need to be creative to ensure the success of their project. Some grantmaking programs have utilized a joint funding model to help fund community projects. The National Forest Program requires grantees to contribute 20% of the program funds themselves from their own sources.<sup>74</sup> However, in NFP the partners are nations instead of local communities and have more ability to raise or access revenue. The GEF-UNDP Small Grants Program (SGP) requires that grant recipients find funding from additional sources to help finance their project. GEF has explicit rules regarding activities that are eligible for funding. Other activities, while they may be crucial to the success of the program, may be ineligible for funding. Partly as a result, the GEF requires that SGP grant recipients find other funding partners. Over 600 partner organizations now provide co-financing and other support to SGP activities. SGP partners highlighted on the main website include the SGP EC Programme for Operations to Promote Tropical Forestry, Nile Basin Initiative, Rainforest Alliance ECOINDEX, REDLAC, METAP etc. In addition, the Cherokee Preservation Foundation also suggests adopting a strategy where grantors assist grantees in drafting project proposals to apply for further funding where required.<sup>75</sup>

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<sup>73</sup> Dr. Gernot Brodnig, Viktor Mayer-Schönberger, "Bridging the Gap: The Role of Spatial Information Technologies in the Integration of Traditional Environmental Knowledge and Western Science". The Electronic Journal on Information Systems in Developing Countries, Volume 1, January 2000, accessed September 3, 2010. Online: <http://www.unimas.my/fit/roger/EJISDC/EJISDC.htm>

<sup>74</sup> "Facility Grants" National Forest Program Facility.

<sup>75</sup> "Partnerships" The GEF Small Grants Programme.

PRIA (Regional Programme in Support of Indigenous Peoples in the Amazon Basin) reported that the limited resources available for administrative purposes resulted in a lack of capacity to monitor projects at the local level. They found, however, that there were NGOs and local agencies in the area with resources and experience in project monitoring. For future projects, PRIA is considering possible operational alliances with groups fitting this profile. PRIA would make funds available to grantees to contract the services of these groups, both for technical assistance and for monitoring project activities.<sup>76</sup>

#### **b) Differences in opinion on Allocation of Funds**

The recipient may have a different concept of how the funds should be allocated than the donor organization. Activities, such as capacity building and leadership training, may be seen by some as outside the scope of the project but by others as key to its success. Communities often have difficulty seeing the value of spending money in areas which they regard as secondary to the main project goals. For example, research conducted by the Cherokee Preservation Foundation found that grantors often wanted to focus attention on capacity building at the beginning, to ensure sustainability of the project, while grantees often preferred to begin program activities immediately, and work on capacity building later.<sup>77</sup>

To address this challenge, PRIA adopted a participatory approach by involving the grantees from the beginning stages of the program. The administrative structure of the program would be tailored according to responses from the community. Each project under the PRIA program is managed through a project-specific Project Administration Unit (the acronym is UAP due to the translation from Spanish) that shares responsibilities with local communities, including for project implementation.

#### **First Peoples Worldwide Organization San Botswana**

The Keepers of the Earth Fund (KOTEF) has supported the San in Botswana through three organizations: Ditshwanelo – The Botswana Centre for Human Rights, The First People of the Kalahari, and Letloa Trust, which are all local indigenous groups. By giving grants, the KOTEF assisted the San in gaining legal rights to traditional lands in the Central Kalahari Game Reserve. While the San received the right to live on the land there is no access to resources and therefore life there is a struggle. KOTEF continues to give support by providing water, transportation to the Reserve, and transportation between the Reserve and health facilities outside the Reserve.

Source: [www.firstpeoplesworldwide.org/grants.asp](http://www.firstpeoplesworldwide.org/grants.asp)

<sup>76</sup> “Regional Programme in Support of Indigenous Peoples in the Amazon Basin: Interim Evaluation Condensed Executive Summary” International Fund for Agricultural Development.

<sup>77</sup> “Arm in Arm: Engaged Grantmaking in Local Communities” prepared for the Cherokee Preservation Foundation.

Through the process of shared responsibility, indigenous peoples became co-administrators of the funds and work cooperatively with the UAP to decide on how the funds are used. PRIA reports success in operating this model, which effectively built both trust and local commitment and ownership.<sup>78</sup>

### **c) Fiscal Sustainability after grant ends**

Many projects are intended to continue well beyond the grant period, so their long-term success depends on their ability of the program to maintain fiscal viability through other sources. One practice supported by CPF was to assist the community during the grant period applying for funding elsewhere. CPF teaches skills in develop grant proposals and identifying funding sources.<sup>79</sup> Another approach is to establish financially self-sufficient projects so that when grant funding ends the project is no longer in need of grant assistance. In Burkina Faso, the National Village Forestry Program in the Nazinon Reserve Forest developed a system of self-financed forest management. The first phase of the project was financed through external grants, but the project now generates enough revenue to be self-sufficient. One portion of the revenues from the project goes to remuneration of forest villagers who do the physical labour of managing the forest and harvesting forest products. Another portion of the revenues from the forest resources is placed into a Forest Management Fund. The Fund finances program activities such as reforestation by seeding measures to combat forest fires, and also defrays administrative and other costs of running the overall program.<sup>80</sup>

## **3. Local Capacity Issues:**

Even – or especially -- when capacity building is an explicit grant-program goal, working effectively with existing capacity on the ground is both a key to success and a challenge. A general way to describe the issues discussed below is that they involve challenges in assuring an effective, accountable link between the grant program and the local grantee without creating pressure to “westernize” the grantee or compromising transparency for all concerned. Below we elaborate on four interrelated aspects of this challenge: (a) grantee identity, (b) grantee governance, (c) grantee decision-making and (d) grantee leadership.

### **a) Grantee Identity**

CPF described a challenge in grant management when the target area includes a large number of forest dwelling communities, each with a small population, spread out over a wide (and often remote)

<sup>78</sup> “Regional Programme in Support of Indigenous Peoples in the Amazon Basin: Interim Evaluation Condensed Executive Summary” International Fund for Agricultural Development.

<sup>79</sup> “Arm in Arm: Engaged Grantmaking in Local Communities” prepared for the Cherokee Preservation Foundation at p. 33.

<sup>80</sup> FAO Corporate Document Repository, Case Study 1: The Nazinon Reserved Forest (Burkina Faso) , accessed September 3, 2010. Online: <http://www.fao.org/docrep/005/w4442e/w4442e0i.htm>



area.<sup>81</sup> How does the grantor select good candidates for funding? One reported practice was to find local groups that already have multiple grantors funding their programs. This would mean that the grantees will likely already have practice with grantee accountability formats. However, this may have the effect of leaving out many communities that could most use the funding and instead focusing the grant money on a few organizations.<sup>82</sup> Therefore, rather than seek grantees that are always already familiar with grant management, the grantor might welcome new grantees and include an organizational development component, as discussed in the next subsection.

Paul Little's paper, "*The Challenges of Interculturality: Indigenous Peoples and Sustainable Development Subprojects in Brazilians Amazonia*", reported a dimension of this challenge, a risk of unintended consequences in funding projects through grants. The paper noted that large numbers of new indigenous and local organizations are being formed, often conforming, to one degree or another, to a western organizational model, for the purpose of gaining access to development project funding.<sup>83</sup> The concern is that western standards for project management may lead to a pressure for an organizational standardization among indigenous groups that does not reflect their cultural priorities and heritage. The paper notes that it is important for the agencies responsible for the development and implementation of grant projects to understand that the mere introduction of a project into a community can lead to unintended sociopolitical changes in the indigenous society. Indigenous organizations that appear more familiar to the western style of program management may be more likely to receive project support; or grantee communities may experience pressure adopt western style project management. The paper warns that a dependence on agency funding can also result, leading to still more pressure to conform to models that go outside the traditions and values of the community. The paper concludes that donors need to be aware of these risks and develop careful responses to it.<sup>84</sup>

## **b) Grantee Governance**

When grantee governance capacity is limited, the grantor may need to provide resources for organizational development, in a manner that respects distinctive, local approaches (see challenge (a) above). The Cherokee Foundation reported that organization development turned out to be an essential and central part of its program.<sup>85</sup> Specifically, grantee organizations required capacity building in governance and leadership before, during and after the grant period.<sup>86</sup> Some grantees

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<sup>81</sup> "Arm in Arm: Engaged Grantmaking in Local Communities" prepared for the Cherokee Preservation Foundation at p. 23

<sup>82</sup> *Ibid.*

<sup>83</sup> Paul E. Little, "*The Challenges of Interculturality: Indigenous Peoples and Sustainable Development Subprojects in Brazilians Amazonia*" at p. 7

<sup>84</sup> "Arm in Arm: Engaged Grantmaking in Local Communities" prepared for the Cherokee Preservation Foundation at p. 23.

<sup>85</sup> *Ibid.*

<sup>86</sup> "Arm in Arm: Engaged Grantmaking in Local Communities" prepared for the Cherokee Preservation Foundation at p. 25.

achieved this by mentoring within their own staff where they had the resources to do so; others developed a network of consultants within the community to provide training and support.

PIRA did a review of organizational support in its past grants and developed a series of proposals to enhance future effectiveness.<sup>87</sup> PIRA is contemplating two avenues for grantee support. The first is to create a group of smaller regionally focused funds that would coordinate support in their region based on previous experience. The regional funds would have minimal bureaucratic structure and would provide on-site support in the following areas: identification; technical and legal assistance; information; training; monitoring and follow-up; studies and researches; systematization and evaluation; internal and external coordination; alliances and networking. The second avenue would be to create a dedicated program for indigenous peoples receiving IFAD funding to provide special support. The dedicated support program would develop assessments of potential projects to identify specific areas that require assistance and tailor support on a case-by-case basis. Both approaches would allow consolidation of support to a group of projects in a regional area to increase efficiency.<sup>88</sup>

### **c) Grantee Decision-Making Structures**

The two challenges described above come together in the need to reconcile different cultural decision-making and governance structures (“western” and “local”) in a way that respects both. For example, grant-giving organizations typically have a hierarchical governance structure where final decisions are made by a small committee of representatives or, at the operational level, by one individual who has been delegated authority. The governance systems are largely based on western democratic representative models where a small number of individuals are selected to speak for a group and a majority vote among representatives decides (see Part I, (a) Governance above for more details). Indigenous cultures may have very different methods of making decisions that seem incompatible with this representative hierarchical model, such as reaching decisions through consensus.<sup>89</sup> The challenge is how to recognize and bridge any different approaches so that all parties have ownership over the decision made and feel comfortable with that decision.

Another example is that local grantees may not be accustomed to the project format and deadlines required by the grant-giving organization. Although a strong grantee governance system may be present, topics like budget cycles and annual progress reports may be both literally and figuratively a foreign language. To address the deadline challenge, one practice observed by the CPF was to find organizations that had support from a central leader in the community. Internal support meant that

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<sup>87</sup> “Regional Programme in Support of Indigenous Peoples in the Amazon Basin: Interim Evaluation Condensed Executive Summary” International Fund for Agricultural Development.

<sup>88</sup> Paul E. Little, “The Challenges of Interculturality: Indigenous Peoples and Sustainable Development Subprojects in Brazilians Amazonia” at p. 5.

<sup>89</sup> “Indigenous Communities and Biodiversity” prepared by the Global Environment Facility, Accessed on September 3<sup>rd</sup>, 2010. Online: [www.thegef.org/gef/sites/thegef.org/files/publication/indigenous-community-biodiversity.pdf](http://www.thegef.org/gef/sites/thegef.org/files/publication/indigenous-community-biodiversity.pdf)

projects were more likely to be completed in a timely manner.<sup>90</sup> Another practice was to have yearly celebrations to make annual progress a publically acknowledged reality. In some cultural settings at any rate, such celebrations proved to be a good fit, and communities took great pride in presenting their results.<sup>91</sup>

The experience of the Pilot Program for the Protection of Brazilian Tropical Forests illustrates some of the difficulties in connecting western program structures with indigenous Brazilian cultures. Virtually all of the indigenous associations and organizations reportedly encountered difficulties in understanding and operating within the defined “project” framework. There was a reliance on a written language, reliance on Portuguese rather than the local language, and requirements to use unfamiliar budgeting methods. The response in this Brazilian example was for indigenous cultures to adopt western methods through training. Often it was the younger generations that were more adaptable and more familiar with Portuguese, leading to challenges in the traditional governance order, where age deference is important. In response, one community came up with a strategy of compromise in order to not upset the traditional roles. The project is called Subproject 757: “Ethnodevelopment and the Training of Ticuna Managers” of the Ticuna Indigenous group in the state of Amazonas. The project involved the implementation of horticulture and agro-forestry activities and the development of a management training program. The project adopted a model where the Ticuna young people were responsible for day-to-day administrative responsibilities, while the traditional Elders’ Council had formal, overall control over the project, receiving reports and making management suggestions. The Elders therefore kept their traditional role of advice and oversight, while the youth played a more technical and administrative role.<sup>92</sup>

#### **d) Grantee Leadership**

A specific focus on leadership capacity is often an important aspect of – and may be a prerequisite for – effective organizational development. Grantee communities may have a small population and be spread out across a wide area, with few individuals with leadership experience. With a spread out population, it may also be difficult to gather people to a central location for leadership development programs.<sup>93</sup> In its report, CPF listed various ways that organizations have dealt with this challenge. Each of these is described briefly below and can be found in more detail in the CPF report.

1. *Make leadership training available and remove barriers.* Barriers to attending leadership training may include time, money and the location of the program. Responses may include

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<sup>90</sup> “Arm in Arm: Engaged Grantmaking in Local Communities” prepared for the Cherokee Preservation Foundation at p. 26.

<sup>91</sup> *Ibid.*

<sup>92</sup> Paul E. Little, “The Challenges of Interculturality: Indigenous Peoples and Sustainable Development Subprojects in Brazilians Amazonia” at p. 6.

<sup>93</sup> “Arm in Arm: Engaged Grantmaking in Local Communities” prepared for the Cherokee Preservation Foundation at p. 19.

creating workshops within and nearby communities, supplying grants to enable people to attend and creating a welcoming environment to create incentive to attend. FDNI for instance requires all grantees to attend training workshops that include networking between grantees and offer them often on site.

*2. Develop a cohort of leaders to reduce the problems of succession and of leadership resources for projects.* The idea is to have groups of people in the community attend the training together. This reduces potential anxiety and intimidation and also produces a group of trained persons who can play various leadership roles in the future.

*3. Follow up with coaching and mentoring.* Training was found to be more effective when there was support and mentorship available in the community after the training was completed. The coaching helps community members learn to implement the training in the environment they are working in.

*4. Make training culturally appropriate.* Communities typically have a determined way of selecting leaders. Training leaders to administer funded projects has the potential for disturbing the culture of leadership selection if it is not approached in an appropriate way. There may be a need to involve the community to decide who attends training. It is also important to recognize that “off the shelf” leadership training programs may not translate well in some cultures and may therefore need adapting. Peer-to-peer training has proven to be a useful, culturally appropriate approach.<sup>94</sup>

The Alimaturahim project in for forest fire prevention in Indonesia, sponsored by the Rufford Small Grant program, sought to select people for leadership training in a culturally respectful way. The project had to select 30 leaders to be trained in forest fire prevention. The Rufford group created a Project Team and together they opened up a call to community leaders to apply to the training program. Once the leaders applied, the Project Team not only looked at objective criteria, but also established good communication and understanding with the forest peoples to narrow the group down to 30. Those 30 individuals selected were persons who were widely accepted leaders in their communities, meaning not only that there was strong community voice regarding who would receive training, but also that the traditional leadership selection culture was undisturbed.<sup>95</sup>

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<sup>94</sup> “Arm in Arm: Engaged Grantmaking in Local Communities” prepared for the Cherokee Preservation Foundation at p. 20.

<sup>95</sup> The Rufford Small Grant Final Report, Alimaturahim “Building the Capacity of Indigenous Peoples to Control Forest Fires” (April 14, 2009), accessed September 3, 2010. Online: [www.ruffordsmallgrants.org/rsg/Projects/Alimaturahim](http://www.ruffordsmallgrants.org/rsg/Projects/Alimaturahim)

### **Congo Basin Forest Fund Sangha Tri-National Foundation**

The Sangha Tri-National Foundation was founded in 1997 by the governments of the Republic of Congo, the Republic of Cameroon, and the Central African Republic, to protect and manage the rich forests of Central Africa. The three countries share their boundaries with a stretch of rich forest, call the Sangha Tri-National, that not only contains diverse plant life but also important at-risk wildlife including gorillas, chimpanzees, bongos, and forest elephants. The foundation is a conservation trust fund established to channel funds to forest management projects. The Sangha Tri-National Foundation has been awarded a 2-year grant to provide operational support to implement a grant-making program in the Sangha Tri-National Park, which was created in 2000 to protect forests rich in biodiversity. Since 2000, an integrated land-use strategy has been developed that seeks to stabilize forest carbon while generating economic revenue to reduce poverty in the region. The Foundation is also funded by the CARPE-IUCN Small Grant Program.

Source: [www.cbf-fund.org](http://www.cbf-fund.org)

### **III. Promising Practices**

Knowledge sharing, capacity building, policy dialogue, stakeholder participation, and bridging modern and traditional approaches are common themes throughout the discussion in this Part Two, often serving as keys to both the guiding principles and the common challenges. We therefore conclude Part Two by describing three current initiatives that use communications technology in creative ways to support local forest communities on these dimensions. Each has potential for application in small-grant programs with indigenous peoples and local communities.

#### **(a) *The Aboriginal Mapping Network (AMN)***

This network was established in Canada in 1998 as a joint initiative between the *Gitksan* and *Ahousaht First Nations* with the assistance of *Ecotrust Canada*.<sup>96</sup> Mapping and land demarcation is central to First Nations land claims. While many First Nations communities were developing GIS capabilities, there was little communication between mappers on best practices and completed work, resulting in wasted resources. The idea of a knowledge-sharing network was promoted to help decrease this waste of resources and increase coordination among communities in regards to mapping. The network was at first intended to be a monthly newsletter with a central coordinator that would connect with community members to get updates, but funding challenges suggested a web-based network

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<sup>96</sup> "About" Aboriginal Mapping Network. Accessed on September 10, 2010. Online: <http://www.nativemaps.org/>



instead. The web-based site was not initially preferred due to concerns over access to the internet in remote locations but as *Ecotrust Canada* could implement a website with little cost it was the more practical option. *Ecotrust Canada* was given the responsibility of facilitating and maintaining a website that would be the main forum for the network due to their technological resources and past experience with networks.<sup>97</sup> The website provided forums for discussion, a monthly newsletter and best practice publications.<sup>98</sup>

As the information on the website increased, the scope of the network expanded from a vehicle for early knowledge-sharing within Canada to a long-term, valuable strategic resource for practitioners of traditional knowledge mapping around the world. The Aboriginal Mapping Network (AMN) supports Aboriginal and indigenous peoples facing issues such as land claims, treaty negotiations and resource development, with common tools, such as traditional use studies, GIS mapping and other information systems. The AMN website has become a central hub for information on best practices in GIS, cartography and traditional land use and occupancy studies and engages a number of coastal Aboriginal communities and business enterprises to foster a conservation economy.<sup>99</sup>

The AMN serves as a social networking website to connect native, indigenous and local forest mappers across Canada and internationally, and is particularly valuable because AMN members can engage with one another despite being geographically distant from each other.<sup>100</sup>

### ***(b) The Canopy of Friends***

This online initiative of the Growing Forest Partnerships is similar to, but less technical than the Aboriginal Mapping Network. It supports engagement and forest partnerships by sharing, through an online forum, short video films and written messages from individuals with an interest in forest management. The online forum also includes examples of success stories from collaborative forest management partnerships that work for the benefit of forests and indigenous forest communities. The posted messages are regularly shared with key decision makers and major international fora.

One criticism of these electronic social networking strategies is that indigenous peoples in geographically isolated forest areas may not be able to obtain the electronic equipment and web connectivity required to participate. However, alternative forms of communication, such as video

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<sup>97</sup> Johnson, Benjamin David, "The Aboriginal Mapping Network: A Case Study in the Democratization of Mapping" University of British Columbia, 1999 at p. 60. Accessed on September 10, 2010 Online: <http://circle.ubc.ca/handle/2429/9113>.

<sup>98</sup> "About" Aboriginal Mapping Network.

<sup>99</sup> "About" Aboriginal Mapping Network.

<sup>100</sup> "About" Aboriginal Mapping Network.

recordings and cellular phones, have been successfully utilized to connect indigenous peoples to larger, electronic networks focused on forest conservation and indigenous capacity building.<sup>101</sup>

**(c) The Environmental Education and Communication Project (GreenCOM)**

The Environmental Education and Communication Project (GreenCOM) is a United States Agency for International Development (USAID) Project. USAID contracted the Academy for Educational Development (AED) to manage the project and AED employed several subcontractors to assist in educational and technological aspects of the program. The project purpose was to utilize new technologies to overcome geographical barriers and support indigenous development projects. One project in particular involved the use of video to support natural resource management in the western Nepali village of Uhanimbu in the Deokhuri Valley.<sup>102</sup>

In November 1996, *USAID/Nepal* signed a delivery order agreement with GreenCOM to provide specific technical assistance to the *Nepalese Environment and Forestry Enterprise Activity (EFEA)*.<sup>103</sup> GreenCOM was contracted to support (EFEA) in forestry conservation and sustainable forest resource development and also to enhance community understanding of new forestry legislation. In 1991, Uchanimbu received legally recognized rights and responsibility for the local forest. Although community members were committed to protecting forest resources, some matters were beyond their control and needed to be addressed by official environment and natural resource policy.

GreenCOM's work focused on local control and management of natural resources, developing natural resource-based micro-enterprises, strengthening user groups and increasing women's participation. Among the main projects undertaken by GreenCOM was the use of a *Community Video Letter (CVL)* to foster "bottom-up" communications between rural forest communities and national environmental policymakers. CVL has been an effective way for two-way communication between isolated rural communities and the government in a way that is consistent with the oral traditions of indigenous cultures. The CVL allowed a variety of Uchanimbu residents from different occupations, socioeconomic strata, and ethnic groups, to form a consensus about community needs and communicate the results to high-level government officials and policy-makers.<sup>104</sup>

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<sup>101</sup> "Canopy of Friends" Growing Forest Partnerships, accessed September 3, 2010. Online: <http://www.growingforestpartnerships.org/canopy-of-friends>

<sup>102</sup> "The Environmental Education and Communication Project (GreenCOM) in the Environment and Forest Enterprise Activity (EFEA) in Nepal: Final Report". GreenCOM Project. Kathmandu, Nepal: AED, 1998. Online: <http://ces.aed.org/pdfs/Reports/Nepal-EE&C%20Final%20Report.pdf>

<sup>103</sup>

<sup>104</sup> Participants in the CVL agreed that the forum generated important dialogue between policymakers and rural community members. However, it is important to note that although CVLs are useful for communication to sustain positive dialogue that occurred at the first meeting, this project also notes that such a forum, although useful, is not alone sufficient to build capacity in indigenous communities to affect natural resource policy or conservation. For instance, subsequent evaluation by GreenCOM

Uchanimbu's final CVL consisted of a short history of the local forest and the community's role in forestry management. This was followed by a description of current problems including: a decline in irrigation water that forced residents to grow less profitable crops; soil erosion from flooding of a local river; forest boundary disputes with adjacent communities; forest overgrowth; and ambiguous and conflicting understanding of forest policies. The community's video letter also proposed ways that government policymakers could help including: providing irrigation canal repair; official settlement and enforcement of forest boundaries; training in alternative income generation activities; and uniform education on forest policy in Uchanimbu and surrounding communities.<sup>105</sup>

In sum, these three examples all highlight how grant makers can support indigenous and local capacity by investing in innovative communications strategies to support both knowledge sharing to and continuous engagement of indigenous peoples. In light of the principles and challenges highlighted in this report, it is clear that ensuring opportunities for this kind of networking represents a "promising practice" in grant programming with indigenous peoples and local forest communities.

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indicated that the lines of communication established during the forum were not maintained over the long term. Despite all of the participants' good intentions, the policymakers had too many other concerns to address. A change of government shortly after the forum was held also contributed to a breakdown in communication. "The Environmental Education and Communication Project (GreenCOM) in the Environment and Forest Enterprise Activity (EFEA) in Nepal: Final Report".

<sup>105</sup> "The Environmental Education and Communication Project (GreenCOM) in the Environment and Forest Enterprise Activity (EFEA) in Nepal: Final Report". GreenCOM Project.

# PART THREE

## Section A: International Granting Mechanisms

Part Three provides roughly one-page summaries of selected grant mechanisms included in this review. Each summary presents a brief description of basic information on the applicable mechanism, broken down by the Terms of Reference elements used in Part one. The summaries are organized into three broad categories: international mechanisms (Section A), selected pilot country mechanisms (Section B) and US and Canadian mechanisms (Section C). The information and descriptions in this Part Three are drawn from the websites of the sponsoring organizations, referenced at the end of each summary.

The following Section A begins with a brief overview, providing a one-paragraph description of each of the programs that are described in more detail in the main body of the Section.

### ***Brief Programmatic Overview for Section A:***

*The Congo Basin Forest Fund (CBFF)* was developed by the governments of Great Britain and Norway, in partnership with the African Development Bank. There are 50 million people living in the Congo region in delicate rainforest areas. The fund aims to give financial support to prevent further deforestation of the Congo Basin and help alleviate poverty. The fund began in 2008 with US\$50 million in donations from each Great Britain and Norway. The fund is aimed at protecting and conserving the rainforests from deforestation in order to conserve biodiversity, protect recreational uses and retain the forest as a form of carbon capture to reduce affects of climate change.

*CARPE-IUCN* is the acronym used for a granting program established through two organizations. The Central African Regional Program for the Environment (CARPE) was first authorized by the U.S. Government in 1995, as a USAID program. The CARPE-IUCN Small Grants Program was developed by CARPE in partnership with the International Union for the Conservation of Nature (IUCN). The project is currently funded by USAID and gives small grants to several Central African countries.

*The First Peoples Worldwide Organization* was started in 1997 by Rebecca Adamson in Virginia, USA. While it is based in the USA, this program is described as indigenous-run, which is not usual among the international grantmaking organizations we reviewed. The organization has several programs aimed at conversation including Keepers of the Earth and the Indigenous Peoples Climate Action Fund. The programs attempt to shift responsibility of the land to indigenous peoples and use traditional knowledge to conserve land.

*The GEF-UNDP Small Grants Program (UNDP SPG)* is one of the larger international grant mechanisms we reviewed. Grants are made directly to civil society organizations and average about US\$20,000. The program is largely funded by the Global Environment Facility (GEF) and implemented by UNDP through the UN Office for Project Services. The Funding from GEF has amounted to US\$410 million to date, with an additional \$407 million from other donors. GEF is the largest funder of projects focusing on the improvement of the global environment, receiving funds from donor countries and holding them in a trust fund pending disbursement to grant recipients. The SGP is a corporate programme funded by the GEF that is implemented by the UNDP.

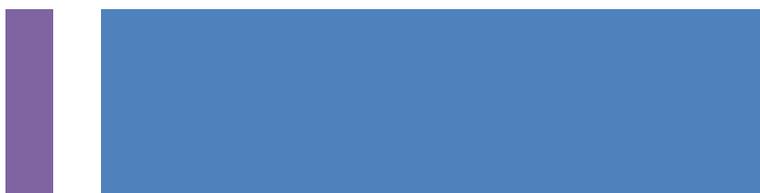
*The Indigenous Peoples Assistance Facility* provides small grants of US\$10,000 to US\$30,000 to micro projects designed and implemented by indigenous peoples' communities and organizations in a variety of areas. Areas include the management of natural resources and improving livelihoods of indigenous peoples through traditional knowledge.

*The International Fund for Agricultural Development*, a specialized agency of the United Nations, began in 1977 in response to the food crisis of the early 1970s in North-East Africa. The fund was established to finance development projects in the area of food production in developing countries along with rural development, as the two are closely related. The organization is dedicated to eradicating rural poverty and creating food security and focuses on marginalized populations.

*The FAO National Forest Programme Facility* was created in 2002 and recognizes that national forest programs are essential in the fight against deforestation and other forest sector issues. The NFP assists countries in developing effective national forest programs that address both national and local needs. The Facility provides grants directly to civil society to implement the national forest program initiatives. In addition, the NFP Facility offers information services and exchange learning, experiences, evaluation and lessons learnt on the implementation of national forest program processes.

*Rainforest Action Network (RAN)* is a nonprofit corporation headquartered in San Francisco, California. RAN has two programs, the Climate Action Fund and the Protect-an-Acre program; both give small grants to indigenous peoples for action on climate change. The organization supports indigenous communities in forming protests and pursuing legal action and also funds substantial action campaigns against large corporations and countries on climate issues.

*The Small Grants Programme for Operations to Promote Tropical Forests in Southeast Asia (SGP-PTF)* was developed by the EU to help promote sustainability and biodiversity in Southeast Asia in light of climate change. The program was implemented by UNDP through a program called SEARCA. The program is now over; it ran for seven years between 2000-2007 and contributed to over 1000 forest communities globally. The program gave €20,000 – €200,000 grants to forest related projects undertaken by civil society organizations at the country level.



<b>Congo Basin Forest Fund</b>	
<b>Governance</b>	<p>The small grant program has the following structure:</p> <ul style="list-style-type: none"> <li>• The CBFF Secretariat, established at the African Development Bank headquarters, is responsible for the day-to-day management of the Fund and the initial assessment of proposals.</li> <li>• The CBFF Governing Council provides guidance and oversight of the Fund, and ensures broad donor and stakeholder participation. The core of the Governing Council is comprised of: Professor Wangari Maathai, Nobel Laureate and the Rt Honourable Mr Paul Martin, former Prime Minister of Canada; A Civil Society representative from the region; The Secretary General of the Economic Community of Central Africa States (CEEAC); The President of COMIFAC (rotational); Vice President of the African Development Bank; and a Donor Representative. There are also 5 ex-officio members who are government officials from the UK and Norway.</li> </ul>
<b>Scope of Activities</b>	<p>Grants are open to partners from the Congo Basin region. Eligible partners can be from governments, NGOs, civil society organizations, and the private sector. Projects must both help avoid deforestation and contribute to poverty alleviation in the Congo basin forests and also show the following:</p> <ul style="list-style-type: none"> <li>• stakeholder consultation on the development of the concept;</li> <li>• improve the livelihoods of rural forest dwellers in sustainable ways;</li> <li>• demonstrate the advantages of partnerships between actors;</li> <li>• build capacity in local or national institutions through professional training;</li> <li>• conform with one or more of the following three Strategic Areas of the COMIFAC Convergence Plan: knowledge of the resource, poverty reduction and new funding mechanisms.</li> </ul>
<b>Operational Procedures and Funding Modalities</b>	<p>A Reference Group acts as a forum for consultations on the operation of the CBFF to help community members be informed and to enable stakeholders to make representations to the Governing Council. The Governing Council reports regularly to, and receives feedback and advice from, the members of the Congo Basin Forest Partnership (CBFP) acting as a Reference Group.</p> <p>Grants are made largely through open, competitive bidding rounds. All project proposals are assessed by the CBFF Secretariat and the African Development Bank. Projects that score highest will be submitted to the CBFF Governing Council for final approval, along with a list of applications and proposals assessed as not meeting the necessary criteria.</p>
<b>Monitoring and Evaluation Practices</b>	<p>In the grant application, applicants must set out proposals for monitoring and evaluation along with the other details.</p>
<b>Grievance and Compliance Mechanisms</b>	<p>Unsuccessful applicants and proposals may be invited to do further work on their proposals and resubmit them in subsequent funding rounds.</p>
<b>Reported Success</b>	<p>Sangha Tri-National Foundation</p>
<b>Sources</b>	<p>Information on this organization was collected through the following sources: <a href="http://www.cbf-fund.org">www.cbf-fund.org</a>, <a href="http://www.comifac.org">www.comifac.org</a></p>

<b>CARPE-IUCN Small Grants</b>	
<b>Governance</b>	The governing structure is difficult to untangle. Each country has a Steering Committee that receives the guidelines from CARPE and grants are awarded based on a points system.
<b>Scope of Activities</b>	<p>Target groups include local NGOs, community-based organizations and associations, local populations, Central African institutions, and national and local governments. To be eligible, projects proposed must accomplish the following:</p> <ul style="list-style-type: none"> <li>• foster partnership among civil society;</li> <li>• promote transparency and gender equity in forest conservation;</li> <li>• have an integrated approach to local society capacity building;</li> <li>• effectively deal with forest management and biodiversity;</li> <li>• conservation;</li> <li>• clearly link to one or more CARPE PMP indicators;</li> <li>• have linkages with other initiatives in the region;</li> <li>• have national and regional implications.</li> </ul>
<b>Operational Procedures /Funding Modalities</b>	<p>Proposals must adhere to the guidelines set out by CARPE. The guidelines are very detailed and require a significant plan for management and evaluation. Proposals received go through a three-step process:</p> <ul style="list-style-type: none"> <li>• A first screening ensures proposals meet the guidelines from IUCN CARPE Focal Points. This stage is completed by IUCN consultants in collaboration with the Program Manager and a steering committee composed of voluntary members from the NGO/CBO sector.</li> <li>• Eligible proposals are then sent to the Program Manager, who organizes a steering committee to analyze the technical content of the project taking into account all requirements and objectives.</li> <li>• In the third step, the program management team uses existing networks to reach target groups. The program team begins to communicate with the project-executing organization (NGO, etc.) about the proposed project. Negotiations on the terms of reference for the Grant agreement and the detailed budget then take place.</li> </ul>
<b>Monitoring and Evaluation Practices</b>	The individual organizations must include in their project proposal an evaluation and monitoring scheme, which indicates benchmarks and impact indicators. The plan will indicate how information will be collected to measure the impact indicators. The plan must be for result-based monitoring and evaluation.
<b>Grievance and Compliance Mechanisms</b>	None found.
<b>Reported Success</b>	Rwanda Bamboo Society
<b>Sources</b>	Information on this organization was collected through the following source: <a href="http://carpe.umd.edu/Plone/resources/smallgrants">http://carpe.umd.edu/Plone/resources/smallgrants</a>

<b>First Peoples Worldwide Organization: Keepers of the Earth Fund</b>	
Governance	The Fund is managed and implemented by First Peoples Worldwide with the World Bank playing an advisory role. Other details have been so far unavailable.
Scope of Activities	<p>Grants must adhere to the following criteria:</p> <ul style="list-style-type: none"> <li>• grants are to address indigenous development issues involving the environment including: environmental stewardship, land conservation, climate change and decision-making;</li> <li>• projects must be outside the United States and must be facilitated by an indigenous-led group or a fiscal intermediary for an indigenous-led group;</li> <li>• include one of the following as a project focus: defence of indigenous homelands, indigenous stewardship of land and natural resources, redressing evictions, evicted communities returning to homelands, start-up costs for indigenous-led organizations, protection of indigenous knowledge, mapping indigenous homelands, advocacy, technology to empower indigenous communities.</li> </ul>
Operational Procedures /Funding Modalities	<ul style="list-style-type: none"> <li>• Grants made through the Keepers of the Earth Fund range in size from \$250 to \$20,000 with an average first-time award of \$5,000 for projects up to one year in length. To date the fund has given 36 grants totaling almost \$250,000.</li> <li>• First Peoples has directly funded projects in 35 indigenous communities in fifteen countries across four continents. Past recipients have been in Africa, Asia, South and Central America.</li> <li>• Grants have focused on access to traditional land and increasing use and knowledge of traditional practices in managing natural resources. Grants have also been given to provide water services, emergency tents and other essential services.</li> <li>• The program provides small grants directly to indigenous communities beginning in 2007 through the Tides Foundation. Application forms are received off the web.</li> </ul>
Monitoring and Evaluation Practices	None found.
Grievance and Compliance Mechanisms	First Peoples Worldwide makes a disclaimer in its calls for grant proposals stating “FirstPeoples Worldwide reserves the right not to make a grant if we do not receive any applications.” Also, there are no guarantees that any group will receive funding even if the qualifications are met.
Reported Success	San in Botswana.
Sources	Information on this organization was collected through the following source: <a href="http://www.firstpeoplesworldwide.org/grants.asp">www.firstpeoplesworldwide.org/grants.asp</a>

<b>GEF-UNDP Small Grants Program</b>	
<b>Governance</b>	<p>The program is largely funded by the Global Environment Facility (GEF) and implemented by UNDP through the UN Office for Project Services. GEF is a trust fund for grants that contribute to global environmental health. The contributions in the fund are from donor countries. The Fund is the largest funder of projects to improve the global environment. The SGP is a corporate programme funded by the GEF and is implemented by the UNDP. Each country receiving funds must first create a National Steering Committee (NSC). The committee is voluntary and is comprised of representatives from local NGOs, government, academia, UNDP members and may include co-funding donors, indigenous peoples organizations, private sector and the media. While local populations make and implement funding decisions in a decentralized manner, the GEF main office monitors the programs.</p>
<b>Scope of Activities</b>	<p>The Global Environment Facility UNDP Small Grants Programme (GEF-UNDP SGP) makes grants to NGOs and CBOs in the following six themes:</p> <ul style="list-style-type: none"> <li>• Biodiversity: supporting or promoting the conservation and sustainable use and management of biodiversity in ecosystems</li> <li>• Climate Change Prevention/Adaptation: helping developing countries and economies in transition to contribute to the overall objective of the United Nations Framework Convention on Climate Change (UNFCCC)</li> <li>• International Waters: projects involving communities proximate to threatened bodies of water and transboundary threats to their ecosystems</li> <li>• Land Degradation: primarily deforestation and desertification. Initiatives can include: conservation and restoration of arid and semi-arid areas; efficient stoves and biogas to reduce forest loss; integrated watershed management; soil conservation; afforestation; prevention of forest fires; and organic farming among others. A number of projects address policy and other barriers to mitigating land degradation (e.g. land tenure, access to natural resources).</li> <li>• Persistent Organic Pollutants: projects in the POPs focal area are accepted only if the country has ratified the Stockholm Convention.</li> </ul>
<b>Operational Procedures / Funding Modalities</b>	<ul style="list-style-type: none"> <li>• Regional operations submit semi-annual and bi-annual reports, work plans and country strategies to the main office for review. Grants are made directly to civil society organizations and average US\$20,000.</li> <li>• Each nation that hosts SPG develops a national strategy that takes the SPG goals and molds them to specific country conditions. The NSC creates the national strategy and from that designs a grant approval mechanism. The NSC then approves the grants based on the program criteria developed.</li> </ul>
<b>Monitoring and Evaluation Practices</b>	<p>The NSC performs program evaluation, monitoring and oversight of the program. The evaluation is a participatory evaluation model at the project country and the global levels.</p>
<b>Grievance and Compliance Mechanisms</b>	<p>None found.</p>
<b>Sources</b>	<p>Information on this organization was collected through the following source:  <a href="http://sgp.undp.org">http://sgp.undp.org</a></p>

<b>Indigenous Peoples Assistance Facility</b>	
<b>Governance</b>	The program was developed in 2007 is the responsibility of the International Fund for Agricultural Development (IFAD), a specialized agency of the United Nations (see the separate IFAD summary sheet in this Section). The <i>Indigenous Peoples' Assistance Facility</i> is governed by a Board composed with a majority of indigenous and tribal peoples' representatives. The Board works closely with IFAD staff who are responsible for the administrative and financial aspects of the Facility.
<b>Scope of Activities</b>	<p>The Facility considers grants addressing the following areas:</p> <ul style="list-style-type: none"> <li>• Increasing indigenous and tribal communities and organizations' capacity for self-development and engagement in policy processes;</li> <li>• Innovative pilot projects that build on indigenous culture, identity, knowledge, agricultural technologies, agro-biodiversity, natural resource management, community-based forestry, market access, off-farm activities and enterprise development, intellectual property and human rights, gender mainstreaming and women's empowerment, institutional and organizational strengthening, ethno-tourism, cultural mapping, communication for development;</li> <li>• Development of partnerships and alliances with other stakeholders, such as governments and international organizations, communities and networks;</li> <li>• Recommendations made by the UN Permanent Forum on Indigenous Issues on social and economic development areas;</li> <li>• Implementation of the UN Declaration on the Rights of Indigenous Peoples;</li> <li>• Capacity building of indigenous peoples to mitigate against climate change.</li> </ul>
<b>Operational Procedures / Funding Modalities</b>	<p>The Indigenous Peoples Assistance Facility provides small grants of US\$10,000 to US\$30,000 to micro projects designed and implemented by indigenous peoples. The grants support development projects of the maximum duration of one year. In 2007 and 2008, IPAF and related activities were financed by IFAD, the World Bank, Norway, Canada, Finland and Italy. IFAD has so far provided US\$1.1 billion in loans (12.6% of its total loan portfolio) in support of indigenous peoples.</p> <p>Decisions on projects are made by the Board. The Board works closely with IFAD staff to review proposals and make final recommendations on grant awards. The panel reviews grant proposals on the basis of project relevance, feasibility and institutional capacity and makes final recommendations on awards. Applicants must meet specific requirements, and proposals should address the needs of indigenous peoples in one of IFAD's Member States (UN Members).</p>
<b>Monitoring and Evaluation Practices</b>	The implementation of the projects financed by the Facility are supervised and monitored directly by IFAD or as prescribed. The Office of Evaluation (OE) is responsible for evaluating IFAD's operations and policies. IFAD has a set Evaluation Policy found here: <a href="http://www.ifad.org/evaluation/policy/new_policy.htm">http://www.ifad.org/evaluation/policy/new_policy.htm</a>
<b>Grievance and Compliance Mechanisms</b>	None found.
<b>Reported Success</b>	The Society for the Protection of Animal Life and the Environment (SPALE) The Kireita Forest and Wildlife Conservation Association (KFWCA)
<b>Sources</b>	Information on this organization was collected through the following source: <a href="http://www.ifad.org">www.ifad.org</a>

<b>International Fund for Agricultural Development</b>	
<b>Governance</b>	<p>IFAD is headed by a Governing Council. Each Member State is represented in the Governing Council by Governors, Alternate Governors and possibly other designated advisers. The Governing Council has control over the fund and makes decisions on the following: approval of new membership; appointment of the President of IFAD; matters pertaining to the permanent seat of the Fund; approval of the administrative budget; and adoption of broad policies, criteria and regulations.</p> <p>The Executive Board is the Fund's second main Governing Body, consisting of 18 elected Members and 18 Alternate Members. Membership on the Executive Board is determined by the Governing Council and is distributed regionally. The Board is elected for three-year terms of office. The Executive Board is responsible for overseeing the general operations of IFAD and for approving programming. The Executive Board has full authority to decide on the approval of projects, programs and grants and to adopt/recommend action pending the final approval of the Governing Council. They also decide on matters related to policy, the annual administrative budget; applications for membership and staffing within the Fund. An Auditing Committee and an Evaluation Committee have been established as separate and independent sections of the organization to do monitoring and evaluation.</p>
<b>Scope of Activities</b>	<p>IFAD focuses on the rural poor with special emphasis on marginalized persons. The focus is on economic development of rural poor and food security. In this broad theme there are nine major areas are supported:</p> <ul style="list-style-type: none"> <li>• agricultural development</li> <li>• financial services</li> <li>• rural infrastructure</li> <li>• livestock</li> <li>• fisheries</li> <li>• capacity-and institution-building</li> <li>• storage/food-processing/marketing</li> <li>• research/extension/training</li> <li>• small and medium scale enterprise development</li> </ul> <p>The eligibility for grants is determined based on each country's programs. The projects must contribute to the country program and supporting linkages among all IFAD activities within the country. Grants normally are given to address the area of organizational and institutional development in non-agricultural areas, rural finance, market linkages and pro-poor policy development, mobilization and strengthening of the institutional capacities of both national and civil society organizations to address national and local issues and to support partnership formation, establishment of policy-dialogue platforms and pro-poor institutional transformation.</p>
<b>Operational Procedures / Funding Modalities</b>	<p>IFAD has local-level operations in 117 countries. To build local ownership over projects, IFAD partners with donor countries, rural poor, and donor agencies. IFAD uses a longer-term lending approach to see projects through to their completion. IFAD gives both grants and loans. Loans are granted to member states while grants are given to organizations and institutions focused on agricultural and rural development. Lending terms and conditions are established on a case-by-case basis in partnership with the borrowing country.</p>
<b>Monitoring and Evaluation Practices</b>	<p>The Office of Evaluation evaluates IFAD's operations and policies as well as the programs and projects that receive grants and loans from IFAD. The Office reports directly to the Executive Board who oversees programming and analyzes evaluations completed. The Evaluation Committee is a subset of the Executive Board that focuses more indepth on</p>

	<p>evaluation issues. Several types of evaluations are conducted including: corporate-level evaluations on the effectiveness of IFAD policies; Country program evaluations on the impact of IFAD activities in that country; thematic evaluations to assess IFAD's impact within a certain theme; and project evaluations to assess the success of individual projects. Project evaluations are carried out at different stages in the project cycle. Interim and completion evaluations are conducted to enhance project design. IFAD evaluation methodology is contained in the Office of Evaluation manual found here:</p> <p><a href="http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf">http://www.ifad.org/evaluation/process_methodology/doc/manual.pdf</a></p>
Grievance and Compliance Mechanisms	None found.
Reported Success	La Ruta Moskitia, <a href="http://www.larutamoskitia.com">www.larutamoskitia.com</a>
Sources	Information on this organization was collected through the following source: <a href="http://www.undpsgpptf.searca.org">www.undpsgpptf.searca.org</a>

<b>FAO National Forest Programme Facility (NFP)</b>	
<b>Governance</b>	<p>The NFP assists countries in developing effective national forest programs that address both national and local needs.</p> <ul style="list-style-type: none"> <li>• The Facility is governed by a steering committee, which includes representatives from beneficiary countries, the World Bank, funding partners, research institutions, NGOs, foundations, the private sector and FAO.</li> <li>• The Facility operates through a core team based in Rome with the support of the central and regional offices. The Steering Committee meets annually to review reports, budgets and to provide guidance. The Steering Committee also decides upon the eligibility and funding for the countries that have submitted a Concept Note to become a partner.</li> <li>• A partnership agreement must be established between the Facility and a country before grants can be provided to national forest program stakeholders. Once a partnership is created, the government official responsible establishes a Multistakeholder National Steering Committee (MNSC). This Committee is responsible for overseeing the partnership and implementing the processes leading to the allocation of Facility grants to non-government stakeholders. The MNSC is composed of representatives from: governmental institutions such as the Forestry Department (usually the Chair and secretary of the committee); other Ministries such as Energy and Agriculture; education and research organizations; NGOs and/or community-based organizations; the private sector; donor and/or relevant international organizations.</li> </ul>
<b>Scope of Activities</b>	<p>The Facility provides grants directly to civil society to implement the national forest program initiatives. Eligible activities are those that are consistent with the strategy to support the country's national forest program. The project should address poverty reduction, integrating the forest sector in other sectors, developing a national consensus on how to address issues relevant to forests and trees or implementing international commitments. Projects will be focused on where there is a high degree of participation in project design by indigenous and forest-dependent people, and private forest industries. Applicants must be stakeholders in the national forest program process and a non-profit making organization. The beneficiary must also finance at least 20% of the eligible cost of the activity from their own or other resources. The bulk of Facility grants are to be spent on:</p> <ul style="list-style-type: none"> <li>• workshops, fora, and in-service training;</li> <li>• policy analysis and other specific studies; and</li> <li>• information sharing and knowledge management initiatives.</li> </ul>
<b>Operational Procedures / Funding Modalities</b>	<p>Each country submits a concept note. Based on this concept note, the MNSC develops a one-year program in collaboration with the Facility that details the strategy to be followed for that year, including activities, budget and project timeline. Activities could be implemented by governments or other stakeholders. In addition to grants, the NFP Facility offers information services and exchange learning, experiences, evaluation and lessons learnt on the implementation of national forest program processes. By December 2009, 544 small grants had been established, amounting to a total of US\$12.6 million in funding.</p> <p>Grants are given to government projects based on proposals submitted by the relevant agency. The funding modality is developed in the following way:</p> <ul style="list-style-type: none"> <li>• prepare the Terms of Reference (ToRs) detailing the nature of the activities;</li> <li>• prepare a budget for each activity, the general conditions for the tender, eligibility, selection criteria, format of the proposal, deadline, name and contact address of the national forest program Focal Point;</li> <li>• launch the call for proposals, for example: approach a limited number of</li> </ul>

	<p>stakeholders directly, organize a launching meeting with pre-identified stakeholders or launch the call(s) through nation-wide media;</p> <ul style="list-style-type: none"> <li>• organize a meeting of the MNSC to evaluate and select the proposals received, based on a clear evaluation process and the selection criteria;</li> <li>• submit the results of the evaluation/selection process to the Facility, including the evaluation report and the selected proposals;</li> <li>• prepare the Facility grant contracts based on the selected proposals, in line with FAO standard procedures, and ensure they are signed by both partners;</li> <li>• disburse the first funds after the signature of both parties;</li> </ul> <p>grant recipients will be required to report to the Facility in line with FAO procedures</p>
Monitoring and Evaluation Practices	<p>Result Based Management (RBM) and the Outcome and Impact Monitoring and Evaluation System (OIMES) have been introduced and put into practice in 51 partner countries. The concept of OIMES, which is closely related to RBM, was developed in 2007, but the modus operandi and the first field tests were carried out in 2008 in two test countries (Guatemala and Honduras). Key elements in OIMES/RBM are the “in-country self-evaluation” of the past Facility support, a lessons learned workshop to discuss the new direction of the process in the country, and a national forest program update using a matrix. The matrix is a gap analysis and shows the areas where support is needed to improve the process. When the work of the stakeholder is over, the NMSC will judge if the scores on these particular indicators have been changed. The system has been well received and it has brought further insight to the stakeholders.</p>
Grievance and Compliance Mechanisms	None Found.
Reported Success	Sangwe Biodiversity Protection Through Woodlands Management and Afforestation Programme.
Sources	Information on this organization was collected through the following source: <a href="http://www.nfp-facility.org">www.nfp-facility.org</a>

<b>Rainforest Action Network</b>	
Governance	<p>The Rainforest Action Network (RAN) is a nonprofit corporation headquartered in San Francisco, California with offices in Tokyo, Japan, and Edmonton, Canada. It is composed largely of volunteers and much of its funding comes from private donors. RAN has two programs, the Climate Action Fund and the Protect-an-Acre program; both give small grants to indigenous peoples for action on climate change. Many funds target legal action against corporations and countries on climate issues.</p>
Scope of Activities	<p>The Protect-an-acre Fund grants can be classified into four program types:</p> <ul style="list-style-type: none"> <li>• Demarcation of indigenous territories and creation of biological reserves</li> <li>• Local resistance to destructive development (logging and oil extraction)</li> <li>• Environmentally and socially sound alternative development projects.</li> <li>• Community organizing and education</li> </ul> <p>Climate Action Fund grants fit into two main program categories:</p> <ul style="list-style-type: none"> <li>• Local resistance by frontline and impacted communities to prevent the extraction of fossil fuels such as coal, tar sands, oil and gas.</li> <li>• Local resistance by frontline and impacted communities to decommission or to prevent the construction of large point sources of greenhouse gas emissions. (A large point source as any source larger than 100,000 tons of CO<sub>2</sub>.)</li> </ul> <p>Projects must involve community mobilization and result in significant positive climate mitigation activities and impacts. All applicants must be registered as a tax-exempt organization, or must be represented or fiscally sponsored by one. Thus indigenous groups applying must go through an organization.</p>
Operational Procedures / Funding Modalities	<p>Protect-an-Acre Fund grants are normally under US\$5000. Climate Action Fund grants generally do not exceed US\$2,500. The CAF fund is new; 2009 was the first year for applicants. Three organizations received funding of US\$1500 each to support ongoing projects. Two of the organizations were local community groups and one was an organization that represented a group of indigenous tribes; all of them were located in the United States.</p> <p>Projects that have been funded under Protect-an-Acre include conservation projects, funding protests, fund workshops for indigenous leaders, fund speaker trips for leaders to the US to raise awareness of indigenous issues. Projects that fit the funding criteria will be financed in accordance with their urgency and the availability of funds.</p>
Monitoring and Evaluation Practices	<p>The organization has a Board of Directors and little other organizational breakdown. There is no set granting mechanism beyond the application process whereby applicants apply and subsequently do or do not receive receive funds.</p>
Grievance and Compliance Mechanisms	<p>None found.</p>
Reported Success	<p>The Zapara People of the Ecuadorian Amazon</p>
Sources	<p>Information on this organization was collected through the following source:  <a href="http://ran.org/campaigns/protect_an_acre/about_protect_an_acre/">http://ran.org/campaigns/protect_an_acre/about_protect_an_acre/</a></p>

<b>Small Grants Programme for Operations to Promote Tropical Forests in Southeast Asia (SGP-PTF)</b>	
Governance	<p>The Small Grants program was developed by the EU to promote sustainability and biodiversity in Southeast Asia in light of climate change. It had the following governance structure:</p> <ul style="list-style-type: none"> <li>• The program was implemented by the UNDP through a program called Southeast Asian Center for Graduate Study and Research in Agriculture (SEARCA).</li> <li>• The SGP PTF used the existing mechanisms and procedures of the established Global Environmental Facility Small Grants Programme to execute the program. The program was an initiative of the European Commission (EC) and the United Nations Development Program (UNDP).</li> <li>• Each participating country created a National Steering Committees (NSCs) based at the UNDP Country Offices. The NSC was comprised of civil society, regional forest department representative, academia, business, UNDP and the EC. The NSCs set country-level priorities and selected grant recipients. In each country a PTF Coordinator was based at the UNDP Country Office and provided day-to-day coordination.</li> <li>• The SGP PTF took its lead from, and was mainly executed at, the national level, with activities at the regional level taking place to ensure coherence, sound management and broad impact of the SGP PTF</li> </ul>
Scope of Activities	<p>Criteria for funding was general since the scope of possible recipients was across such a broad range of countries. Applications were required to:</p> <ul style="list-style-type: none"> <li>• Promote and demonstrate community-based management and resource-use in forests.</li> <li>• Use local knowledge and practices to the extent possible and promote the spread of successful community-level strategies.</li> <li>• Be aimed at developing grassroots-level capacity to tackle problems that are contributing to forest destruction and degradation through partnerships and networks.</li> </ul>
Operational Procedures / Funding Modalities	<p>The program ran for seven years between 2000-2007 and contributed to over 1000 forest communities in Cambodia, Indonesia, Malaysia, Philippines, Thailand, Vietnam, Pakistan, and Sri Lanka. The program aimed to give grants between €20,000 – €200,000 to forest related projects undertaken by civil society organizations at the country level. 247 grants were given to various CSOs that amounted to €40,000.00 per grant. Sixty-seven percent (67%) of partners in the first wave of grants were given to community-based organizations. The majority of partners in the second wave of country grants, with the exception of Malaysia, were NGOs.</p> <p>The funding model followed the following format:</p> <ul style="list-style-type: none"> <li>• In the start up phase, a Regional Strategic Framework was developed outlining the overall intent and policies of the program.</li> <li>• The process to develop grantmaking mechanism began with country-level workshops involving stakeholders selecting focus areas for grant funding.</li> <li>• The findings were then integrated into a Country Guideline Paper and were combined with the program grant eligibility requirements sent down from the SGP PTF to indicate a national grantmaking strategy.</li> <li>• The Country Guideline was created using horizontal consultation and outlined how the grants would meet the directives of the program. It formed the baseline criteria for the assessment and the acceptance of proposals.</li> <li>• From the Country Guideline, a Regional Operation Manual was written to provide guidance on procedures and operations at micro and macro levels.</li> </ul> <p>The National Steering Committees and Coordinators were responsible for selecting</p>

	projects that met criteria and set the general program policies and strategies at the national level.
Monitoring and Evaluation Practices	The National Steering Committee performed the monitoring and evaluations. Representation of indigenous peoples on the National Steering Committees appears to be rather weak. Each country that hosted grants listed the National Steering Committee on the website. Only the Philippines had a representative from the National Council for Indigenous Peoples. All other members of the NSC's, while they may be members of Indigenous communities, stood as a representative of a forestry sector or government and not as a representative of the indigenous communities. Many were University professors and government officials.
Grievance and Compliance Mechanisms	None found.
Reported Success	La Ruta Moskitia, <a href="http://www.larutamoskitia.com">www.larutamoskitia.com</a>
Sources	Information on this organization was collected through the following source: <a href="http://www.undpsgpptf.searca.org">www.undpsgpptf.searca.org</a>

## Section B: Selected Programs in Pilot Countries

<b>Brazil: Regional Programme in Support of Indigenous Peoples in the Amazon Basin (PRIA)</b>	
Governance	PRIA was financed by the International Fund for Agricultural Development (IFAD) and the Andean Finance Corporation (CAF), which provides operational support.
Scope of Activities	In total, 75 projects in the Amazon Basin were financed, 17 of which took place in Brazil. Program objectives included: <ul style="list-style-type: none"> <li>• Strengthen indigenous organizations through co-financing pilot initiatives</li> <li>• Promoting and expanding these pilot initiatives with the full participation of indigenous communities and organizations</li> <li>• Designing development projects for indigenous communities</li> </ul>
Operational Procedures / Funding Modalities	Institutional mechanisms differed from other institutional arrangements in the region. PRIA promoted the direct participation of indigenous groups at different stages of the project cycles. It promoted the allocation of funding directly to indigenous peoples, rather than through intermediary organizations  Funding was provided by an IFAD technical assistance grant of USD2 million and a Technical Cooperation Grant of USD 150 thousand from the Andean Finance Corporation (CAF). PRIA promoted the direct allocation of funding to indigenous peoples, without involving intermediary institutions.
Monitoring and Evaluation Practices	Evaluation was completed by IFAD partway through the implementation of the program. Evaluation practices are set by IFAD Office of Evaluation, and are based on the four principles: Independence, Accountability, Partnership and Learning. The midterm evaluation noted: <ul style="list-style-type: none"> <li>• PRIA found that it was necessary to help indigenous peoples strengthen their accounting capacities</li> <li>• Some projects saw an attempt by indigenous groups to replicate strategies that characterize non-indigenous populations</li> <li>• Programme was very participatory: in all projects that were implemented at the local level, the indigenous peoples were very active</li> </ul>
Grievance and Compliance Mechanisms	None found.
Organizational Structures	None Delineated.
Sources	Information on this organization was collected through the following source: <a href="http://www.ruralpovertyportal.org/web/ifad/operations/grants/tags/231-aciara/documents">http://www.ruralpovertyportal.org/web/ifad/operations/grants/tags/231-aciara/documents</a> <a href="http://www.ifad.org/evaluation/public_html/eksyst/doc/tag/tag234be.htm">http://www.ifad.org/evaluation/public_html/eksyst/doc/tag/tag234be.htm</a>

<b>Brazil: The Pilot Program for the Protection of Brazilian Tropical Rainforests</b>	
Governance	The project was funded by grants from the G7 Countries, the Netherlands, the EU, and the Brazilian Government. Program implementation was run through Brazil's Ministry of the Environment and the National Indian Foundation. Technical assistance was provided for the identification, demarcation, legalization and surveillance of indigenous lands.
Scope of Activities	In the first 9 years of the program, 194 subprojects were financed, of which 21 involved indigenous peoples: 16 in the Amazon Region, and 5 in the Atlantic Forest Region. Program objectives focused on the development of agroforestry management techniques in indigenous communities, protection of natural resources, preservation of cultural integrity, through the funding of small scale grants to implement environmentally, socially and economically sustainable local projects.
Operational Procedures / Funding Modalities	<p><b>SUBPROJECT 137: Implementation of Agroforestry Management Techniques in Three Indigenous Territories</b></p> <p>This project was among the Kaxinawa, Kulina, Jaminawa and Machineri groups in the state of Acre, and its operational procedures consisted of:</p> <ul style="list-style-type: none"> <li>• Program oversight by a non-indigenous organization with the objective of training local indigenous agents in agroforestry techniques.</li> <li>• Management techniques were provided in training sessions by Western-trained ecologists and botanists, building on an existing community structure used by the same NGO for the training of indigenous bilingual teachers.</li> <li>• The Western experts had previously worked with indigenous populations.</li> <li>• The trained indigenous agroforestry agents were then expected to apply these techniques to their local communities, adapt and improve them accordingly, based on local social, cultural and environmental conditions, as well as in cooperation and consultation with other indigenous agro-forestry agents.</li> </ul> <p><b>SUBPROJECT 718: Agro-forestry Management in Indigenous Territories</b></p> <p>A three-year continuation of the first project. A key programmatic change was that much of the training of new agro-forestry agents was conducted by the indigenous agents trained in the initial project, and not by the outside experts.</p> <p>Project funding (overall) was slated to be in the \$20 million range. Funding for small grants was directed to one of four areas:</p> <ul style="list-style-type: none"> <li>• Appropriate and Sustainable Economic Initiatives (including adapting/improving traditional productive activities and introducing innovative productive activities)</li> <li>• Support for Traditional Health Practices</li> <li>• Sustainability of Indigenous Lands' Demarcations, to strengthen local capacity for sustaining and monitoring the legal demarcations of indigenous territories</li> <li>• Support of bilingual education initiatives</li> </ul>
Monitoring and Evaluation Practices	Two evaluations were carried out. The first was by the program developers (PD/A), and the second by an independent academic, Paul Little. The methodology used by PD/A was based on the degree of fulfillment of subproject objectives. However, Little pointed to the fact that the methodology may be inadequate for the indigenous subprojects as it did not consider specific intercultural dynamics. Little thus evaluated the program, developing a data collection matrix based on six categories: (1) Culture, rights and security; (2) Participation, agency and self determination; (3) Economy, technology and environment; (4) Financial and technical assistance; (5) Interethnic relations and socio-cultural and economic change; and (6) Evaluation of subproject operation.
Sources	Information on this organization was collected through the following sources: <a href="http://vsites.unb.br/ics/dan/Serie364empdf.pdf">http://vsites.unb.br/ics/dan/Serie364empdf.pdf</a> <a href="http://www.wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/1999/11/13/000094946_99111305440133/Rendered/PDF/multi0page.pdf">http://www.wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/1999/11/13/000094946_99111305440133/Rendered/PDF/multi0page.pdf</a>

<b>Burkina Faso: The National Village Forestry Program – The Nazinon Reserved Forest</b>	
Governance	The Nazinon Forest Project was implemented in 1985 following a political decision to combat unrestricted forestry practices and wood-cutting. In 1995, the project was expanded and the Forest Management Fund was applied to every forest project in the country. The program represents an initiative of the Government of Burkina Faso, in partnership with local communities and indigenous populations.
Scope of Activities	The Project involved 24 villages (aggregate population 21,000) in the management of the forest region which covers 32,000 ha, of which 23,700 is subject to proper forest management. The objective of the project was sustainable management of forest regions, by local and indigenous populations.
Operational Procedures / Funding Modalities	<p>The project first analyzed the socio-economic environment of communities. Surveys were completed to gain an understanding of local populations, numbers, structures, ethnic groups, production systems, technological levels, and relationship to forest management. Villages were organized into Forest Management Groups (FMGs). FMGs were provided with training and were supported with consensus building, and planning activities. Forests are to be managed jointly by the government and local FMGs, with resources from the Forest Management Fund.</p> <p>The preparatory phase (36 months), in which the FMGs were developed and trained, were financed by external resources. The Forest Management Fund, developed at the same time, is replenished annually with contributions negotiated with the FMGs and from the forest product revenues. The Revenue Stream Management (from forest product revenues) is as follows:</p> <ul style="list-style-type: none"> <li>• Remuneration of FMG members: 38%</li> <li>• Forest Management Fund: 31%</li> <li>• Village Investment Fund: 12%</li> <li>• Forestry Tax: 19%</li> </ul>
Monitoring and Evaluation Practices	The Audit Committee is responsible for the regular monitoring of the implementation of the program and the working plan. It is expected to regularly check the books, cash balances and securities held by the co-operative society
Grievance and Compliance Mechanisms	Within the organizational structure of the program, the Board of Management at each site is responsible for complying with and enforcing compliance set forth by the constitution of the society and any regulations governing the co-operative.
Organizational Structures	FMGs are defined as voluntary organizations of an economic and social character. They have legal status and their members have a shared set of common interests. The organizational unit is headed by a Board of Management that is responsible for general administration. Down the organizational structure are: the Audit Committee, the Technical Directorate, Management Units, and finally the FMGs. The organizational structure can be seen in Box 34 in the link below.
Sources	Information on this organization was collected through the following sources: <a href="http://www.fao.org/docrep/005/w4442e/w4442e0i.htm">http://www.fao.org/docrep/005/w4442e/w4442e0i.htm</a>

<b>Ghana: The Gwira-Banso Joint Forest Management Project</b>	
Governance	<p>This project was established by two timber companies (Ghana Primewood Products Ltd. and Dalhoff Larsen &amp; Horneman) operating in Ghana in collaboration with local authorities and farmers in the region of Gwira-Banso with the goal of developing sustainable forest management practices to support both economic and environmental development.</p>
Operational Procedures / Funding Modalities	<p>The project and the subsequent relationships established between the private sector, government, and local community members. The design of the program included a participatory communication strategy, which involved:</p> <ul style="list-style-type: none"> <li>• meeting with community chiefs, elders, and farmers to discuss experiences in forest management;</li> <li>• educational workshops to improve the conditions of land exploitation; and</li> <li>• the incorporation of local representatives to the project steering committee.</li> </ul> <p><u>Respondent considerations in co-partnership design:</u> in response to questions on how to build and implement a successful co-partnership in forest management (put forward by Appiah 2001), the top five priorities (as answered by local individual stakeholders) were as follows:</p> <ul style="list-style-type: none"> <li>• Communication and education</li> <li>• Financial support for livelihoods</li> <li>• Tree planting</li> <li>• Multiple land use</li> <li>• Benefit sharing</li> </ul> <p>Education and communication were noted as important elements as it works to enhance community understanding through shared information and ideas</p> <p>Financial support in this program was instituted through the establishment of the Community Development Fund, designed to address development issues in the area. The Fund received USD\$5 for any log extracted from the area, such that the fund would amount to approximately USD\$60,000. The fund was developed to finance community development projects and to create incentives to encourage ongoing sustainable natural resource management through tree planting activities. Financial assistance was necessary to enable the affordability of health services, school fees, and agricultural inputs such as fertilizers and other tools</p>
Monitoring and Evaluation Practices	<p>The program itself does not delineate internal M&amp;E practices. An external review of the program was completed in a study by Mark Appiah titled “Co-Partnership in forest management: the Gwira-Banso Joint Forest Management Project in Ghana” in a 2001 volume of <i>Environment, Development and Sustainability</i></p>
Grievance and Compliance Mechanisms	<p>None found.</p>
Sources	<p>Information on this organization was collected through the following source:  <a href="http://www.springerlink.com/content/jj417t821q4n21p0/">http://www.springerlink.com/content/jj417t821q4n21p0/</a></p>

<b>Ghana: Civil Society Strengthening Facility</b>	
Governance	The Civil Society Strengthening Facility is an 18 month pilot program funded through the Rights and Voice Initiative (RAVI Ghana) and the UK Department For International Development (DFID). The fund was contracted to FRR Ltd based in London which put together a project team in Ghana. Together with the Steering Committee, it provided strategic direction to the Fund. A Ghanaian NGO, Centre for Indigenous Knowledge and Organisational Development (CIKOD), was in charge of administering the fund and coordinating the field activities.
Scope of Activities	The project involves three main forest districts. It interacts with civil society organizations (CSOs) to understand forestry policy, how such policy can benefit local communities, how their interests can be represented and influence policy.
Operational Procedures / Funding Modalities	<p>Grants will be awarded based on the following criteria:</p> <ul style="list-style-type: none"> <li>• All proposals must have clear, achievable objectives, which are interrelated and contribute to the CSF's aim of strengthening CSOs in the forest sector.</li> <li>• Whether the activities the group proposes to undertake would address the problem and bring about the change they are expecting.</li> <li>• How the group would know if it has been successful</li> <li>• How and to whom the group intends to communicate project lessons</li> <li>• The proposal should demonstrate an awareness of similar initiatives or groups in the area – complementing, not duplicating, projects</li> <li>• The proposal should show an appreciation of the benefits by the stakeholders; local ownership of the project; development of local capacity; and voluntary contribution (e.g. time) of the beneficiary group.</li> </ul> <p>The fund is being contracted to FRR Ltd based in London and has put together a project team in Ghana, which together with the Steering Committee provide strategic direction to the Fund. A Ghanaian NGO, Centre for Indigenous Knowledge and Organizational Development (CIKOD), is in charge of administering the fund and coordinating the field activities. Eligible applicants include: small civil society organizations in the forest sector, traditional authorities, community radios, forest resource user groups, Community Forest Committees, etc.</p> <p>Funding of \$186,850.50 was distributed as follows: \$150,000 for grants; \$24,000 for fund administration; and \$12,850 for vehicle mileage expert panel and office consumables</p>
Monitoring and Evaluation Practices	Fund coordinator and accountant do period checks on groups in the field
Grievance and Compliance Mechanisms	None found.
Organizational Structures	The overall oversight of RAVI is the responsibility of the Steering Committee, which is made up of nine individuals with experience in governance (including academics, lawyers, representatives from Ghanaian NGOs), as well as representatives from the communities receiving grants. A Grants Sub-Committee of the Steering Committee is responsible for granting awards, but it is unclear who the membership of this group is. RAVI is moreover managed by four partner organizations (ActionAid International Ghana, Centre for Democratic Development, Participatory Development Associates, and FRR – the IDLgroup).
Sources	Information on this organization was collected through the following source: <a href="http://www.ravighana.org/documents/File/Downloads/ravi_fund_directory.pdf">http://www.ravighana.org/documents/File/Downloads/ravi_fund_directory.pdf</a> <a href="http://www.ravighana.org/">http://www.ravighana.org/</a>

<b>Ghana: Community Forest Management Project</b>	
Governance	The Ministry of Lands and Forestry had overall responsibility for the implementation of the project and will served as the Executing Agency. The Forest Plantation Development Centre (FPDC) was responsible for the coordination of project activities on a day-by-day basis; it also provided managerial support for other Government and donor-supported plantation development initiatives. Funding was provided by the African Development Bank and the Government of Ghana.
Scope of Activities	The project goal is to contribute to poverty reduction through the conservation and sustainable management of forest resources. The objective is thus the rehabilitation of degraded forest reserves while increasing the production agricultural, wood, and non-wood forestry products and strengthening the capacity of relevant institutions.
Operational Procedures / Funding Modalities	<p>The programme focused on the conservation and sustainable development of forest resources, with particular attention paid to the rehabilitation of degraded forest reserves while simultaneously increasing the production of agricultural, wood and non-wood forestry products, and strengthening the capacity of relevant institutions.</p> <p>This project of the AFB focused its efforts on four main components: (1) integrated forest management; (2) sustained livelihood scheme; (3) capacity building and institutional strengthening; and (4) project management support</p> <p>Criteria for community selection were that the community must have: acute land shortage; a history of working in collaborative forest management schemes with Forestry Commission; a traditional Leader that has demonstrated readiness to enter into negotiations on equitable sharing of costs and benefits of forest resources; a minimal distance between farmer villages and forest reserves; and a history of community organizations with good governance and transparency</p> <p>Project analysis demonstrated that smallholder farmers may successfully and profitably participate in forest plantation development. These projects have the potential to improve incomes, reduce rural poverty and enhance household food security.</p> <p>Through the implementation of a benefit-sharing agreement (between the Forestry Commission, local rulers/chiefs, farmers, and landowners), incomes accrued to all relevant stakeholders. This is expected to positively impact incomes, food security and living standards. Average incomes were expected to see increases through two sources: the income received from various tree outputs, and a doubling of crop yields through the new agricultural practices.</p>
Monitoring and Evaluation Practices	ADB does have monitoring and evaluation practices in place, however one was not discovered for this project, nor does the website delineate in detail the policies and processes of the M&E practices.
Grievance and Compliance Mechanisms	None found.
Sources	<p>Information on this organization was collected through the following sources:  <a href="http://www.afdb.org/en/projects-operations/project-portfolio/project/p-gh-aad-001/">http://www.afdb.org/en/projects-operations/project-portfolio/project/p-gh-aad-001/</a>            Program Appraisal Report:  <a href="http://www.afdb.org/fileadmin/uploads/afdb/Documents/Project-and-Operations/GH-2002-043-EN-ADF-BD-WP-GHANA-FORESTRY-APPRAISAL-CEGL-3FINAL1.PDF">http://www.afdb.org/fileadmin/uploads/afdb/Documents/Project-and-Operations/GH-2002-043-EN-ADF-BD-WP-GHANA-FORESTRY-APPRAISAL-CEGL-3FINAL1.PDF</a></p>

<b>Indonesia: Reducing the Poverty of Indigenous Forest Peoples while Conserving Natural Forests</b>	
Governance	The project was funded by the Rufford Small Grants for Nature Conservation fund, and was initiated by nature conservationist Alimaturahim and his team.
Scope of Activities	The project was designed to conserve natural forests in the Southeast Sulawesi Province in Indonesia, such that local communities would see economic growth (decreasing poverty) and sustainable forest management. The project focused on the development of honey home-industry. There are 29 different indigenous forest peoples in this province, with a population of 800,000. The project spans three endangered forests in which the following indigenous populations live: the Torete people, the Tolaki people, and the Wawonii people.
Operational Procedures / Funding Modalities	<p>The project utilized and combined two participatory development management methodologies: Participatory Rapid Appraisal (PRA) and Goal Oriented Project Planning (GOPP).</p> <p>The main operational procedures undertaken in the project were:</p> <ol style="list-style-type: none"> <li>1. Ensure a project management structure was in place: <ul style="list-style-type: none"> <li>• Establish a Project Team and ensure input facilitated.</li> <li>• Arrange logistics for Project Team.</li> <li>• Agree work plan/responsibilities.</li> <li>• Implement and monitor work plan.</li> <li>• Ensure timely reporting to the RSG and other stakeholders.</li> <li>• Make full use of the RSG and all participating organizations websites to publicize this project.</li> </ul> </li> <li>2. Enable the increased production of honey by facilitating indigenous forest peoples' capacity in honey production <ul style="list-style-type: none"> <li>• Identify 30 indigenous forest families from 3 most endangered forests.</li> <li>• Train the 30 indigenous forest family heads in beekeeping.</li> <li>• Facilitate the 30 indigenous forest families in producing honey.</li> </ul> </li> <li>3. Increase indigenous forest peoples' capacity in marketing honey <ul style="list-style-type: none"> <li>• Facilitate the 30 indigenous forest families in marketing their</li> </ul> </li> </ol>
Monitoring and Evaluation Practices	An evaluation was undertaken at the end of the program period. It was administered by the Rufford Small Grants program, and its results and findings can be seen here: <a href="http://www.ruffordsmallgrants.org/files/SM_15.04.09%20Alimaturahim%20Final%20Report.pdf">http://www.ruffordsmallgrants.org/files/SM_15.04.09%20Alimaturahim%20Final%20Report.pdf</a>
Grievance and Compliance Mechanisms	None listed.
Themes	Participatory governance, public private partnerships, community learning
Sources	Information on this organization was collected through the following source: <a href="http://www.ruffordsmallgrants.org/rsg/projects/alimaturahim_0">http://www.ruffordsmallgrants.org/rsg/projects/alimaturahim_0</a>

<b>Lao People's Democratic Republic: Capacity Enhancement for Coping With Climate Change</b>	
Governance	The Asian Development Bank and the Nordic Development Fund, in concert with program partners, execute program governance.
Scope of Activities	The project will institute three main services: <ul style="list-style-type: none"> <li>• Capacity development and technical support</li> <li>• Pilot adaptation activities in priority sectors</li> <li>• Reporting</li> </ul>
Operational Procedures / Funding Modalities	<p>The Pilot Adaptation Activities in Priority Sectors is inclusive of the following priority of: "Agriculture and Forestry Sectors." Pilot activities use an ecosystem-based approach to climate change adaptation and include:</p> <ul style="list-style-type: none"> <li>• Climate proofing infrastructure</li> <li>• Integrating indigenous knowledge in local adaptation plans</li> <li>• Adopting stress-tolerant cropping systems and varieties</li> <li>• Consultants coordinate the implementation of high-priority pilot adaptation activities in the agriculture and forestry sector to:</li> <li>• Liaise with national/provincial government representatives</li> <li>• Liaise with other external stakeholders to implement pilot activities including: integration of indigenous knowledge into local adaptation plans</li> </ul> <p>General Capacity Development and Technical Support for the project includes:</p> <ul style="list-style-type: none"> <li>• Assessment of investment and financial flows</li> <li>• Technical assistance and policy support to the technical working groups</li> <li>• Education, training and public awareness-raising campaign</li> <li>• Collaborative mechanisms for information dissemination and additional pilot activities</li> </ul> <p>Funded by the Asian Development Bank (ADB) and the Nordic Development Fund the grant is a capacity development technical assistance (CDTA) grant. The total cost of TA grant is USD3.4 million.</p>
Monitoring and Evaluation Practices	Program requires the submission of five technical reports to the ADB and Nordic Development Fund.
Themes	Environmental sustainability, capacity building, economic growth
Sources	Information on this organization was collected through the following source: <a href="http://www.adb.org/Documents/TARs/LAO/43443-lao-tar.pdf">http://www.adb.org/Documents/TARs/LAO/43443-lao-tar.pdf</a>

<b>Peru: Sustainable Harvest and Marketing of Non-Timber Forest Products (NTPFs) with Indigenous Communities in the Northern Peruvian Amazon</b>	
Governance	The project is funded by the Rufford Small Grants for Nature Conservation Fund. The project coordinator and field manager, Campbell Plowden and Yully Rojas respectively, received written endorsements from the partner communities (the Bora villages Brillo Nuevo and Ancon Colonia), as well as from FECONA, a community association representing 14 local communities, suggesting a process of community engagement in project activity to date.
Scope of Activities	The project covers economic and conservation sustainability by enhancing forest conservation through support for communities to sustainably harvest and market high-value non-timber forest products. These products are to be used to tap into the growing market of fair-trade handicrafts and essential oils. The project is to begin in the community of Brillo Nuevo, and expand to other Bora, Huitoto and Ocaina villages in the region
Operational Procedures / Funding Modalities	<p><b>Project Goals include:</b></p> <ul style="list-style-type: none"> <li>• Design of sustainable systems for harvesting aromatic plants, and those used in handicrafts</li> <li>• Building of local capacity to produce essential oils from aromatic plants</li> <li>• Create new handicrafts based on cultural traditions and available plants</li> <li>• Develop marketing strategies to market these goods as alternatives to forest-damaging economic activities</li> </ul> <p><b>Procedures:</b> The project will begin with the project team conducting surveys of the different forest habitats to estimate the abundance of aromatic trees and plants that can be utilized in economic activities such as handicrafts. The amount of available useful product that can be harvested will be estimated, the impact of harvest will be monitored, and the study will undergo estimating when plants are safe to harvest again (without detrimental effects to the plants and the forest ecosystem). Community workshops will be held to teach skills in making essential oils, and to develop handicraft skills.</p> <p>The project team will partner with the community and other key stakeholders to develop management plans for sustainable harvesting, and develop marketing plans to sell the economic products in such a way to fairly compensate harvesters, artisans, and the communities more generally.</p>
Monitoring and Evaluation Practices	No information regarding program evaluations was noted, however other Rufford projects have previously had evaluations completed at the cessation of the program.
Grievance and Compliance Mechanisms	None found.
Sources	Information on this organization was collected through the following source: <a href="http://www.ruffordsmallgrants.org/rsg/projects/campbell_plowden">http://www.ruffordsmallgrants.org/rsg/projects/campbell_plowden</a>

<b>Peru: Using Participatory Mapping as a Tool for Nature Conservation in Maijuna Traditional Lands</b>	
Governance	The project is funded by the Rufford Small Grants for Nature Conservation Fund. The project coordinator, Michael Gilmore, partnered with Federación de Comunidades Nativas Maijunas (FECONAMAI), a Maijuna indigenous organization, to work with four Maijuna communities in the mapping of ancestral lands.
Scope of Activities	The Peruvian government proposed the construction of a road through Maijuna traditional and titled lands, without the consultation of this indigenous group regarding the cultural and environmental impacts of the project. The Rufford project thus utilizes participatory mapping techniques as a tool to build an understanding of the Maijuna lands, and to help conserve them.
Operational Procedures / Funding Modalities	The project aims to use participatory mapping to conserve Maijuna traditional lands. Participatory mapping is a process by which local people are encouraged to produce maps of the lands, including relevant information such as land-use data, resource distributions, culturally and ancestrally significant sites, etc. The maps are meant to represent a population's collective understanding of a region, and can be used to showcase traditional and current occupation of lands. The maps being produced in this project are to be used by Federación de Comunidades Nativas Maijunas (FECONAMAI) to form the basis of an official land claims against the Peruvian government, with the ultimate goal of having traditional and current lands designated as a Regional Conservation Area, protecting approximately 300,000ha of lowland Amazonian rain forest.
Monitoring and Evaluation Practices	A final report was completed by the project supervisor, and is available at the following link: <a href="http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore">http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore</a>
Grievance and Compliance Mechanisms	Not delineated.
Sources	Information on this organization was collected through the following source: <a href="http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore">http://www.ruffordsmallgrants.org/rsg/projects/michael_gilmore</a>

## Section C: Granting Mechanisms in Canada and the United States

<b>Canada: Clayoquot Forest Communities Programme</b>	
Governance	The FCP includes four main organizations: Clayoquot Biosphere Trust, Canadian Forest Service, Canadian Model Forest Network, and the Clayoquot Sound Central Region Board, all of whom work in partnership with the B.C. Ministry of the Environment.
Scope of Activities	The FCP works on six specific activities: economic development, tourism planning, watershed monitoring, ecosystem monetization, strategic partnership development, and governance training. All of the activities work to assist First Nations communities.
Operational Procedures / Funding Modalities	Natural Resources Canada awarded the Nuu-chah-nulth Central Region Management Board and Ecotrust Canada \$1.5-million in funding to launch the Clayoquot Forest Communities Program (FCP) as part of a national strategy to help forest-dependent communities meet the challenges of economic transition.
Monitoring and Evaluation Practices	If the FCP's recommendations are not implemented to its satisfaction within 30 days, the FCP Board shall report to the Parties and either Party may refer the matter to Provincial Cabinet. If Cabinet does not accept the Board's recommendation, the Central Region Resource Council, comprised of the Central Region Hereditary Chiefs and Ministers of British Columbia, shall meet to consider solutions and one of the Parties refers the matter to the Council. To date, the Board has not referred any of its recommendations to the Parties or to Cabinet.
Grievance and Compliance Mechanisms	None Found.
Organizational Structures	The FCP was made possible by a grant from National Resources Canada, a federal government department that seeks to enhance the responsible development and use of Canada's natural resources and the competitiveness of Canada's natural resources products. The Canadian Forest Service, which is a main organization partner within the FCP, is a branch of the department headed by the Deputy Minister's Office.
Sources	Information on this organization was collected through the following sources: Ecotrust Canada: <a href="http://www.ecotrustcan.org/clayoquot/fcp">http://www.ecotrustcan.org/clayoquot/fcp</a> Project briefing: <a href="http://www.ecotrust.ca/files/ECBriefing-3-ClayoquotFCP.pdf">http://www.ecotrust.ca/files/ECBriefing-3-ClayoquotFCP.pdf</a>

<b>Canada: Whistler-Squamish-Lil'Wat Community Forest</b>	
Governance	This project is run in a partnership with the Whistler2020 Sustainability Project which, in turn, is part of the Whistler Centre for Sustainability. The latter is a non-profit organization with a dedicated staff of approximately six, and several associates. It has a Board of Directors comprised of a number of political, business, and community leaders in the region.
Scope of Activities	One representative project is BCBC Lands: Whistler and the First Nations communities will work together to explore development opportunities on the BCBC lands (Capilano Works Yard). Where development rights are secured, Whistler will work with the communities to process development planning policies, guidelines and standards.
Operational Procedures / Funding Modalities	<p>The following principles will guide the land use decision-making process:</p> <ul style="list-style-type: none"> <li>• Whistler 2020 and Whistler's Official Community Plan;</li> <li>• Squamish Nation's Land Use Plan and Lil'wat Nation's Cultural Heritage Plan in place as of May 2005;</li> <li>• The Community Charter and the Local Government Act;</li> <li>• Both Whistler Council's and Squamish and Lil'wat Nation (the Nations) Councils' decision-making process cannot be fettered in any way;</li> <li>• Whistler and the Nations will work collaboratively to support tourism economy;</li> <li>• Development rights (bed units) must be secured for any development proposal that involves market housing; and</li> <li>• Whistler will use its best efforts to secure development rights (bed units) for the Nations within the bed cap.</li> </ul>
Monitoring and Evaluation Practices	There are there specific indicators being used to monitor progress. Core indicators provide high level "Whistler-at-a- Glance" information for tracking progress relative to the project vision, priorities and sustainability objectives. Strategy indicators provide more detailed information for tracking progress relative to each of the sixteen strategy descriptions of success. Context indicators provide additional information about the resort community, and are not directly linked to Whistler2020 performance. The partners plan to have the Community Forest certified by the Forest Stewardship Council (FSC). FSC is a voluntary system to independently audit the practices of forest managers against objective, performance-based standards encompassing environmental, social and economic values. Certified forest managers can then use the FSC logo to market their timber to manufacturers, wholesalers and consumers who are guaranteed that they are buying good wood from sustainably managed forests.
Grievance and Compliance Mechanisms	None Found.
Organizational Structures	The Resort Municipality of Whistler, Squamish Nation and Lil'wat Nation are partners in the community forest venture. The partners will establish a three way, equal share Limited Partnership and a General Society to administer and operate the community forest. The initial Annual Allowable Cut is set at 20,000 m <sup>3</sup> per year, with the RMOW contributing 10,000 m <sup>3</sup> and the other partners contributing 5,000 m <sup>3</sup> each.
Sources	<p>Information on this organization was collected through the following sources:</p> <p>EcoTrust Canada: <a href="http://www.ecotrust.ca/whistler-squamish-and-lilwat-partnership-invited-apply-community-forest">http://www.ecotrust.ca/whistler-squamish-and-lilwat-partnership-invited-apply-community-forest</a></p> <p>Municipality of Whistler: <a href="http://www.whistler.ca/index.php?Itemid=427&amp;id=598&amp;option=com_content&amp;task=view">http://www.whistler.ca/index.php?Itemid=427&amp;id=598&amp;option=com_content&amp;task=view</a></p>

<b>Canada: ecoENERGY For Aboriginal And Northern Communities</b>	
Governance	The project is run through INAC, but other than the governance structure of INAC itself, here is very little information about the governance structure of this particular grant program. INAC works together with EcoAction, a program run by Environment Canada and Natural Resources Canada, to fund initiatives that focus on improving the sustainability of the Canadian environment.
Scope of Activities	Eligible programs all focus on proven energy technologies, including small or micro hydro, wind turbines, solar electric, and biomass.
Operational Procedures / Funding Modalities	<p>The ecoENERGY for Aboriginal and Northern Communities Program, which began on April 1, 2007, will provide \$15 million in new funding over four years to support Aboriginal and northern communities working on clean energy projects. The primary goal of this program is to reduce greenhouse gas emissions (which contribute to climate change) and criteria air contaminants (which contribute to air pollution).</p> <p>The following levels of funding are available based on the program elements: for Community Clean Energy Action Plans - depending on the size of the community, between \$5,000 and \$15,000 per community is available For Energy Efficiency Projects, depending on the size of the project and the stage of its development, up to \$100,000 is available For Renewable Energy Projects, depending on the size of the project of its development, up to \$250,000 is available.</p>
Monitoring and Evaluation Practices	Individual action plans have been developed for each project. These include a detailed work plan with specific milestones and accountabilities. The work plans will be monitored by Sustainable Development Division and accountable sectors and regions. While the sectors and regions are accountable for implementing their targets, it is the Sustainable Development Division that is responsible for monitoring and reporting on progress. Reporting will be done on an annual basis and will coincide with the Departmental Performance Report.
Grievance and Compliance Mechanisms	None Found.
Organizational Structures	Because this project is run through a joint initiative between INAC and Environment Canada, it can be quite difficult to determine the exact organizational structure pertaining to the project. It seems likely that ecoENERGY is run as part of the Aboriginal Peoples & Communities division of INAC, which also provides funding for integrating energy efficiency and renewable energy technologies into community infrastructure, which is an important aspect of the ecoENERGY program.
Sources	<p>Information on this organization was collected through the following sources:</p> <p>EcoACTION Canada: <a href="http://www.ecoaction.gc.ca/ecoenergy-ecoenergie/aborignorth-autochnord-eng.cfm">http://www.ecoaction.gc.ca/ecoenergy-ecoenergie/aborignorth-autochnord-eng.cfm</a></p> <p>INAC: <a href="http://www.ainc-inac.gc.ca/enr/clc/prs/ovr-eng.asp">http://www.ainc-inac.gc.ca/enr/clc/prs/ovr-eng.asp</a></p>

<b>Canada/United States: The Tides Foundation Canada</b>	
<b>Governance</b>	The Tides Foundation Canada is a branch of the Tides Foundation, a non-profit organization originated in the US in 1976.
<b>Scope of Activities</b>	Tides Foundation Canada does not directly receive grant applications from charitable organizations or fund projects on its own but serves as a support for charitable organizations. First, the Foundation acts as a channel for donor funding. Businesses or philanthropists that want to make charitable donations but do not have the resources to screen applicants can channel funds through Tides Canada, who will work with them to find desirable funding recipients. Grants are given to non-profit charitable organizations in the areas of climate change, wilderness protection, marine conservation, aboriginal issues, poverty, and international development.
<b>Operational Procedures / Funding Modalities</b>	<p>Tides Canada partners with charitable organizations to help carry administrative costs. When an organization becomes a partner, Tides Canada takes on the administrative, financial, legal and human resource services of an organization to help reduce costs and allow that organization to focus on its charitable work. The Foundation also provides support through endowment and long-term funding investment and management for charities. The foundation is involved in small community projects as well as the \$120 million project to save the Great Bear Rainforest in British Columbia.</p> <p>Each project is responsible for generating its budget revenue. Tides Canada provides regulatory governance in addition to assistance that aims to strengthen donor interest by maintaining excellent records and providing high levels of accountability to those making philanthropic investments in projects.</p>
<b>Monitoring and Evaluation Practices</b>	While the organization doesn't publish specific monitoring practices, they do screen for companies that demonstrate characteristics that may indicate bad practices: their products and services are unsafe in normal use (such as tobacco and gambling); they are weapons systems contractors or derive more than 10% of their gross revenues from defence contracting or subcontracting; they do not practice responsible corporate governance; they broadly violate fair labour practices; they have a record of failure to abide by federal, provincial, and local environmental regulation and/or are participating in nuclear power plant technology (this screen could be re-evaluated if nuclear technology evolves); they are responsible for systematic human rights violations or contribute to repressive governmental practices. These screens will also be applied to government debt where appropriate.
<b>Grievance and Compliance Mechanisms</b>	In evaluating grievances, the following questions are considered: Will your project create an impact that furthers program area goals? Do activities have a charitable purpose? Do you have committed funding and a solid resource development plan? Do you have strong leadership and a committed and capable team?
<b>Organizational Structures</b>	The Tides Foundation consists of a 4-person executive team (CEO & CFO and a Director for each of Programs and Business Development) and a Board of Directors that draws from the private, academic, public, and not-for-profit sectors.
<b>Sources</b>	Information on this organization was collected through the following sources: Tides Canada, Online: <a href="http://www.tidescanada.org">www.tidescanada.org</a> Tides Foundation Online: <a href="http://www.tides.org">www.tides.org</a>

<b>United States: Rural Community Assistance Program</b>	
Governance	In partnership with the State forestry agencies, RCAP currently manages a number of projects: Forest Stewardship Program, Forest Legacy Program, and the Economic Action Program. All are partner-driven and funded by the federal government through local organizations and NFPs. RCAP's board is made up of representatives from each of the five regional partners that are part of the RCAP network: Midwest Assistance Program, Community Resource Group, Southeast Rural Community Assistance, Solutions, Rural Community Assistance Corporation.
Scope of Activities	The RCAP works specifically on activities in four areas: Economic Recovery, Rural Development, Forest Products Conservation & Recycling, and Market Development and Expansion.
Operational Procedures / Funding Modalities	<p>No other federal programs are directed at helping forest-based communities build their capacity for self-development and appropriate economic diversification. Due to the Forest Service's presence in rural places and the Agency's ability to build working relationships, expand practical networks, leverage funds and knowledge, and transfer diverse technologies to solve problems and enhance opportunities, the requests for EAP technical and financial assistance continues to grow.</p> <p>RCAP is a nonprofit organization, and its funding comes from any of three specific government agencies: the Office of Community Services of the U.S. Department of Health and Human Services; the U.S. Department of Agriculture, and the U.S. Environmental Protection Agency. Funding for RCAP programs comes from the USDA Rural Development Program, the EPA Office of Groundwater and Drinking Water, or the EPA Office of Waste Water Management.</p>
Monitoring and Evaluation Practices	RCAP has specified four major outcomes that it works to achieve (Improved environmental and community health; Compliance with federal and state regulations; Sustainable water and waste disposal facilities; and Increased capability of local leaders to address current and future needs) and specifies indicators for each outcome that demonstrate success or a need for improvement. For more on these indicators, please visit: <a href="http://www.rcap.org/outcomes">www.rcap.org/outcomes</a>
Grievance and Compliance Mechanisms	None found.
Organizational Structures	The RCAP, under the Cooperative Forestry Staff, of the U.S. Department of Agriculture's Forest Service, works with States, private landowners, and other partners to promote healthy forests and livable communities throughout the United States. Their programs and partnerships help private landowners and rural communities care for their forests, strengthen local economies, and maintain a high quality of life.
Sources	Information on this organization was collected through the following source: Rural Community Assistance Partnership: <a href="http://www.rcap.org/">http://www.rcap.org/</a>

<b>United States: Tribal Energy Program</b>	
Governance	The Department of Energy (DOE) Tribal Energy Program (TEP) consists of program management through DOE headquarters, program implementation and project management through DOE's field offices, and technical support through the DOE laboratories. Program management for the Tribal Energy Program is carried out by DOE's Weatherization and Intergovernmental Program, which provides program direction and funding to DOE field offices for program implementation.
Scope of Activities	The TEP funds three specific activities: the Weatherization and Intergovernmental Program, the National Renewable Energy Laboratories, and the Energy Efficiency Deployment. All programs and activities funded fall within the scope of energy conservation and renewable energy development.
Operational Procedures / Funding Modalities	<p>The Tribal Energy Program supports a variety of energy-related projects on tribal lands. Through these projects, tribes have built the institutional capacity to manage their energy needs, assessed the feasibility of energy efficiency and renewable energy installations, and have demonstrated the viability of installing renewable energy systems on tribal lands.</p> <p>Funding is provided on a competitive basis for the evaluation and development of renewable energy resources on Tribal lands. Each funding opportunity announcement will identify submission requirements, eligibility, and rating criteria.</p>
Monitoring and Evaluation Practices	The projects funded must be found to: empower tribal leaders to make informed decisions about energy choices, bring renewable energy and energy efficiency options, enhance human capacity through education and training, improve local tribal economies and the environment, and to make a difference in the quality of life of Native Americans. The DOE Office of Energy Efficiency & Renewable Energy also runs its own monitoring and evaluation programs: case studies examine technology development efforts and identify the lessons learned in both successes and failures; costs, benefits, and return on investment studies provide detailed quantitative economic (costs, benefits, and bottom line impact) analyses of technology successes and failures.
Grievance and Compliance Mechanisms	None found.
Organizational Structures	The TEP is run through the DOE Office of Energy Efficiency & Renewable Energy, headed by Cathy Zoi, the Assistant Secretary for Energy Efficiency and Renewable Energy. The Office of Energy Efficiency and Renewable Energy consists of ten programs - of which the Tribal Energy Program is one - and several offices that support the office and its mission.
Sources	Information on this organization was collected through the following source: US Department of Energy, Energy Efficiency and Renewable Energy: <a href="http://apps1.eere.energy.gov/tribalenergy/">http://apps1.eere.energy.gov/tribalenergy/</a>

<b>United States: The Cherokee Preservation Foundation</b>	
Governance	The Cherokee Preservation Foundation was founded in 2000 to improve the quality of life for Eastern Cherokee Indians in the western North Carolina region. The organization is funded by gaming revenues from the Eastern Band of Cherokee Indians and is a non-profit organization. A nine-person Board of Governors runs the organization. Six members of the board are members of the executive of the Eastern Band of Cherokee Indians.
Scope of Activities	<p>The target group is the Cherokee from western North Carolina. Project-specific grants that will be funded must focus on the following themes:</p> <ul style="list-style-type: none"> <li>• Environmental protection of Cherokee lands;</li> <li>• build capacity;</li> <li>• creation of economic development;</li> <li>• enhancement of Cherokee culture; and</li> <li>• willing to form a partnership with the Eastern Band of Cherokee Indians.</li> </ul> <p>The fund has several types of activities eligible for grants depending on the type of project. Activities include: support travel; meeting and office expenses; resources for capacity building such as education and skill training for volunteers, workshops on management or financial training, budgeting, technology training, communications, volunteer management.</p>
Operational Procedures/ Funding Modalities	The fund makes three types of grants in the range of \$500 - \$20,000 US: Planning Grants, Capacity Grants, and Project-Specific Grants. The fund makes two types of donations over \$20,000: Project-Specific Grants and Preservation and Civic Enhancement Grants. For Preservation and Civic Enhancement Grants, the fund will not fund more than half of the overall budget for such projects. Each organization wishing to receive funding can access guidelines to applying on the website and also download the application form off the website. The organization can apply to one small grant and one large grant per year.
Monitoring and Evaluation Practices	None found.
Grievance and Compliance Mechanisms	None found.
Reported Success	Cherokee Potters Guild
Sources	Information on this organization was collected through the following source: <a href="http://www.cherokeepreservationfdn.org">http://www.cherokeepreservationfdn.org</a>