Evaluation of GEF Engagement with Indigenous Peoples

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The findings, interpretations, and conclusions in this report are those of the authors and do not necessarily reflect the views of the GEF Council or the governments it represents.

Cover: Quechua family in a village in the Andes over Ollantaytambo, Peru; © Gabor Kovacs Photography/ Shutterstock.com

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Foreword

The Evaluation of GEF Engagement with Indigenous Peoples is one of the inputs into the Sixth Comprehensive Evaluation of the GEF (OPS6) which examines Global Environment Facility (GEF) support during the sixth replenishment period. The GEF has been engaging with indigenous peoples since its inception and significant steps have been taken by the GEF to increase the engagement and participation of indigenous peoples in GEF activities over time.

The purpose of this evaluation is to assess the GEF's engagement activities with indigenous peoples and provide insights and lessons leading to recommendations to strengthen GEF collaborations. The evaluation takes a mixed-methods approach with evidence from an analysis of the indigenous peoples project portfolio, terminal evaluations of completed projects, interviews conducted with indigenous peoples and GEF stakeholders, as well as desktop research.

The evaluation was presented to the GEF Council at its November 2017 meeting, as part of the Independent Evaluation Office's Semi-Annual Evaluation Report. The Council took note of the findings and encouraged the GEF Secretariat and Council to advance engagement with indigenous peoples. Through this report, the GEF Independent Evaluation Office intends to share the lessons from the evaluation with a wider audience.

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Acknowledgments

Abbreviations

ADB   Asian Development Bank

AfDB   African Development Bank

CBD   Convention on Biological Diversity

COP   conference of the parties

CSO   civil society organization

ESS   environmental and social standard

FAO   Food and Agriculture Organization of the United Nations

FECO   Foreign Economic Cooperation Office of the Ministry of Environmental Protection of China

FPIC   free, prior, and informed consent

FUNBIO   Brazilian Biodiversity Fund

GEF   Global Environment Facility

IDB   Inter-American Development Bank

IEO   Independent Evaluation Office

IFAD   International Fund for Agricultural Development

ILO   International Labour Organization

IPAG   Indigenous Peoples Advisory Group

IPTF   Indigenous Peoples Task Force

IUCN   International Union for Conservation of Nature

NGO   nongovernmental organization

OP   operational policy

OPS6   Sixth Comprehensive Evaluation of the GEF

PMIS   Project Management Information System

SGP   Small Grants Programme

UN   United Nations

UNDP   United Nations Development Programme

UNDRIP   United Nations Declaration on the Rights of Indigenous Peoples

UNEP   United Nations Environment Programme

UNFCCC   United Nations Framework Convention on Climate Change

UNIDO   United Nations Industrial Development Organization

WWF   World Wildlife Fund

The GEF replenishment periods are as follows: pilot phase: 1991–94; GEF-1 1995–98; GEF-2: 1999–2002; GEF-3: 2003–06; GEF-4: 2006–10; GEF-5: 2010–14; GEF-6: 2014–18; GEF-7: 2018–22.

All dollar amounts are U.S. dollars unless otherwise indicated.

Executive summary

This is a review of the Global Environment Facility's (GEF's) engagement with indigenous peoples. The Independent Evaluation Office of the GEF has undertaken the study to inform the replenishment process for the GEF-7 period.

Purpose

The aim of this review is to provide (1) a historical analysis of the GEF's engagement with indigenous peoples and background for indigenous peoples' participation in GEF projects, (2) a rendering of good practices and lessons learned from the GEF's engagement with indigenous peoples, (3) an analysis of GEF Agency conformity with GEF policies and guidelines concerning engagement with indigenous peoples, and (4) recommendations for roles and initiatives the GEF could incorporate in GEF-7.

The review was undertaken from February to August 2017 using desk research, portfolio analysis, online surveys, and interviews.

Overview of the GEF and indigenous peoples

The GEF has engaged with indigenous peoples since its pilot phase of project financing in 1991. A review of the portfolio shows that, since that time, the level of engagement, consultation, and policy review with indigenous peoples has increased through each GEF funding period. Trends show an increasing number of GEF projects involving indigenous peoples, increased mechanisms for engagement, and a greater number of related GEF publications.

The literature and patterns of response from key informant interviews point to trends that provide a backdrop for this deepening level of engagement:

- Strong correlations are known to exist between the locations of indigenous peoples' territories (where cultural diversity is at its richest) and the places where biological diversity is most concentrated.

- Indigenous peoples are recognized for the efficacy of their traditional knowledge and customary practices vis-à-vis resource management and conservation; however, a wide differential between customary rights and land tenure means that in many places indigenous peoples are restricted from asserting those rights.

- The impacts of climate change significantly affect indigenous peoples and local communities because of their dependence on natural resources for livelihoods and of the locations of their territories.

Findings

Significant steps have been taken by the GEF to increase the engagement and participation of indigenous peoples in GEF activities. Included in

these was the formation of the agenda-setting Indigenous Peoples Task Force in 2011.

In its widely circulated issues paper launched in 2012, the task force identified policy options that remain relevant today. The document makes proposals to the GEF related to individual and collective rights to land, territories, and resources; rights to free, prior, and informed consent (FPIC); the principle of full and effective participation of indigenous peoples; recognition of the importance of traditional knowledge, innovations, and practices; and equitable access and benefit sharing vis-à-vis the utilization of genetic resources of indigenous peoples.

The issues paper also proposes mechanisms for enhancing the engagement and participation of indigenous peoples with the GEF and its operations. The formation of the Indigenous Peoples Advisory Group (IPAG) was one such mechanism, established with a mandate to advise on the development of a GEF policy on indigenous peoples. The inclusion of three indigenous peoples focal points in the GEF–Civil Society Organization Network further enhanced the profile of indigenous peoples' issues, as have the half-dozen GEF publications highlighting indigenous peoples' participation in the GEF.

In 2011, the GEF issued a policy on Agency Minimum Standards and Social Safeguards, largely drawn from those of the World Bank. It did so acknowledging the possibility that funded activities might inadvertently create adverse social and economic impacts. The policy recognizes, as a matter of principle, that indigenous peoples are important partners in the GEF's mission and that the identities and cultures of indigenous peoples are inextricably linked to the lands on which they live and the natural resources on which they depend. It also mentions concerns related to indigenous peoples that are articulated in the issues

paper. Minimum Standard 4 in the policy pertains to indigenous peoples.

The GEF's 2012 "Principles and Guidelines for Engagement with Indigenous Peoples" is viewed by most key informants to the review as an important reference in the implementation of GEF-funded projects involving indigenous peoples. Drawing heavily on the issues paper, this document illustrates indigenous peoples' role in GEF operational activities and deficiencies in the realization of indigenous peoples' rights. It also calls for further action to improve inclusion of indigenous peoples in GEF activities.

What the principles and guidelines document does not provide are specific commitments related to indigenous peoples. Nor does it provide practical guidance on project design or on indicators, or a specific list of requirements that might be useful to aid operationalization of relevant GEF policies. This is viewed as a shortcoming by many key informants. In addition, some of the internal mechanisms proposed in the document to uphold the standards for indigenous peoples remain to be acted upon comprehensively.

Indigenous Peoples Advisory Group

Consistent with its design, the IPAG provides advice to the GEF Secretariat on indigenous peoples' issues, including consultation and capacity building; and inputs on policy, practice resources, and tools related to indigenous peoples. It also provides recommendations on access to project financing and outreach. Since its inception, the IPAG is acknowledged to have

- Provided input into the GEF-6 Programming strategy;

- Cohosted events at international forums such as United Nations conferences and Convention on Biological Diversity meetings, among others,

to raise awareness about indigenous peoples–related financing opportunities;

■ Initiated the creation of a global and national fellowship program for indigenous peoples through the Small Grants Programme (SGP);

■ Advanced the principle of FPIC in GEF projects;

■ Fostered the inclusion of an indigenous women's vision/perspective in GEF gender discussions;

■ Improved coordination and interaction with civil society organizations;

■ Assisted in developing indicators to better measure benefits and outcomes from GEF-funded projects to indigenous peoples;

■ Developed a financing white paper with reviews and recommendations on financing options for GEF projects focused on indigenous peoples' issues;

■ Contributed to discussions on the GEF's draft Stakeholder Engagement Policy.

Constraints on IPAG performance, against its terms of reference, are identified and summed up as follows:

■ **Communication to and between indigenous peoples.** The diversity and dispersion of indigenous peoples around the world challenges the IPAG's ability to communicate meaningfully. Most of the IPAG's working documents are only available in English.

■ **IPAG capacity.** The lack of IPAG members' familiarity with aspects of the GEF and GEF Agencies hampers informed interaction. Training, dissemination, and formalizing communication and roles between the IPAG and the GEF have been constrained by financial resources and the limited time allotted for IPAG meetings.

■ **Staffing capacity in the GEF Secretariat and Agencies.** Dedicated staff experienced and trained in indigenous peoples' issues in the GEF is less than optimal. In some GEF Agencies, focal points are stretched in their abilities to meet competing responsibilities and address inputs from indigenous peoples.

■ **Coordination with indigenous peoples networks.** The IPAG's relations are constrained by the levels of understanding among the leadership of indigenous peoples organizations and networks over how best to engage with the GEF and GEF Agencies.

GEF policy

The GEF's safeguard for indigenous peoples was published in 2011 as part of the GEF "Policy on Agency Minimum Standards on Environmental and Social Safeguards." Minimum Standard 4 was designed to ensure that all GEF Agencies meet certain social, cultural, and environmental criteria, including social and environmental impact assessments, indigenous peoples' plans, and consultation alongside references to land, culture, traditional knowledge, and livelihoods. The policy also sets out the provisions of the GEF's grievance mechanism.

In general, the wording of GEF Agencies' safeguard policies are in alignment with the requirements of GEF Minimum Standard 4. Of the nine provisions of Minimum Standard 4, Agencies show high levels of conformity in the areas of environmental and social impact assessments, appropriate socioeconomic benefits, indigenous peoples' plans, and document disclosure. In the areas of consultation, participation, and the application of FPIC, the wording of GEF Agency

safeguards tends to exceed Minimum Standard 4 provisions by insisting on greater protections for indigenous peoples or greater participation within project frameworks. To a lesser extent, Minimum Standard 4 standards are also exceeded in terms of access to and participation and benefits in protected areas, the use of cultural resources and traditional knowledge, and the monitoring of GEF-funded projects. Eleven of the Agencies have indigenous peoples safeguards published in 2015 or later, some prompted by the minimum standards required by the GEF. In general, these more recent policies show elaborated and, in some instances, enhanced approaches, as the following examples indicate.

- **Identification of indigenous peoples.** Minimum Standard 4 establishes brief criteria regarding the identification of indigenous peoples. Some Agency safeguards elaborate on these criteria, in some instances referencing other widely accepted international criteria for identifying indigenous peoples to ensure that project-implementing bodies and states have clarity regarding when to apply Minimum Standard 4. In some country contexts, the absence of recognition creates a significant challenge for the GEF partnership. In these situations, and where broader issues are being addressed, some Agencies have included indigenous peoples within the broader nomenclature of "local communities." This term is sometimes used to avoid discrimination in places where populations are diverse in their makeup. The current consensus by the United Nations and climate convention bodies, adopted by the Convention on Biological Diversity in 2014, is that in these cases use of the term "indigenous peoples and local communities" enables inclusive approaches, while avoiding presumptions of common identity or that such groups are subject to the same circumstances.

- **Consultations, consent, and participation.** The GEF limits FPIC application to the 22 International Labour Organization (ILO) C169 signatory states, while the safeguard policies of 10 GEF Agencies have put in place mandatory FPIC processes for all projects involving indigenous peoples. A further three Agencies have widened the scope of FPIC application.

- **Terminology related to FPIC.** The GEF's use of the term "free, prior, and informed *consultations*" suggests ambiguity when it comes to *consent*. It appears to lack the element of consent, while, at the same time, other wording in the minimum standards seems to assert the importance of consent.

- **Indigenous peoples' participation in project processes.** While the involvement of indigenous peoples in environmental and social impact assessments is mandated, the level of participation is not specified. Some GEF Agencies have elaborated expectations or requirements for participation by indigenous peoples both in assessments and project monitoring processes.

- **Alignment with rights-based approach.** While the context of GEF support for the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP) is provided in several GEF publications on indigenous peoples, there is little in the GEF "Principles and Guidelines for Engagement with Indigenous Peoples" directly associated with human rights instruments. That noted, analysis does show that a number of UNDRIP articles encapsulate elements of the GEF's approach with indigenous peoples. Other Agencies have gone further, directly referencing provisions set out in the UNDRIP in the application of safeguards for indigenous peoples.

Regarding safeguard application and monitoring, the GEF Independent Evaluation Office's 2017 review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards recommends implementation of tracking and checks of safeguard procedures under partner Agencies.

The safeguards analysis carried out for this review indicates high levels of consistency exist between GEF Minimum Standard 4 and the GEF Agency safeguard policies, though a limited number of instances were identified where the wording of the GEF Agency safeguard policy does not conform with GEF Minimum Standard 4. In these instances, where gaps in standards are perceived between GEF and Agency safeguards, ensuring "the flow-through of monitoring information on safeguards implementation" is suggested to be of importance. It is also noted in the analysis that, despite the upcoming implementation of a new environmental and social safeguard framework for the World Bank, the GEF minimum standards continue to exclude the World Bank under GEF policies.

GEF portfolio

The review's analysis of the GEF portfolio shows an increased engagement with indigenous peoples, with projects involving indigenous peoples gaining in presence and performing in line with those in the broader GEF portfolio.

- The indigenous peoples portfolio identified for the Sixth Comprehensive Evaluation of the GEF (OPS6) comprises 426 projects within a time frame spanning the pilot phase to the middle of GEF-6. The portfolio represents approximately 10 percent of projects approved and about 11 percent of the total GEF portfolio investment across focal areas. Three hundred and four are full-size projects (71 percent), and 122 are medium-size projects (29 percent). Altogether,

they represent $2.503 billion in GEF grant investment and $12.893 billion in cofinancing.

- By number of projects and by investment, the proportion of full- and medium-size projects that include indigenous peoples has increased substantially since the beginning of the GEF.

- The greatest concentration of investment is in Latin America and the Caribbean (34 percent), followed by Asia (29 percent) and Africa (25 percent).

- Most of the projects involving indigenous peoples fall into the full-size category, and have been implemented by four of the GEF accredited Agencies—the Food and Agriculture Organization of the United Nations, the United Nations Development Programme, the United Nations Environment Programme, and the World Bank. This is not unexpected, as these are also the main GEF implementing Agencies.

- The biodiversity focal area dominates the indigenous peoples portfolio, accounting for a total of 55 percent of projects, though a shift is evident toward a greater concentration of indigenous peoples projects in the climate change and multifocal areas.

- Two-thirds of all indigenous peoples projects show "limited" participation or "moderate" involvement of indigenous peoples; thus far, exclusively indigenous peoples–driven projects are in a minority.

- From an outcome perspective, the indigenous peoples portfolio is comparable to performance across the entire GEF portfolio as per the *GEF Annual Performance Report 2015*. Seventy-five percent of indigenous peoples projects are rated as moderately satisfactory or above, while 80 percent of the overall GEF portfolio is rated above the same threshold. Future studies could

further analyze correlation between indigenous peoples' participation and project performance.

■ The performance of the indigenous peoples portfolio improved in outcome achievement from the pilot phase to GEF-1 and remained consistent in GEF-2 and GEF-3. The outcome rating increased from GEF-3 to GEF-4, with 90 percent of the projects rated as moderately satisfactory or above. There are only two indigenous peoples projects rated thus far in GEF-5, both with outcome ratings of moderately satisfactory or above.

■ Outcome ratings have been highest across indigenous peoples projects focused on land degradation, climate change, and biodiversity. Indigenous peoples projects are comparable to the GEF portfolio in terms of their likelihood of being sustainable; more than half the projects show moderate or greater likelihood of being sustainable. Project efficiency also measures comparably with the GEF portfolio.

The GEF SGP administered by the United Nations Development Programme is the primary modality for the GEF's engagement with indigenous peoples, though accessing SGP grants remains a challenge due to administrative and language hurdles. This limits the extent to which the mechanism can address needs and opportunities among indigenous peoples. The SGP provides grants of up to $50,000 to local communities for projects involving biodiversity, climate change mitigation and adaptation, land degradation and sustainable forest management, international waters, and chemicals in 125 countries. Approximately 15 percent of the 20,300 SGP grants awarded from 1992 to 2016 benefited indigenous organizations or involved indigenous communities.

A survey of SGP national coordinators on engagement with indigenous peoples highlighted benefits of SGP funding to indigenous peoples, including access to training/capacity building, income and livelihoods improvements, and increased inclusion for consultation and project design. Barriers for indigenous peoples to access SGP funding focused on limited administrative and management skills, timing requirements for application, language limitations, and geographic or communication barriers.

Recommendations

Recommendation 1: Establish and strengthen dedicated funding opportunities for indigenous peoples projects/organizations. Indigenous peoples remain limited as beneficiaries in the support they receive from the GEF. To date, support has come primarily through the SGP, which, by design, is limited in scale and scope. Dedicated funding outside the System for Transparent Allocation of Resources (STAR) would address the systemic challenges and operational constraints to increased indigenous peoples' engagement. Simultaneously, strengthening the SGP and other GEF project-oriented grant mechanisms such as the Critical Ecosystem Partnership Fund, or creating incentives to engage indigenous peoples and local communities could also help improve access. The World Bank's Dedicated Grants Mechanism serves as a model of a funding window that could be adapted for the GEF.

Recommendation 2: Update relevant policies and guidelines to reflect best practice standards concerning indigenous peoples, including a rights-based approach to engagement. Internationally, safeguard norms regarding indigenous peoples have changed. This manifests in a number of GEF Agency standards that have emerged since 2012. To remain at the leading edge and continue to serve the field of practice with advanced thinking about how best to safeguard the rights of indigenous peoples, a recalibration is required. Attention should be given to provisions related to the right to self-determination and to FPIC as they pertain to consultations with indigenous peoples concerning

GEF projects. Revisions should be reflected in pertinent safeguards documents, including the GEF principles and guidelines. As part of this exercise, the GEF should anchor its engagement with indigenous peoples with relevance to the UNDRIP and ILO C169 and to progressive advances with regard to traditional knowledge, land rights, and resource rights. Finally, the GEF should expand its own criteria or directly reference other widely accepted international criteria for identifying indigenous peoples to ensure clarity for all stakeholders. Specifically with regard to its nomenclature, consideration should be given to the merits and drawbacks of inclusive language such as "indigenous peoples and local communities."

Recommendation 3: Review the IPAG's role for operational constraints. The IPAG is unequivocally viewed as an important and advantageous body to guide the GEF's decision making and engagement with indigenous peoples. To increase its effectiveness, the GEF should undertake several steps including a review of succession planning and "onboarding" for IPAG members to preserve knowledge of outgoing members and to orient new ones, and a review of the existing scope/limitations of the IPAG's mandate and its relationship with the indigenous peoples focal points embedded within the GEF–Civil Society Organization Network. As part of this, the GEF should clarify the IPAG's communication/engagement role for more formal contacts with regional and global networks of indigenous peoples; consider an increase in the staff time and resources allocated by the GEF Secretariat indigenous peoples focal point to IPAG activities; and translation requirements for relevant documents such that the IPAG is able to engage in English, French, and Spanish. Regarding enhancements to IPAG capacity, the GEF should explore ways of incorporating intergenerational leadership and knowledge.

Recommendation 4: Facilitate dialogue between indigenous peoples and local communities and GEF government focal points. One of the major hurdles for greater engagement of indigenous peoples in GEF projects is acceptance by national governments in some of the countries where the GEF operates. Through its relationships with national governments, the GEF can help increase the prominence of indigenous peoples' activities and encourage mainstreaming of indigenous peoples issues into environmental programming. In this regard, the GEF should seek opportunities for a higher profile of indigenous peoples in GEF projects and at GEF events such as Extended Constituency Workshops and Council meetings. The GEF should document success stories in this regard, showing where engagement is strong or where breakthroughs in building relationships have been made.

Recommendation 5: Monitor application of Minimum Standard 4 and the indigenous peoples portfolio. A greater flow of information should come from tracking the environmental and social risks of the GEF portfolio. Currently, there is no requirement that Agencies report on compliance with safeguards, leaving the GEF portfolio vulnerable. Agencies should inform the GEF of the safeguard risk categorization assigned to projects involving indigenous peoples and keep the GEF informed of safeguards implementation issues through monitoring and reporting. Ideally, this process builds on current Agency internal monitoring systems rather than duplicates them. Similarly, an accurate monitoring of the portfolio of projects that engage indigenous peoples is currently not possible. Projects need to be tagged to allow for systematic retrieval. As part of the tagging, further definition within the GEF of what is considered indigenous peoples engagement should ensue. Finally, the midterm and terminal evaluation templates should include sections that capture indigenous peoples engagement and results.

1: Introduction

The Global Environment Facility (GEF) has engaged with indigenous peoples since its first phase of project financing in 1991. Since then, the level of engagement, consultation, and policy review with indigenous peoples has increased through each GEF funding period. Trends show an increasing number of GEF projects involving indigenous peoples, increased mechanisms for engagement, and a greater number of related GEF publications. Hence, as part of the Sixth Comprehensive Evaluation (OPS6) of the GEF and to inform the replenishment process for the GEF-7 period, this review presents an analysis of the GEF's engagement with indigenous peoples.

1.1   Evaluation objectives

The aim of this review is to provide insight for the GEF regarding engagement with indigenous peoples through GEF projects and operations. This report provides the following:

- An analysis of GEF engagement with indigenous peoples and background for indigenous peoples' participation in addressing environmental issues

- Good practices and lessons learned from the GEF's engagement, to date, with indigenous peoples

- Recommendations for roles that the GEF could incorporate in GEF-7, taking into account the

GEF's Programming Strategy and indigenous peoples' needs and existing peer offerings.

1.2   Methodology

The evaluation was undertaken by a GEF Independent Evaluation Office (IEO) team of staff and consultants and is based on desk research, portfolio analysis, online surveys, and interviews with relevant stakeholders.

DESK RESEARCH

The documents reviewed include relevant Council documents and GEF project documents, including terminal evaluations. Additionally, external leading reports from international Agencies, including the Inter-American Development Bank (IDB), the International Fund for Agricultural Development (IFAD), and the World Wildlife Fund (WWF); specialized initiatives (e.g., State of the World's Minorities and Indigenous Peoples); and academic research papers were considered for background and literature review purposes. A list of documents consulted is presented in the bibliography.

PORTFOLIO ANALYSIS

The team analyzed a portfolio of GEF projects for trends. In developing the portfolio, "engagement with indigenous peoples" was interpreted broadly to extend from engagement with indigenous

peoples' organizations as executors of GEF projects to beneficiaries and interested stakeholders.

The evidence presented in this portfolio analysis draws on two interrelated sources. The first is project data pulled from the GEF's Project Management Information System (PMIS). An original compilation of a list of projects from the PMIS developed by the GEF Secretariat was used as a starting point for developing the portfolio. Projects that are indicated as executed by indigenous peoples organizations were included in the initial list. Project documents associated with the initial list of projects were also reviewed to ensure the list's integrity.

The second source of information is the GEF IEO's internal project performance database, the Terminal Evaluation Review Database, which contains ratings on outcomes for projects that have been evaluated through the Office's annual performance reports. One hundred and eighty-eight of the 426 indigenous peoples projects identified are also included in the IEO's database, with 181 projects having ratings on project outcomes. Using this information on project performance, the study compared the relative performance of projects that engaged indigenous peoples with that of projects that did not along the dimensions of outcome quality, likelihood of sustainability, and relative efficiency.

The methodology by which the portfolio was assembled is set out in annex A and the list of projects identified with indigenous peoples is in annex B.

ONLINE SURVEYS

To better understand the realities in the field for engaging indigenous peoples, an online survey was designed that targeted Small Grants Programme (SGP) national coordinators. The contact list for the survey was provided by the SGP team at the United Nations Development Programme (UNDP). One hundred and four national coordinators were sent the survey, and 89 responded (85 percent). Survey findings are highlighted in the report. The survey questions are set out in annex C.

INTERVIEWS

In addition to the surveys, 29 in-depth interviews were conducted with different stakeholder group representatives from the GEF Secretariat, the Indigenous Peoples Advisory Group (IPAG), and external experts from GEF Agencies and the conventions. The GEF staff interviews included multiple conversations with the GEF indigenous peoples focal points. A list of interviewees is provided in annex D.

1.3   Limitations

The study triangulated evidence from quantitative and qualitative sources, but with limitations. The portfolio analysis relies on the GEF PMIS database to explore GEF engagement with indigenous peoples. The drawback with the PMIS, however, is that it does not allow for a systematic tagging of projects that engage indigenous peoples, be it partnerships with or outreach to indigenous peoples. It is also the case that more attention was paid to tagging starting in GEF-5. In the face of this, the Secretariat developed a listing of projects that involve indigenous peoples. While helpful, it is not possible to match the list by drawing reports from organizational databases. Further complicating the task of assembling a portfolio of projects for analysis, "engagement with indigenous peoples" is interpreted broadly within the GEF partnership. This factor was also evident in the way SGP national coordinators interpreted survey questions related to the SGP portfolio. Ultimately, there

is no assurance that the portfolio created for the IEO's analysis is comprehensive, and it is not possible to delineate projects by type of participation.

To mitigate the risk of assembling an unrepresentative portfolio, the IEO carried out a systematic review of project titles, cofinanciers, executing agencies, and project descriptions as well as a review of project documents.

Resources allocated to the review did not allow for country visits. Such visits would have been useful to substantiate findings, conclusions, and recommendations. Regarding the SGP, for example, key informant interviews with the SGP national coordinators might have allowed for further insight on survey responses regarding the makeup, results, and sustainability of projects.

1.4 Background

RELEVANCE OF INDIGENOUS PEOPLES IN GEF ACTIVITIES

GEF engagement with indigenous peoples stems from the GEF's improved understanding of the geographic, cultural, and livelihoods linkages between indigenous peoples, biodiverse areas, and the effects of climate change. It also stems from improvements in the representation of and advocacy by indigenous peoples themselves, and from the increased recognition by states and international organizations of indigenous peoples' rights. Key observations from the literature and interviews follow.

PRESENCE OF INDIGENOUS PEOPLES AND BIODIVERSITY ARE MUTUALLY REINFORCING

With an estimated population of 370 million, indigenous peoples constitute approximately

4–5 percent of the world's population.[1] Their territories encompass up to 22 percent of the world's land surface, which in turn holds 80 percent of the planet's biodiversity (World Bank 2005). Across these territories, a strong correlation exists between biological richness and cultural diversity. Indigenous populations represent 95 percent of the world's cultural diversity, and 9 of the 12 main centers of cultural diversity are within biological-rich nations (Toledo 2000).

Moreover, the global land under tenure or designated occupation by indigenous peoples and local communities contains approximately an eighth of the world's forest. As significant as this is, it represents only half of the forested area utilized by indigenous peoples and local communities, according to the World Resources Institute. Resource management practices, where applied, provide protection from overexploitation and preserve biodiversity while also providing essential carbon sinks. These sinks are estimated to store 37–54 billion tons of carbon—which is, at a minimum, equivalent to the total global carbon dioxide emissions in 2014 (RRI 2016; WRI 2014).

Most forest areas managed by indigenous peoples and local communities have shown long-term sustainability. This comes from centuries of dependence on forest resources, reinforced by extensive traditional knowledge and cultural practices, such as controlling access to resources, placing limits on their usage, and forbidding usage of vulnerable species, protecting certain areas and adopting production techniques that increase biodiversity (CPF 2012).

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[1] M. Wiben Jensen, International Work Group for Indigenous Affairs, personal communication, May 10, 2017.

INCREASING ALIGNMENT OF BEST PRACTICES WITH TRADITIONAL AND CUSTOMARY PRACTICES

Indigenous peoples are now widely recognized for their traditional knowledge and customary practices that continue to influence understanding of forestry, traditional medicine, conservation, resource management, and livelihood patterns, as well as responses to climate change, resilience, and adaptation. Furthermore, a scan of the literature reveals evidence from a range of non-GEF projects suggesting that empowering indigenous peoples to manage biodiversity in their own territories can result in more sustained and cost-effective ways to protect biodiversity. Several illustrations follow:

■ A World Bank–funded sustainable forest management project in Panama trained 24 indigenous technicians on forest monitoring, verification, and reporting methods and let indigenous peoples take full ownership of the work (Mateo-Vega et al. 2017). The project included comprehensive monitoring coverage, reaching nine remote areas that previously could only be sampled using a much higher-cost method of airborne remote sensing.

■ In West Africa, an indigenous soil management system was adopted into a modern sustainable agriculture system. Integration of traditional knowledge led to improved fertility of highly degraded soils and, more broadly, to clues about how to enhance climate change mitigation potential when working with carbon-poor tropical soils (Solomon et al. 2016).

■ From a reviewed study on conservation partnerships in New Zealand, traditional ecological knowledge in ancestral sayings has been analyzed to generate new scientific strategies to retain local flora biodiversity (Wehi 2009).

■ In Australia, the widespread adoption of indigenous fire management practices has greatly reduced damage to ecosystems, important habitats, agricultural land, and infrastructure (Kimberley Land Council n.d.), and has reduced carbon emissions (Russell-Smith et al. 2013) from uncontrolled wildfires. Renewing the practice of traditional targeted early burning, which reduces the spread and fuel loads of wildfires, is now strongly promoted by the government of Australia (Australian Government Department of Environment and Energy n.d.).

Article 8(j) of the Convention on Biological Diversity (CBD) specifically recognizes the value of indigenous peoples' traditional knowledge. Policy guidance of the United Nations Convention to Combat Desertification states that integrating traditional knowledge with modern technologies can improve efficacy in combating desertification. As underscored by indigenous peoples through their input and presentations at each convention's conference of the parties (COP), indigenous peoples play an important role in meetings and policy development of the CBD, the United Nations Convention to Combat Desertification, and the United Nations Framework Convention on Climate Change (UNFCCC) (CBD n.d.; UNCCD 2015; UNFCCC 2017).

Finally, regarding alignment between good practices and traditional knowledge, there are examples of landscape design within some ancestral territories of indigenous peoples that can resist the negative effects of climate change. The community-based *acequia* management in the United States and Mexico, the *qunat* groundwater system in the Syrian Arab Republic, and traditional water-harvesting practices in India are three such examples (Johnston 2013). Observers of these traditional practices point out that they constitute an important body of knowledge for innovation in sustainable resource management.

WIDE DIFFERENTIAL BETWEEN CUSTOMARY RIGHTS AND LAND TENURE

Ownership of rich biological and cultural resources notwithstanding, indigenous peoples are still some of the world's most vulnerable social groups, often living in remote and socially marginal places (Chicchon 2009). A recent assessment by the Rights and Resources Initiative of 64 countries, totaling more than 80 percent of global land, estimated that indigenous peoples and local communities assert their customary rights over up to two-thirds of the land analyzed (RRI 2015). At the same time, however, tenure rights for indigenous peoples and local communities only exist in 10 percent of that area, with another 8 percent designated for their occupation without formal tenure. This leaves the remaining 82 percent of customary lands held by states or private entities.

The Rights and Resources Initiative assessment finds that, worldwide, members of indigenous groups are disproportionately suffering displacement, alienation, and cultural loss of a way of life in the name of economic development. Extractive industries (principally oil, gas, and mining), logging activity, and large-scale agriculture are often cited in this regard. Conservation initiatives are also cited in the literature. They can limit livelihoods or reduce access to resources, and have frequently been imposed upon indigenous groups (Popova 2013).

IMPACTS OF CLIMATE CHANGE

Indigenous peoples and local communities are particularly affected by the impacts of climate change due to their dependence on natural resources for livelihoods and to the location of their territories, often in biodiverse marginal and remote areas. Impacts include changes in precipitation levels, exposure to extreme weather events, and variations in seasonal weather patterns and

temperatures; these in turn lead to changes in the availability and sustainability of water, food, and natural resources. Some of the clearest impacts are found in the mild winters and low snowfalls experienced by indigenous peoples in Arctic areas, and in the rising sea levels that threaten to displace indigenous peoples on Pacific islands (IUCN 2008; UNPFII 2008).

As a result of the factors noted above, indigenous peoples are recognized as crucial actors in the GEF's primary mission to tackle environmental issues. Their territories and rights have become a significant factor in actions to address climate change.

THE GEF'S POVERTY REDUCTION, INCLUSIVE GOVERNANCE, AND GENDER EQUALITY COMMITMENTS

There are other commitments embedded in the GEF's mission that are relevant to engagement with indigenous peoples: reduce poverty, strengthen governance, and achieve greater equality. Progress made on these issues is integral to indigenous peoples realizing their rights as set out in the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP; UNGA 2007). The UNDRIP is a resolution on the rights of indigenous peoples adopted by the United Nations (UN) General Assembly to which almost all UN member states are now signatories.

While the UNDRIP is nonbinding, in signing the resolution, states have indicated their approval of its provisions and commitment to the direction given to the development of future legislation. For its part, the GEF Secretariat has indicated support for the UNDRIP provisions. Further elaboration has been suggested by consultative bodies to the GEF—specifically, the Indigenous Peoples Task Force (IPTF) and its successor, the IPAG—on

establishing a rights-based policy (IPTF 2011) (GEF 2012b).]

Twenty-two states, mainly in Latin America, have ratified the International Labour Organization's (ILO's) Indigenous and Tribal Peoples Convention of 1989 (ILO C169). This binding convention sets strict standards in terms of consultation, territories, land, natural resources, education, and culture. As such, the convention guides GEF-financed projects implemented in those countries.

INDIGENOUS PEOPLES AND LOCAL COMMUNITIES

While the terms "local communities" and "indigenous peoples" are applied in many international treaties and domestic laws, ambiguity exists as to their usage and acceptance. Neither term has a fixed or internationally agreed-upon definition. However, there is a consensus between a range of international organizations, academics, and community representatives on the meaning of the terms. These have been documented in reports and articles, including those by the CBD.[2]

A group of indigenous peoples shares common factors which may include ancestry, heritage, distinct culture, language attachments to lands and territories, and social status. Indigenous peoples frequently share a past or current experience of exclusion. Local communities are understood to comprise groups of individuals bound by a range of characteristics and/or circumstances that yield a collective identity. Both identification of indigenous peoples and membership of a community rely to a large extent on self-identification, as well as recognition by other groups. A local community therefore may include indigenous individuals as members of the collective.

In some contexts, "local communities" or similar terms have been used in place of "indigenous peoples." Often, this is due to a limited acceptance of the concept of indigenous peoples on the part of the national government. The terminology might also be used to avoid discrimination where there is a significant amount of diversity.

Given similarities in social, environmental, and economic issues affecting local communities and indigenous peoples, implementing organizations have tended to group the two together as "indigenous and local communities" or "indigenous peoples and local communities." This terminology is intended to promote a broader range of inclusivity. These terms are used by the CBD, the UNFCCC, and the GEF to ensure a broader approach to project implementation and policy development, especially for communities reliant upon and contributing to biodiversity, and to those at particular risk from climate change.

Overall, the term "indigenous peoples and local communities" appears to be the more widely accepted of the two terms. It has been adopted by the CBD after discussions at COP 12 in 2014 (CBD 2014). The term retains a reference to "indigenous peoples." This is important for its consistency with the terminology of international human rights law and advocacy. It ensures inclusive approaches to both indigenous peoples and local communities while avoiding presumptions of a common identity or circumstance.

A RETROSPECTIVE OF GEF ENGAGEMENT WITH INDIGENOUS PEOPLES

Over the last 26 years, aspects of the GEF's work with indigenous peoples have become a feature of GEF policies, strategies, and operations. Growth in international recognition of the role of indigenous peoples in promoting biodiversity and safeguarding protected areas, and in the sustainable

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[2] For example, see the summary provided by CBD (2013).

management of vulnerable ecosystems, is mirrored by the progression of GEF Council and GEF Secretariat publications addressing indigenous peoples' issues and enhancements vis-à-vis their participation within the GEF.

GEF-financed projects involving indigenous peoples have been implemented since the GEF pilot phase. Of the approximately 4,319 GEF-financed projects approved from the pilot phase to September 2016, approximately 426 (9.9 percent) involved indigenous peoples from a limited to a significant level. (See chapter 3.) Additionally, approximately 15 percent of the 20,300 SGP grants awarded from 1992 to 2016 benefited indigenous organizations or communities (GEF and UNDP 2016). This is estimated to be more than 3,000 projects in total.

Much of the information on GEF engagement with indigenous peoples from the pilot phase to GEF-3 is limited to that gathered in a retrospective analysis of project documents and evaluations, rather than from comprehensive reporting on these issues at the time. Monitoring systems identifying GEF-financed projects involving indigenous peoples were put in place in GEF-6. The presence of these more sensitive monitoring systems bodes well for project analysis related to indigenous peoples in future evaluations.

Formalizing the input of indigenous peoples into the design of GEF-financed projects and GEF strategies began in 1995, with the inception of the GEF–Nongovernmental Organization (NGO)Network. This consultative group of GEF-accredited NGOs was established by the GEF Council in 1996. Its coordination committee included an indigenous representative. Where possible, participation of indigenous peoples organizations in subsequent consultative meetings was encouraged by the GEF. The GEF-NGO Network—renamed the GEF–Civil Society Organization (CSO) Network in 2013 to reflect the wider participation of CSOs—currently

has three indigenous peoples focal points from Asia, Africa, and Latin America, and a role in promoting GEF engagement with indigenous peoples.

In 1996, the GEF Council approved and published "Public Involvement in GEF Projects," a policy for public involvement in the design, implementation, and evaluation of GEF-financed projects that also sets out activities and the resources needed to ensure this involvement. The document recognizes the need for information, consultation, and stakeholder participation for all groups involved in GEF-financed projects, including communities and local groups. It also recognizes that projects may have impacts on the livelihoods of "disadvantaged groups," which include indigenous peoples, and that involvement activities should "address the social, cultural, and economic needs of people affected by GEF-financed projects" (GEF 1996, 3). The document highlights the extent to which projects with groups such as indigenous peoples require them to pay particular attention to stakeholder engagement processes. The policy is currently being reviewed through stakeholder consultations. An updated policy is expected for GEF-7.

The first specific publication on indigenous peoples was *Indigenous Communities and Biodiversity*, produced in 2008 by the GEF Secretariat. It provides an overview of GEF engagement with indigenous peoples vis-à-vis GEF policies and operations, project financing, and work with the CBD COP. The publication also evaluates the engagement of indigenous peoples in identified GEF-financed projects, with analysis of their level of involvement in these projects, the thematic areas of the projects, geographic distribution, and number of projects per GEF replenishment period. The publication highlights the role of the SGP, detailed in section 3.8, in supporting grassroots indigenous peoples initiatives since its formation in 1992.

During GEF-5, the visibility of GEF engagement with indigenous peoples increased significantly, with eight specific publications, a formalized strategy, and establishment of a dedicated indigenous peoples reference group. In 2011, consultations began between the GEF and indigenous peoples' representatives comprising the IPTF on the development of a GEF policy on indigenous peoples. The IPTF consultations resulted in an issues paper (IPTF 2012), drafted shortly before the GEF Council's November 2011 launch of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards.

Consistent with a recommendation from the GEF-NGO Network to strengthen provisions relating to preventing adverse impacts to indigenous peoples, the document describes the importance of indigenous peoples to biodiversity, land, and natural resources within indigenous territories, and the need to mitigate any negative effects of GEF-financed projects on indigenous peoples' livelihoods as necessary. Included is Minimum Standard 4: Indigenous Peoples, providing detailed minimum requirements including social and environmental impact assessments, indigenous peoples plans and consultation alongside references to land, culture, traditional knowledge, and livelihoods. The policy also sets out the provisions of the GEF's grievance mechanism.

The issues identified by the IPTF were further developed by the GEF; and in 2012, the GEF Council adopted the "Principles and Guidelines for Engagement with Indigenous Peoples" (GEF 2012b). In lieu of a policy, this document affirms the importance of indigenous peoples in GEF-financed projects, identifies unintended adverse effects that can result from such projects, and expresses a desire for enhanced engagement between indigenous peoples and the GEF. The principles and guidelines document builds upon the 2011 GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards, the 1996 public involvement policy, the IPTF issues paper, and GEF partner Agency standards. GEF guidelines for engagement with indigenous peoples are developed and set out in the areas of planning and development; participation, rights, and governance; resettlement; traditional knowledge and benefit sharing; gender equality; accountability, grievances, and conflict resolution.

The principles and guidelines document was published without annexes in a brochure format by the GEF Secretariat. It was distributed in English, French, and Spanish. Broad reader appeal among indigenous peoples organizations, GEF Agency personnel, and stakeholders was the intent behind this action.

The IPTF issues paper was also published in a brochure format; it sets out GEF policy options for indigenous peoples in five key areas: individual and collective rights to land, territories, and resources; free, prior, and informed consent (FPIC); full and effective participation; traditional knowledge, innovations, and practices; and access and benefit sharing (IPTF 2011). The paper calls for the establishment of a rights-based approach to the GEF's engagement with indigenous peoples, with relevance to the UNDRIP, ILO C169, and the African Commission on Human and Peoples' Rights; and progressive advances in the GEF's policies toward FPIC, traditional knowledge, land rights, and resource rights; its recommendations are listed in box 1.1.

The approach of the paper was broad in scope, taking into account comparable activities of other international institutions, including the Asian Development Bank (ADB), the Food and Agriculture Organization of the United Nations (FAO), IDB, IFAD, UNDP, and the World Bank. It included a comparative review of existing policies on indigenous peoples in GEF Agencies.

BOX 1.1 Recommendations of the IPTF Force issues paper

- Establish an indigenous peoples advisory committee to provide advice to the GEF Secretariat and Council on issues related to the implementation of this policy
- Recruit and develop expertise on indigenous issues in the GEF Secretariat, including a direct communication and access point for indigenous peoples in the Secretariat
- Establish and administer, through a GEF Agency, a direct-access financing avenue for indigenous peoples organizations
- Establish a recourse mechanism comprising indigenous representatives and GEF Agencies at the local, national, and international levels

The first recommendation of the IPTF issue paper led to the formation of the GEF IPAG in 2013 (box 1.2).

BOX 1.2 The Indigenous Peoples Advisory Group

The IPAG consists of four indigenous representatives from regional indigenous peoples groups who provide advice to the GEF Secretariat on indigenous peoples' issues and coordination for indigenous peoples with the GEF-CSO Network. Other members include an independent representative, and a representative and alternate from a GEF Agency (these have been from the World Bank, the UNDP SGP, and IDB). At points, alternates from the CSO Network have been included. The group meets once or twice a year, though IPAG members, as individuals, have an ongoing role to provide input into meetings and publications, and to attend conferences—including the United Nations Permanent Forum on Indigenous Issues, the CBD COPs, the UNFCCC COPs, the World Conference on Indigenous Peoples, and the World Conservation Congress, at which they often discuss IPAG matters.

Toward the end of the GEF-5 replenishment in mid-2014, the GEF published *Partnership in Practice: Engagement with Indigenous Peoples* with input from the IPAG. This publication provides a concise summary of GEF policy on indigenous peoples and includes a similar analysis of GEF-financed projects as the 2008 *Indigenous Communities and Biodiversity* document, with updated figures. A breakdown of projects by GEF Agency is also provided. The document presents a series of case studies of projects involving indigenous peoples, and a summary of lessons learned and future directions for GEF engagement with indigenous peoples.

In the current GEF-6 replenishment, two publications feature indigenous peoples. In 2016, the GEF published *User Guide: Indigenous Peoples and GEF Project Financing*, a guide to the structure of the GEF, funding guidelines, and thematic areas. The document, drafted with input from the IPAG, covers the processes and application procedures for the SGP, medium- and full-size projects, and the Critical Ecosystem Partnership Fund. It is designed to encourage applications by indigenous peoples organizations and networks as project leads or beneficiaries.

The year 2016 marked the 25th anniversary of the GEF. To mark the occasion, the GEF Secretariat published a comprehensive report, *25 Years of the GEF*, providing broad coverage of GEF history, Agencies, country operations, related conventions, and partners. The report gives significant attention to GEF achievements in developing policies on indigenous peoples, the impacts of GEF-financed projects, and a short section by the chair of the IPAG.

Looking back over these 25 years through GEF Council and Secretariat documents, a growing acceptance of indigenous peoples is evident, both as project beneficiaries and as active partners

(box 1.3). Active engagement occurs through consultation, strategy development, and project design. Increasingly, indigenous peoples are portrayed as custodians of biodiversity, land, and natural resources. While these documents show a lack of specific data on indigenous peoples within GEF-financed projects, the GEF's stance on indigenous peoples is now more nuanced than it was when Minimum Standard 4 was formulated in 2011. GEF publications more fully elaborate project obligations under ILO C169 and the GEF's position on the UNDRIP. At the same time, the participation of indigenous peoples has been secured in GEF consultation structures through the IPAG and the GEF-CSO Network, ensuring that these communities have representation to further develop the GEF's engagement with indigenous peoples.

1.5 "Principles and Guidelines for Engagement with Indigenous Peoples"

"Principles and Guidelines for Engagement with Indigenous Peoples" (GEF 2012b) was published by the GEF for dissemination to stakeholders in three languages. The document brings together current GEF policies on indigenous peoples (principally the GEF Policy on Public Involvement in GEF Projects and the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards), with explanations and intentions regarding further engagement, in response to concerns expressed by indigenous peoples. Consultation was carried out with indigenous peoples during the drafting of the document.

The principles and guidelines are frequently used as a reference in implementation of GEF-funded projects involving indigenous peoples. The survey of SGP national coordinators carried out during this evaluation indicated that 67 percent of the respondents always referred to these principles and guidelines in projects involving indigenous peoples.

BOX 1.3 The Nagoya Protocol

Access to genetic resources and benefits sharing is one area under the CBD requiring close attention by the GEF and others to the rights of indigenous peoples. The Nagoya Protocol fulfills one of the three core objectives of the CBD: "the fair and equitable sharing of benefits arising from the utilization of genetic resources." It is of particular relevance to indigenous peoples and local communities as the first international agreement that governs access to genetic resources, and the fair and equitable sharing of benefits from genetic resources while recognizing the rights, roles, and customary use and traditional knowledge of indigenous peoples and local communities.

Several articles of the Nagoya Protocol recognize indigenous peoples and local communities and traditional knowledge, the interconnectedness of genetic resources and traditional knowledge, diversity of situation and context surrounding traditional knowledge ownership, identification of traditional knowledge owners, and capacity building and awareness generation of indigenous peoples and local communities. The protocol also emphasizes access; participation in equitable benefit sharing; FPIC; and mutually agreed-on terms, community protocols, and model clauses related to access and benefit sharing of traditional knowledge associated with genetic resources.

The Nagoya Protocol Implementation Fund (NPIF) is a multidonor trust fund established in 2011 to support and facilitate "early entry into force of the Protocol and create enabling conditions at national and regional levels for its implementation." The GEF administers and monitors the NPIF-approved projects. Thirteen projects were approved. The NPIF was closed to further projects by a decision of the GEF Council, and Nagoya Protocol activities are now supported by the biodiversity focal area.

While not containing any enforceable standards regarding indigenous peoples over and above what is set out in the antecedent documents, "Principles and Guidelines for Engagement with Indigenous Peoples" does illustrate recognition of the role of indigenous peoples in GEF operational activities, as well as deficiencies in the realization of indigenous peoples' rights, including those associated with the UNDRIP, ILO C169, and the African Commission on Human and Peoples' Rights. The document "acknowledges the importance of the participation and capacity-building of indigenous peoples for the identification, development, implementation, monitoring, and evaluation of projects" (GEF 2012b, 7) and calls for further action to improve inclusion of indigenous peoples in GEF activities. By reinforcing the application of GEF Agency standards at or above Minimum Standard 4, the document is widely perceived to be significant in the GEF's engagement with indigenous peoples.

That said, the principles and guidelines do not provide specific commitments, nor do they contain practical guidance on project design or indicators, or a specific list of requirements that might be useful to aid operationalization of Minimum Standard 4 and other relevant GEF policies.

The document provides internal mechanisms for the GEF to use to uphold the standards proposed in the document. These are summarized and commented upon below.

- **Designation of an indigenous peoples focal point for effective and timely engagement with indigenous peoples.** The GEF appointed an indigenous peoples focal point in 2010, along with a gender focal point, and has maintained the position—though over time, the responsibilities listed for the position have encompassed a wider area of GEF Secretariat operations.

- **Enhanced coordination between GEF partner Agencies, GEF Secretariat staff, and indigenous peoples through the creation of an IPAG.** The IPAG was established in 2013.

- **Review and enhancement of GEF monitoring systems to track the effectiveness of the implementation of GEF policies, procedures, and guidelines related to indigenous peoples.** Adjustments to monitoring have recently been put in place to better track projects involving indigenous peoples within the GEF. However, monitoring of GEF Agency standards and their application remains an area in need of improvement (GEF IEO 2018).

- **Knowledge and capacity development for indigenous peoples to support their active and effective participation in GEF planning, the GEF project cycle, and other relevant processes.** While efforts have been directed at this area, especially through the SGP, it is acknowledged by the IPAG and the GEF that further substantial support will be needed to achieve effective participation of indigenous peoples in GEF processes.

- **Capacity building among GEF Secretariat staff, as well as knowledge development and transfer mechanisms.** Given the scope of work specifically on projects involving indigenous peoples, an indigenous peoples focal point and the allocated staff time is insufficient capacity to fulfill the focal point role as envisaged. As a case in point, while the IPAG fulfills an important communication and dissemination role, no formal system of contact with the larger regional indigenous peoples networks appears to exist within either the IPAG or the GEF Secretariat.

- **Identification and strengthening of financial arrangements to support indigenous peoples and their efforts to protect their rights and**

effectively manage their resources. Access to financing through GEF projects has improved for indigenous peoples, especially with targeted programming from the SGP. Beyond the SGP, however, access to financing remains limited for indigenous peoples due to a range of barriers mentioned in this review, including capacity and application processes.

The principles and guidelines document also provides guidance for the protection of indigenous people's tenure rights:

■ **Where avoidance (of negative impacts) is not possible, adequate mitigation measures should be taken. This will include the preparation of appropriate land tenure evaluations, as needed, protective measures, and social impact assessments, among others.** With regard to the provision on tenure, the level of specificity in the language used should be noted. Use of the phrases "adequate mitigation measures" and "among others" introduces the possibility of flexible responses, but also ambiguity in the interpretation of what constitutes an acceptable measure toward the protection of indigenous peoples' tenure rights. There also appears to be a missed opportunity here to underline the GEF's commitment to a rights-based approach by drawing upon international standards such as those contained in the UNDRIP and ILO C169.

Lastly, it should be noted that Minimum Standard 4 forms the basis of the GEF policy toward indigenous peoples. It makes up a large part of the content within the "Principles and Guidelines for Engagement with Indigenous Peoples." As such, any updating of Minimum Standard 4 would, by extension, require an update to the principles and guidelines document.

1.6 Indigenous Peoples Advisory Group

FORMATION AND REPRESENTATION

As noted, the GEF IPAG was launched in 2013. Its genesis can be traced to recommendations by the IPTF and other stakeholders. The IPTF was formed in July 2011 in response to requests from indigenous peoples and their organizations for clarification regarding various aspects of the GEF's involvement with indigenous peoples. The IPTF was composed of nine indigenous representatives, with support from the GEF Secretariat, the GEF-CSO Network, and an expert consultant on indigenous peoples. The task force provided feedback and recommendations to the GEF Secretariat on the engagement and participation of indigenous peoples.

The task force's first recommendation directly led to the formation of the IPAG. The IPAG consists of seven members: four indigenous representatives, one selected by the GEF-CSO Network to ensure coordination, and the remaining three nominated through meetings and selected by the GEF for geographic balance and experience. Nominations for the three positions are reviewed and endorsed by indigenous leaders and indigenous peoples networks, an expert on indigenous peoples, and two GEF representatives. Most IPAG members' expertise is focused on the biodiversity focal area.

IPAG members and GEF Secretariat staff note that the IPAG's structure was designed to include enough members to have adequate geographic representation of indigenous peoples, while keeping the size manageable for dialogue and consensus building as well as within cost parameters. The structure was to include nonindigenous members with expertise in indigenous projects and programming within implementing Agencies to ensure that the IPAG's approaches are realistic

and harmonized. This has occurred, though to date this breadth of representation has mostly been achieved within the thematic area of biodiversity. Of late, the IPAG has also been focused on issues of indigenous peoples and chemicals and waste.

Members have raised the issue that some geographic areas lack adequate representation in the IPAG, especially the Asia-Pacific region. In response, a provisional agreement has been made to add another indigenous representative from the small island developing states. Regarding gender representation, IPAG members indicate that there is balance and sensitivity. Several members commented that the creation of membership structures that explicitly welcome advice from indigenous elders and youth should be explored by the IPAG in the future.

PURPOSE AND ACCOMPLISHMENTS

The IPAG provides advice to the GEF Secretariat on indigenous peoples' issues including enhancing dialogue among indigenous peoples and the GEF, developing indigenous peoples' capacity to engage in GEF projects and processes, providing inputs to the GEF Secretariat indigenous peoples focal point on policy and practice, providing inputs on resources and tools that can be used to enhance implementation policy and practice in projects involving indigenous peoples, recommendations on financial arrangements to better support indigenous peoples projects and project development, and reaching out to indigenous peoples organizations and communities. In one recent initiative, for example, the IPAG assisted in developing indicators for the GEF Secretariat to better measure benefits and outcomes from GEF-funded projects to indigenous peoples. These are now being used to improve monitoring systems.

Since its inaugural meeting in July 2013, the IPAG has met, on average, twice per year to provide

advice to the GEF Secretariat and to coordinate dissemination of information from the GEF and GEF Agencies to indigenous communities. IPAG members have a continuous role of input into meetings and publications, and have attended annual international meetings to discuss and present issues related to GEF financing and indigenous peoples' development. In particular, the IPAG is noted for its influence on GEF-6 replenishment discussions on programming direction and focal area strategies, and for encouraging further engagement in GEF projects through various international forums including multilateral environmental agreement COPs (particularly CBD COPs 12 and 13 and the UNFCCC), the UN Permanent Forum on Indigenous Issues (from 2014 onward), and the International Union for Conservation of Nature (IUCN) World Conservation Congress. The IPAG and the GEF Secretariat have collaborated on side events, including those with the indigenous peoples caucus/forum of the multilateral environmental agreements; and the GEF Secretariat funded IPAG members and other indigenous representatives to attend the 2014 Fifth GEF Assembly and associated meetings in Mexico. Individually, IPAG members have also been selected to participate in Expanded Constituency Workshops and GEF Council meetings.

The IPAG has made significant contributions to two GEF publications so far, *Partnership in Practice: Engagement with Indigenous Peoples* in 2014 and the 2016 *User Guide: Indigenous Peoples and GEF Project Financing* (both described above). The latter publication was launched at the 15th Session of the United Nations Permanent Forum on Indigenous Issues, attended by IPAG members and the GEF indigenous peoples focal point.

IPAG members themselves point to the following gains for indigenous peoples that can be attributed to the activities of the advisory group:

- Creation of a global and national fellowship program for indigenous peoples with respect to the CBD, the Nagoya Protocol, and climate change. Regarding the former, the first global scholarship recipients were nominated during COP 13.

- Ability to influence action by member states on the principle of FPIC of indigenous peoples regarding potential development projects or other activities carried out on communal lands.

- Inclusion of indigenous women's vision in the development of the GEF's Policy on Gender Mainstreaming (2011).

- Coordination and interaction within a framework of mutual respect with CSOs. Achieving this required intense lobbying by indigenous peoples to achieve the inclusion of indigenous peoples' requests in various CSO declarations.

By all accounts, a key achievement of the IPAG is the establishment of the Indigenous Peoples Fellowship Initiative, under the UNDP-implemented GEF SGP. The fellowship resulted from discussions by the IPAG on increasing access to GEF financing for indigenous peoples through dissemination of information, capacity building, and the development of leadership skills. It has a global and planned national component. At each level, the program is designed to build skills of proven indigenous leaders for sustainable development and environmental issues, within GEF biodiversity conservation and climate change focal areas.

The IPAG is continuing to prepare inputs on indigenous peoples issues for the GEF-7 replenishment process, including establishing the following targets from the June 2016 IPAG meeting (IPAG 2016):

- A review of implementation of the GEF principles and guidelines mechanisms, with a focus on what the IPAG has achieved and what needs to be addressed further

- Indigenous peoples' inputs into GEF-7 policy and programming directions

- Additional trainings related to indigenous peoples at relevant international and national meetings

- Further work on implementing the recommendations of the *User Guide: Indigenous Peoples and GEF Project Financing*

- Enhanced engagement with GEF Agencies, with a focus on their approach and experiences in partnering with indigenous peoples, and how to enhance collaborations

- Consideration of ways that the IPAG can assist in bringing more diverse indigenous peoples' perspectives to intergovernmental systems and forums relevant to the GEF's work

PERCEIVED IPAG LIMITATIONS

While the development of the IPAG has been an overwhelmingly positive step for the GEF's engagement with indigenous peoples, some limitations have been raised during interviews and document reviews that may warrant further development of the IPAG's role and scope of work. These are discussed below, and a few concerns are highlighted in box 1.4.

Communication

Diversity of geographic locations and languages, competing priorities, and—in many cases—limited access to communications technology present challenges for communication to and between indigenous peoples. Some GEF documents are translated into Spanish and French. Predominantly, though, the working documents of the GEF and the IPAG that might be relevant to regional and other indigenous peoples networks are only available in English, the working language of the IPAG. Reaching a wider range of indigenous groups

"Due to a lack of resources, there are persistent problems in translation and interpretation. Within regions, indigenous peoples can communicate relatively easily using the alternative common language. At the same time, it is essential to recognize that we are people of oral tradition. Therefore, alternative means to communication through reports and brochures must be considered."

"The advances we make during these two-day meetings prior to the meeting of CSOs are small but decisive. As there are several issues to be addressed, it would be useful to increase the number of days of these meetings. However, follow-up action to IPAG meetings is minimal because of the lack of resources for this purpose. This creates an environment of frustrated aspirations for indigenous peoples. Nonetheless, it is definitely an accomplishment to be able to count on IPAG as a space to deliberate the realities and challenges of the indigenous people."

"What I am concerned about is the lack of concrete resources to realize and put ideas into practice in order to generate expected benefits for indigenous peoples. Concretely, we do not have a database to know which indigenous peoples organizations are already receiving benefits from the GEF and for what kind of projects."

would require a minimum of Spanish, French, and Portuguese—common languages for a large number of indigenous peoples. Furthermore, recurrent periodic drafting and dissemination of materials to indigenous networks with the assistance of the GEF Secretariat may aid communication outreach.

Expectations as to how IPAG members are to provide feedback to their own regional indigenous peoples networks and organizations are not clearly set out, according to IPAG informants. Given infrastructure, geographic, and language barriers to communication with indigenous peoples, it is vital that the GEF engage with indigenous networks and larger national or cross-border indigenous organizations. Significant indigenous peoples regional networks include the Asia Indigenous Peoples Pact (AIPP), the Indigenous Peoples of Africa Co-ordinating Committee (IPACC), the Coordinadora Indígena de Centro América (CICA), the International Indian Treaty Council (IITC), and the Indigenous Peoples' Biocultural Climate Change Assessment Initiative (IPCCA), among many others.

IPAG members are selected for their knowledge and expertise, not as direct representatives. As it stands, the expectation is to disseminate information about the GEF as and when opportunities arise. The concern is that without clearer expectations regarding the dissemination of IPAG meeting recommendations, materials, and reports, there may be lost opportunities to engage with (and be reinforced by) indigenous peoples at this larger scale. Ensuring that all relevant IPAG minutes and documentation are uploaded and updated on the GEF website would assist with this process, as would consultation with IPAG members and indigenous networks on improving channels of communication.

Capacity

Key informant interviews suggested that the familiarity of IPAG members with the GEF and GEF Agencies is insufficient for informed interaction between the IPAG and the GEF. They noted that this could be addressed through training and dissemination, and through the incorporation of systems that further define and formalize communication

and roles between the IPAG and the GEF. IPAG members indicated that there were still not enough financial resources or sufficient time allocated, aside from travel and meeting days, to fully implement such a system. Interviewees also pointed to the challenge posed by the two-year term, the limited orientation of new members, and the loss of capacity when earlier IPAG members leave without succession plans.

Role delineation

The IPAG is a consultation mechanism, providing policy advice or operational recommendations to the GEF. It has a lesser role in providing technical inputs, or inputs on human rights approaches and political issues intrinsic to engaging with indigenous peoples. Some key informants see this as limiting. While an important milestone in its own right, the IPAG appears to these individuals to be less optimally positioned to encourage enhancements to the GEF's engagement with indigenous peoples and to represent indigenous peoples within GEF activities. Recently, two indigenous peoples focal points from the GEF-CSO Network have joined the IPAG, paving the way for greater advocacy and coordination through the GEF-CSO Network. However, according to those close to the IPAG at an operational level, greater involvement is ultimately limited by the level of resourcing assigned to the advisory group.

It was also noted by key informants that with increased resources the IPAG's role could extend to include communication with indigenous peoples involved in GEF-funded projects within an IPAG member's country or region.

Staffing capacity in the GEF Secretariat and Agencies

Interviewees highlighted the lack of dedicated staff experienced in indigenous peoples' issues in the GEF. In some GEF Agencies, this reportedly results in focal points being stretched in their ability to meet competing responsibilities and address inputs from indigenous peoples.

Capacity within indigenous peoples networks

In general, knowledge of how to engage with the larger GEF partnership is not well established. IPAG members see a need to address issues of capacity within indigenous peoples' leadership and networks with a view to improving engagement with the GEF and GEF Agencies, improving the effectiveness and range of inputs at a project level, and with a view to disseminating experience and knowledge from indigenous peoples who have been involved in processes at regional and international levels, including past and present IPAG members.

2: GEF indigenous peoples safeguard

2.1 Background

The GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards was launched in November 2011. The development of these safeguards can be traced to the increase in the number of GEF Agencies being accredited, and to a heightened level of recognition across the partnership that projects may have unintended negative consequences or trade-offs wherein fundamentally positive impacts have unintended negative consequences. As such, the need for a minimum level of social and environmental compliance in GEF-funded projects across the multiple Agencies of differing geographic and implementation focus became an obvious requirement.

The "Policy on Agency Minimum Standards on Environmental and Social Safeguards" was published in a provisional version in May 2011. After comments from key stakeholders (primarily the GEF-CSO Network, GEF Council members, and some additional CSOs), further efforts were made to strengthen provisions regarding indigenous peoples. This resulted in significant additions to the safeguards regarding indigenous peoples, both in the overview and implementation sections, and in the core text of Minimum Standard 4: Indigenous Peoples.

The GEF safeguards were largely developed from World Bank safeguards. The specific section on indigenous peoples, Minimum Standard 4, had its foundation in the widely referenced World Bank Operational Policy (OP) 4.10: Indigenous Peoples. In several aspects, GEF Minimum Standard 4 builds on OP 4.10 to provide increased relevance to GEF activities.

The GEF minimum standards do not prescribe the formulation of Agency policies. Rather, they provide a range of obligations to GEF Agencies regarding indigenous peoples. Minimum Standard 4 asks that the Agencies

- Ensure the quality of community consultations;

- Undertake environmental and social assessments;

- Provide appropriate and inclusive community benefits through projects;

- Include indigenous peoples in planning and benefits where restricted access to protected areas occurs;

- Confirm prior agreement in use of cultural resources or knowledge of indigenous peoples;

- Ensure the development of specific comprehensive plans for indigenous peoples affected by projects;

- Disclose consultation processes and the indigenous peoples plan in an accessible manner;

- Monitor benefits and negative impacts of projects on indigenous peoples by social scientists.

The document states that the GEF requires free, prior, and informed consultation where it is required as a consequence of a country's ratification of ILO C169.

It should also be noted that, as the GEF safeguards were modeled after the World Bank's safeguards, the GEF Secretariat recommended that the World Bank be considered as having met the newly drafted GEF Agency Minimum Standards on Environmental and Social Safeguards.[1]

2.2 GEF Agency comparative analysis

The evaluation team carried out a comparative analysis of the wording of Agency safeguards for indigenous peoples to examine consistency with Minimum Standard 4 in detail.

At the time of the GEF safeguards publication, the landscape of GEF Agency safeguards for indigenous peoples was significantly less developed than it is today. A review of the summaries of Agency safeguards and limitations shows that many GEF Agencies have either added or updated provisions, including specific safeguards on indigenous peoples, in the years following publication of Minimum Standard 4. These developments are illustrated in table 2.1. The table shows that Minimum Standard 4 was published in 2011, while 11 of the 17 GEF Agencies included in the comparison have safeguards published in 2015 or later.

Many key informants have asserted that GEF Minimum Standard 4, in its current wording, has outlived its utility and needs to be updated to again

demonstrate leadership within the partnership. As it is, the foundational World Bank OP safeguards, published 12 years ago, are about to be superseded by new World Bank Environmental and Social Standards (ESSs) in 2018 (table 2.1).

In reviewing Minimum Standard 4, a comparison has been made between the nine key provisions set out by the GEF in the Minimum Standard 4 section and the wording of provisions among 17 GEF Agency indigenous peoples safeguard policies. One Agency, the Foreign Economic Cooperation Office of the Ministry of Environmental Protection of China (FECO), is excluded from this analysis due to the agreement between the GEF and FECO that no projects affecting indigenous peoples will be proposed by the Agency, due to inapplicability of the minimum standards.[2] The comparison includes two policies from the World Bank: the current OP 4.10 and ESS 7, Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities, applied from 2018 onwards—hence, 18 policies in total across the 17 Agencies. A summary of this comparison is contained in table 2.2.

It should be noted that though Agencies are expected to meet conditions within the safeguards, the GEF does not prescribe the wording of GEF Agency safeguard policies. Table 2.2 therefore indicates the extent of comparable wording and provisions within Agency policies, not safeguard compliance within projects. However, where inconsistencies between safeguard policies occur, additional focus or provisions would be expected to mitigate any potential risks.

In general, the wording of GEF Agencies' safeguard policies are in alignment with the requirements of GEF Minimum Standard 4. Of the nine provisions of Minimum Standard 4, Agencies

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[1] "[B]ecause the GEF's minimum safeguard standards are derived from World Bank safeguard policies, and the World Bank already has a best-practice accountability system, the Secretariat recommends that the Council note that the Bank already meets the proposed minimum standards" (GEF 2011, para. 5).

[2] See GEF (2015), section 4.03.

TABLE 2.1 **GEF and Agency indigenous peoples safeguards, by year published**

GEF Agency	Policy	Year published
GEF	Minimum Standard 4	2011
Asian Development Bank (ADB)	Safeguard Requirements 3: Indigenous Peoples	2009
African Development Bank (AfDB)	Integrated Safeguards System	2013
Brazilian Biodiversity Fund (FUNBIO)	Indigenous Peoples Policy	2013
Conservation International (CI)	Environmental and Social Management Framework Policy 4	2015
Development Bank of Latin America (CAF)	Environmental and Social Safeguards for CAF/ GEF Projects	2015
Development Bank of Southern Africa (DBSA)	Social Safeguard Standard 4: Community Stakeholders and Vulnerable Groups	2015
European Bank for Reconstruction and Development (EBRD)	Performance Requirement 7: Indigenous Peoples	2014
Food and Agriculture Organization of the United Nations (FAO)	Environmental and Social Standard 9: Indigenous Peoples and Cultural Heritage	2015
Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO)[a]	Environmental and Social Safeguard Framework	2015
Inter-American Development Bank (IDB)	Operational Policy on Indigenous Peoples	2006
International Fund for Agricultural Development (IFAD)	Engagement with Indigenous Peoples Policy	2009
International Union for Conservation of Nature (IUCN)	Environmental and Social Management System Standard on Indigenous Peoples	2016
United Nations Development Programme (UNDP)	Social and Environmental Standard 6: Indigenous Peoples	2017
United Nations Environment Programme (UNEP)	Safeguard Standard 5: Indigenous Peoples	2015
United Nations Industrial Development Organization (UNIDO)	Operational Safeguard 4: Indigenous Peoples	2015
West African Development Bank (BOAD)	Operational Policy 8: Indigenous Peoples	2015
World Bank up to 2018	Operational Policy 4.10: Indigenous Peoples	2005
World Bank	Environmental and Social Standard 7: Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities	2016
World Wildlife Fund (WWF)	Indigenous Peoples Safeguard	2015

a. Not included in comparison.

show high levels of conformity in the areas of environmental and social impact assessments, appropriate socioeconomic benefits, indigenous peoples plans, and document disclosure (requirements 2, 3, 6, and 7 in table 2.2).

In the areas of consultation, participation, and the application of FPIC (requirements 1 and 9 in table 2.2), the wording of GEF Agency safeguards tends to exceed Minimum Standard 4 provisions by insisting on greater protections for indigenous peoples or greater participation within project frameworks. To a lesser extent, Minimum

TABLE 2.2 Summary of Agency conformity with GEF Minimum Standard 4

Requirement	Agency conformity		
	Exceeds	Consistent	Partial
1. Undertake free, prior, and informed consultations with affected IPs to ascertain their broad community support for projects affecting them and to solicit their full and effective participation in designing, implementing, and monitoring measures to (a) ensure a positive engagement in the project; (b) avoid adverse impacts, or when avoidance is not feasible, minimize, mitigate, or compensate for such effects; and (c) tailor benefits in a culturally appropriate way (para. 36).	BOAD, CI, DBSA, FAO, FUNBIO, IFAD, IUCN, UNDP, WWF	ADB, AfDB, CAF, EBRD, IDB, UNEP, UNIDO, WB (4.10), WB (ESS 7)	
2. Undertake environmental and social impact assessment, with involvement of IPs, to assess potential impacts and risks when a project may have adverse impacts (para. 37).	UNDP	ADB, AfDB, BOAD, CAF, CI, DBSA, EBRD, FAO, FUNBIO, IDB, IFAD, IUCN, UNEP, UNIDO, WB (ESS 7), WWF	WB (4.10)
3. Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected indigenous peoples for provision of benefits and mitigation measures (para. 38).		ADB, AfDB, BOAD, CI, CAF, DBSA, EBRD, FAO, FUNBIO, IDB, IFAD, IUCN, UNDP, UNEP, UNIDO, WB (4.10), WB (ESS 7), WWF	
4. If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas (para. 40).	ADB, FAO, UNDP, UNIDO, WB (ESS 7)	BOAD, CAF, CI, DBSA, EBRD, FUNBIO, IDB, IFAD, IUCN, UNEP, WB (4.10), WWF	AfDB
5. Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement (para. 41).	EBRD, UNIDO, WB (4.10), WB (ESS 7)	ADB, BOAD, CAF, CI, DBSA, FAO, FUNBIO, IDB, IFAD, IUCN, UNDP, WWF	AfDB, UNEP
6. Where the economic or social impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework that (a) specifies measures to ensure that affected IPs receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected IPs (para. 42).		ADB, BOAD, CAF, CI, DBSA, EBRD, FAO, FUNBIO, IDB, IFAD, IUCN, UNDP, UNEP, UNIDO, WB (4.10), WB (ESS 7), WWF	AfDB
7. Disclose documentation of the consultation process and the required IP plan or framework, in timely manner, before appraisal formally begins, in a place accessible to key stakeholders, including project affected groups and CSOs, in a form and language understandable to them (para.43).		ADB, BOAD, CAF, CI, DBSA, EBRD, FAO, FUNBIO, IDB, IFAD, IUCN, UNDP, UNEP, UNIDO, WB (4.10), WB (ESS 7), WWF	

(continued)

TABLE 2.2 Summary of Agency conformity with GEF Minimum Standard 4 *(continued)*

Requirement	Agency conformity		
	Exceeds	Consistent	Partial
8. Monitor, by experienced social scientists, the implementation of the project (and any required IP plan or framework) and its benefits as well as challenging or negative impacts on indigenous peoples and address possible mitigation measures in a participatory manner (para. 44).	FAO, FUNBIO, IFAD, UNDP, WWF	ADB, BOAD, CAF, CI, DBSA, EBRD, IDB, IUCN, UNEP, UNIDO, WB (4.10), WB (ESS 7)	AfDB
9. GEF safeguards require FPIC where it is required by virtue of ratification of ILO C169. Must document mutually accepted consultation process and evidence of agreement as outcome of process (Agency Minimum Standard Key Principles, para. 23).	ADB, BOAD, CI, DBSA, EBRD, FAO, FUNBIO, IDB, IFAD, IUCN, UNDP, UNEP, UNIDO, WB (ESS 7), WWF	CAF, WB (4.10)	AfDB

NOTE: AfDB = African Development Bank; BOAD = West African Development Bank; CI = Conservation International; CAF = Development Bank of Latin America; DBSA = Development Bank of Southern Africa; EBRD = European Bank for Reconstruction and Development; FUNBIO = Brazilian Biodiversity Fund; IPs = indigenous peoples; UNEP = United Nations Environment Programme; UNIDO = United Nations Industrial Development Organization.

Standard 4 standards are also exceeded in terms of access, participation, and benefits in protected areas, the use of cultural resources and traditional knowledge, and the monitoring of GEF-funded projects (requirements 4, 5, and 8 in table 2.2).

The comparison highlighted one case where the United Nations Environment Programme (UNEP) and World Bank OP 4.10 appear to provide a lesser degree of protection than provisions of GEF Minimum Standard 4—regarding the protection of intangible culture and environmental and social impact assessment, respectively (requirements 5 and 2 in table 2.2). It should be noted that there is a lack of clarity over the minimum standards' application to World Bank projects, as discussed below under Safeguard application and monitoring.

In the case of the African Development Bank (AfDB), five instances were identified where the wording of safeguard policy did not appear to provide the same level of protection as stated in Minimum Standard 4 (requirements 4, 5, 6, 8, and 9 in table 2.2). An explanation of the documents reviewed and specific issues raised regarding these instances is provided in annex E.

Apparent safeguard inconsistencies, as noted above, do not reflect noncompliance in project implementation. They can only be interpreted as wording differences warranting attention to ward against the risk of a material difference in implementation.

The GEF is expected to detect discrepancies through a process of periodic compliance monitoring, as specified in its current policy document (GEF 2016a).

Regarding application of Minimum Standard 4, Agencies found noncompliant by independent assessment at the time the GEF Minimum Standard 4 policy was written (late 2011) were expected to upgrade their safeguards to meet the requirements for the current (GEF-6) replenishment cycle. According to the GEF Secretariat, all Agencies have satisfied these requirements at the time of writing. As per the Monitoring Policy of 2016

introduced at the 51st Council meeting, future self-assessments and risk-based third-party reviews are expected to take place with each replenishment cycle, starting with the final year of GEF-7, 2022.

The evaluators were not able to assess the adequacy of Agency monitoring systems regarding Minimum Standard 4, except to note from Agency interviews that the development of these systems is in the formative stages in several instances and yet to be developed in others.

2.3 Minimum Standard 4

Analysis of Minimum Standard 4 is divided into the following areas: design elements, identification of indigenous peoples, consultations, consent and participation, alignment with human rights, and safeguard application and monitoring. The analysis is based on a review of safeguard documents and the commentary of key informants familiar with them.

DESIGN

Minimum Standard 4 and some GEF Agency safeguards related to indigenous peoples provide clear and concise standards and guidance. Reviewed against criteria including utility and clarity, it was noted that some Agency safeguards were designed with concise language and subsections that made comparison and implementation options clear. Others were more difficult to analyze because of a lack of concise language and standards set out across multiple documents.

IDENTIFICATION OF INDIGENOUS PEOPLES

Minimum Standard 4 establishes criteria regarding the identification of indigenous peoples within project areas, as follows:

(Indigenous peoples) are identified through criteria that reflect their social and cultural distinctiveness. Such criteria may include: self-identification and identification by others as indigenous peoples, collective attachment to land, presence of customary institutions, indigenous language, and primarily subsistence-oriented production. (GEF 2011, para. 35)

Organizations such as the African Commission on Human and Peoples' Rights, the ILO, and the UN provide a widely accepted range of criteria to identify indigenous peoples, while avoiding exacting definitions that may prove difficult given the diversity of indigenous peoples and the lack of recognition of such groups in some states. A number of GEF Agencies present a fuller explanation than the GEF within their safeguard policies on the identification of indigenous peoples. One in particular is the UNDP in its Social and Environmental Standards. These standards reduce possible inconsistencies in national application of the term by stating

For purposes of this Standard, "indigenous peoples" refers to distinct collectives, regardless of the local, national, and regional terms applied to them, who satisfy any of the more commonly accepted definitions of indigenous peoples. (UNDP 2014, 37)

Overall, then, there appears to be scope for the GEF to either expand its own criteria or directly reference other widely accepted international criteria for identifying indigenous peoples to ensure clarity by all stakeholders. This would ensure that project-implementing bodies and states have greater clarity as to when to apply Minimum Standard 4. This is of particular relevance in countries where states do not recognize indigenous peoples and/or dispute their identification in national projects.

CONSULTATIONS, CONSENT, AND PARTICIPATION

There are several observations on these aspects of engagement.

- **FPIC coverage.** Currently, the GEF requires FPIC approaches only from ILO C169 signatory states (see following discussion on human rights). By contrast, the Agency safeguard policies of the West African Development Bank, Conservation International, the Development Bank of Southern Africa, the Brazilian Biodiversity Fund (FUNBIO), IFAD, FAO, IUCN, UNEP, the United Nations Industrial Development Organization (UNIDO), and WWF have put in place mandatory FPIC processes for all projects involving indigenous peoples. Also, the European Bank for Reconstruction and Development, UNDP, and World Bank ESS 7 require FPIC for projects involving a potential loss of land, natural resources, and cultural heritage, and those involving resettlement.

- **Expectations on Agencies regarding alignment.** The minimum standards state that "GEF Partner Agencies will rely on their systems for consultation with indigenous peoples" (para. 24). Expectations regarding the quality of engagement vis-à-vis the minimum standards are not spelled out, however.

- **Indigenous peoples' participation in project processes.** While the application of environmental and social impact assessments is clearly defined in Minimum Standard 4, and the involvement of indigenous peoples in such assessments is mandated, the level of participation is not well defined, as illustrated below:

  (Agency is to) undertake the environmental and social impact assessment, with involvement of indigenous peoples, to assess potential impacts and risks when a project may have adverse impacts. Identify measures to avoid, minimize

and/or mitigate adverse impacts. (GEF 2011, para. 37)

Some GEF Agencies have specified the level of required participation by indigenous peoples. The UNDP Social and Environmental Standards, for example, require that

Projects with potentially significant adverse impacts require a full social and environmental assessment conducted by an independent and capable entity. Reviews and assessments will be conducted transparently and with the full, effective and meaningful participation of the indigenous peoples concerned. (UNDP 2014, 38)

Further, a number of GEF Agency safeguards (including those of FAO, FUNBIO, IFAD, UNDP, and WWF) require the participation of indigenous peoples in project monitoring processes. Precedents exist within the GEF partnership for elaborating indigenous peoples' participation in project processes beyond what is currently set out in Minimum Standard 4.

Regarding terminology, some ambiguity exists around the GEF's use of the term "free, prior, and informed *consultations*," a term borrowed from World Bank operational policies that includes elements of but is not the same as "free, prior and informed consent"—the exact wording behind FPIC. While the construction of the term "free, prior, and informed consultations" indicates a positive relation to elements of FPIC, opting for such a term introduces opacity. In content and in use as an acronym, the phrase is similar, but the meaning is emphatically different; it lacks the element of consent. As the GEF is promoting an engagement with indigenous peoples that is transparent and participatory, wording along the lines of "consultations that are free, prior and informed" would give more clarity to the GEF's position.

That said, it is important to note that while the use of "free, prior, and informed consultations" lacks

the requirement for consent, the minimum standards also state that GEF partner Agencies must "ensure that such consultations result in broad community support for the GEF-financed operation being proposed." This suggests that what is called for is consent. As such, adopting an inclusive approach to FPIC may be unlikely to generate operational changes, as it seems unlikely that the GEF would finance projects that lack community consent (within the accepted definitions of *consent* that align with broad agreement, and not unanimity).

HUMAN RIGHTS

While the GEF minimum standards sought to address requests from the GEF-CSO Network and others to clarify the GEF's relationship with the UNDRIP and ILO C169,[3] little explanation of the relationship is given in the document itself. More context is provided in subsequent GEF Secretariat publications. By contrast, FUNBIO, UNDP, and WWF directly reference provisions set out in the UNDRIP in the application of safeguards for indigenous peoples; and FAO, IUCN, and UNIDO link to specific aspects of the UNDRIP.

The GEF "Principles and Guidelines for Engagement with Indigenous Peoples" does state that the GEF "supports the realization of the provisions articulated in the Declaration, and believes that GEF-financed projects can positively contribute to the realization of the principles of the Declaration." However, the nature of this support remains undefined in GEF publications and is yet to be reflected in other GEF policies.

The analysis carried out for this review, and summarized in table 2.3, shows that UNDRIP Article

29(1) broadly encapsulates much of the GEF's approach with indigenous peoples. As such, it paves the way for defining a rights-based approach within the GEF partnership, bringing clarity to the alignment that exists between the GEF's policy positions vis-à-vis the provisions of the UNDRIP. It says that

> indigenous peoples have the right to the conservation and protection of the environment and the productive capacity of their lands or territories and resources. States shall establish and implement assistance programmes for indigenous peoples for such conservation and protection, without discrimination.

The minimum standard's adoption of "free, prior and informed consent for GEF-financed projects for which FPIC is required by virtue of the relevant state's ratification of ILO Convention 169" (para. 22) shows one area of linkage between human rights mechanisms and Minimum Standard 4. While FPIC is not specifically referred to within the ILO C169's text, consultation with the objective of "achieving agreement or consent" is guaranteed under Article 6, and Article 7 affirms the right of indigenous peoples to

> decide their own priorities for the process of development as it affects their lives, beliefs, institutions, and spiritual well-being and the lands they occupy or otherwise use, and to exercise control, to the extent possible, over their own economic, social, and cultural development.

Hence, taken in context with Articles 14–17 containing specific provisions on land and natural resources and rulings by the Inter-American Court of Human Rights on the application of FPIC, signatory states are compelled to obtain indigenous peoples' consent for all projects affecting them.[4] As such, the GEF's adoption of FPIC in these

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[3] The UNDRIP is a nonbinding international convention signed by nearly all UN member states and adopted by the General Assembly. ILO C169 is a binding convention signed by 22 states, 15 of which are in Latin America.

[4] See e.g., *Saramaka People v. Suriname*, Inter-Am. Ct. H.R. (Ser. C) No. 172, Judgment of November 28, 2007, or Kichwa Indigenous People of Sarayaku v. Ecuador, Inter-Am. Ct. H.R., Judgment of June 27, 2012.

TABLE 2.3 Corresponding areas between GEF Minimum Standard 4 and the UNDRIP

GEF Minimum Standard 4	Corresponding UNDRIP article
Para. 38: Provide socioeconomic benefits in ways that are culturally appropriate, and gender and generationally inclusive. Full consideration should be given to options preferred by the affected indigenous peoples for provision of benefits and mitigation measures.	Article 21(2): States shall take effective measures and, where appropriate, special measures to ensure continuing improvement of their economic and social conditions. Particular attention shall be paid to the rights and special needs of indigenous elders, women, youth, children, and persons with disabilities.
Para. 40: If access restriction to parks and protected areas, ensure that affected IPs fully and effectively participate in the design, implementation, monitoring, and evaluation of management plans for such areas and share equitably in benefits from the areas.	Article 32(1): Indigenous peoples have the right to determine and develop priorities and strategies for the development or use of their lands or territories and other resources.
Para. 41: Refrain from utilizing cultural resources or knowledge of IPs without obtaining prior agreement.	Article 31(1): Indigenous peoples have the right to maintain, control, protect, and develop their cultural heritage, traditional knowledge, and traditional cultural expressions, as well as the manifestations of their sciences, technologies, and cultures, including human and genetic resources, seeds, medicines, knowledge of the properties of fauna and flora, oral traditions, literatures, designs, sports and traditional games, and visual and performing arts. They also have the right to maintain, control, protect, and develop their intellectual property over such cultural heritage, traditional knowledge, and traditional cultural expressions.
Para. 42: Where the economic or social impact assessment identifies adverse effects on IPs, Agency policies require that the project develop an IP plan or a framework that (a) specifies measures to ensure that affected IPs receive culturally appropriate benefits and (b) identifies measures to avoid, minimize, mitigate, or compensate for any adverse effects, (c) includes measures for continued consultation during project implementation, grievance procedures, and monitoring and evaluation arrangements, and (d) specifies a budget and financing plan for implementing the planned measures. Such plans should draw on indigenous knowledge and be developed in with the full and effective participation of affected IPs.	Article 18: Indigenous peoples have the right to participate in decision making in matters which would affect their rights, through representatives chosen by themselves in accordance with their own procedures, as well as to maintain and develop their own indigenous decision-making institutions.

NOTE: IP/IPs = indigenous peoples.

countries appears to be a necessity rather than a choice.

Additionally, while Minimum Standard 4 (para. 22) states that "there is no universally accepted definition of FPIC," it is also the case that in Latin American signatory states to ILO C169, there is domestic and regional jurisprudence providing a clear basis for FPIC processes, and

FPIC processes have been clarified by various UN agencies and CSOs.[5] A key reference in this regard is the United Nations Development Group's FPIC guidelines that form Annex 2 of the GEF

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[5] For example, see UN-REDD Programme (2013) and FAO (2016).

"Principles and Guidelines for Engagement with Indigenous Peoples."

SAFEGUARD APPLICATION AND MONITORING

The minimum standards note that for projects in ILO C169 nonsignatory states, "GEF Partner Agencies will rely on their [own] systems for consultation with indigenous peoples and will ensure that such consultations result in broad community support for the GEF-financed operation being proposed" (GEF 2011, para. 24). In this context, the way Agencies monitor consultation and project implementation is up to them. Indeed, there is no requirement that Agencies report to the GEF on compliance with safeguards, including those of Minimum Standard 4.

The GEF IEO's review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards recommended that the GEF consider tracking and/or providing independent control checks of consultation procedures under partner agencies (GEF IEO 2018; see box 2.1).

On another note, the minimum standards, as pointed out earlier, recommend excluding the World Bank from assessment in demonstrating compliance with GEF safeguards. However, there is a lack of clarity regarding the active application of the minimum standards to the World Bank:

> [The] GEF will apply the standards in an equitable manner to all GEF Partner Agencies. However, because the GEF's minimum safeguard standards are derived from World Bank safeguard policies, and the World Bank already has a best-practice accountability system, the Secretariat recommends that the Council note that the Bank already meets the proposed minimum standards. (GEF 2011, ii)

While this approach may reduce administration in terms of applying similar safeguards, it is also the case that the two institutions are separate and

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BOX 2.1 Recommendation from Review of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards

Recommendation 2: Improve safeguards monitoring and reporting. The GEF should consider tracking social and environmental risks at the portfolio level and ensuring a "flow-through" of monitoring information on safeguards implementation. Agencies should inform the GEF of the safeguards risk categorization assigned to projects/programs and keep the GEF informed of safeguards implementation issues monitoring and reporting. Where available, this should ideally build off Agency systems rather than duplicating them. The GEF could issue guidance regarding safeguards-related reporting in annual reporting and program/project evaluations. Increased GEF attention to safeguards implementation reporting may support and strengthen relatively new safeguards systems among some GEF Agencies and promote greater consistency (GEF IEO 2018, x).

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have independently developed and approved their safeguards. It would have been more transparent to apply all minimum standard processes equally to all GEF Agencies. During the drafting of the World Bank's ESS 7, the Agency faced criticism from indigenous peoples organizations.[6] In this instance, elements of the approved ESS 7, including the necessity for indigenous peoples plans obligated under Minimum Standard 4, appeared less robust than what is contained in OP 4.10.[7]

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[6] For examples, see submissions from IWGIA (2014); the Asia Indigenous Peoples Pact and Forest Peoples Programme (2015); and the ILC Secretariat (2015) for compiled feedback.

[7] See, e.g., Forest Peoples Programme (2016b) and the U.S. government's response to the World Bank's safeguard policies (U.S. Department of the Treasury 2016).

The concern here is that Agency safeguarding processes, including those of the World Bank, are largely evolving independently of each other. As such, to not apply the GEF minimum standards universally to all Agencies—including the World Bank—increases the risk over time of financing GEF projects with substandard safeguard applications.

Finally, regarding FECO, while a moratorium on GEF financing of FECO projects involving indigenous peoples may have been agreed upon by both parties, China has a high population of indigenous peoples: almost one-third of the world's indigenous peoples, by International Work Group for Indigenous Affairs estimates.[8] The GEF Secretariat's position regarding the moratorium is that FECO has the same opportunity as other Agencies to submit materials supporting its eligibility to undertake projects that engage indigenous peoples.

CONCLUDING REMARKS

As highlighted earlier in the section, GEF Minimum Standard 4 provided an important baseline in 2011 for Agency activities at a time when safeguards for indigenous peoples were less well developed across the GEF's partner Agencies. Minimum Standard 4 has been a basis for the progressive development and acceptance of indigenous peoples' rights, manifested in revised policies among GEF Agencies. Today, there is a high level of consistency between Minimum Standard 4 and GEF Agency safeguards. Indeed, a number of GEF Agencies have exceeded the requirements of Minimum Standard 4, especially—as

discussed above—in the areas of consultation; defined participation; the application of FPIC; and the acceptance and support of various international human rights mechanisms, principally the UNDRIP.

As an organization, the GEF has continued to be a proponent of progressive scientific and technical approaches to environmental conservation, management, and adaptation, an approach that has recognized and embraced the enormous contribution of indigenous peoples to environmental conservation and management practices. That said, this commitment remains an area that could be better reflected in GEF safeguards, and could further influence the recognition of indigenous peoples' rights and roles in the realization of environmental conservation efforts.

More specifically, in any future GEF policies pertaining to indigenous peoples, consideration should be given to either clarifying the GEF position on the use of FPIC universally, or to defining the GEF's position on indigenous peoples' right to self-determination, a core component of FPIC principles that links to many of the provisions within the UNDRIP and ILO C169. Additionally, further linkages could be made from current Minimum Standard 4 requirements and any future safeguard development to the International Covenant on Economic, Social, and Cultural Rights and to the International Covenant on Civil and Political Rights, both of which are widely applied and have relevance to all projects partnered with communities.

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[8] See Hall and Patrinos (2010), 9–11; and IWGIA (2017).

3: **Portfolio analysis**

3.1 Methodology

For portfolio development, the concept of "indigenous peoples" is interpreted broadly within the GEF partnership to include projects that have engagement activities with indigenous peoples, traditional local communities, tribes, ethnic minorities, and other groups that share the same ancestry, culture, language, and social status.

The evidence presented in the following analysis draws on two interrelated sources:

- **Documents in the GEF PMIS.** These include project documents, the safeguard data sheet, and project review sheets. This review was used as a starting point for developing the indigenous peoples portfolio. The final portfolio is derived from a combination of a GEF Secretariat list, a new list developed in 2017, and a list of projects provided by the terminal evaluation review team in June 2017.[1]

- **The GEF IEO's internal project performance portfolio (the Terminal Evaluation Review Database).** This database contains ratings on the outcomes, sustainability, and efficiency of projects that have been evaluated through the IEO's annual performance reports. One hundred and eighty-eight of the 426 GEF indigenous peoples projects are included in the IEO's database, with 181 projects having ratings on project outcomes. The other seven projects did not have sufficient information on the terminal evaluation reports to assign performance ratings. Using this information on project performance, this study compared the relative performance of projects that engaged indigenous peoples with the overall GEF portfolio along the dimensions of outcomes, likelihood of sustainability, and outcome efficiency.

3.2 Portfolio highlights

Analysis of the GEF portfolio ranges from the pilot phase to midway through GEF-6 (projects approved as of September 30, 2016) and shows that projects that engage indigenous peoples are gaining in presence and are performing comparably. Highlights of the analysis include the following:

- By number of projects and by investment, the proportion of full- and medium-size projects that include indigenous peoples has increased substantially since the beginning of the GEF.

- At the same time, project holders have improved their ability to leverage cofinancing for projects engaging indigenous peoples.

- Most of the projects involving indigenous peoples fall into the full-size category, and have been implemented by just four of the GEF accredited agencies: FAO, UNDP, UNEP, and the World Bank.

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[1] For details on the methodology followed in establishing the portfolio, see annex A.

- Over half of funded projects fall into the bio-diversity focal area, though a shift is evident toward a greater concentration of projects engaging indigenous peoples in the climate change and multifocal areas.

- The greatest number of projects and the largest concentration of investment occurs in Latin America and the Caribbean.

- Two-thirds of all projects identified with indigenous peoples show "limited" participation or "moderate" involvement of indigenous peoples; thus far, projects exclusively driven by indigenous peoples are in the minority.

- In the last two GEF cycles, performance lags between indigenous peoples–focused projects and the GEF portfolio have been replaced by consistently high levels of satisfaction across the two groups.

- Outcome performance levels have been highest across indigenous peoples projects focused on land degradation, climate change, and biodiversity; and among projects operating globally and in Latin America and the Caribbean.

- Indigenous peoples projects are comparable to the GEF portfolio in their likelihood of being

sustainable; however, attaining sustainability poses a challenge for the portfolio as a whole, with just over half of projects showing a moderate likelihood or greater of being sustainable.

- On project efficiency, indigenous peoples projects measure comparably with the GEF portfolio; though there is scope for improvement, with over half rated as moderately satisfactory or lower.

3.3 Portfolio trends

The indigenous peoples portfolio (annex B) identified for OPS6 comprises 426 projects within a time frame spanning from the pilot phase to midway through GEF-6. The portfolio represents approximately 10 percent of the 4,319 projects approved as of September 30, 2016. From a financial perspective, this portfolio comprises about 11 percent of the total GEF portfolio investment across focal areas.

Among the 426 projects, 304 are full-size projects (71 percent) and 122 are medium-size projects (29 percent). Together, they represent $2.503 billion in GEF grant investments and $12.893 billion in cofinancing.

Trends in project number and grant amount are presented in figure 3.1. The figure shows a

FIGURE 3.1 Comparison of investment volume and number of projects, by GEF replenishment period
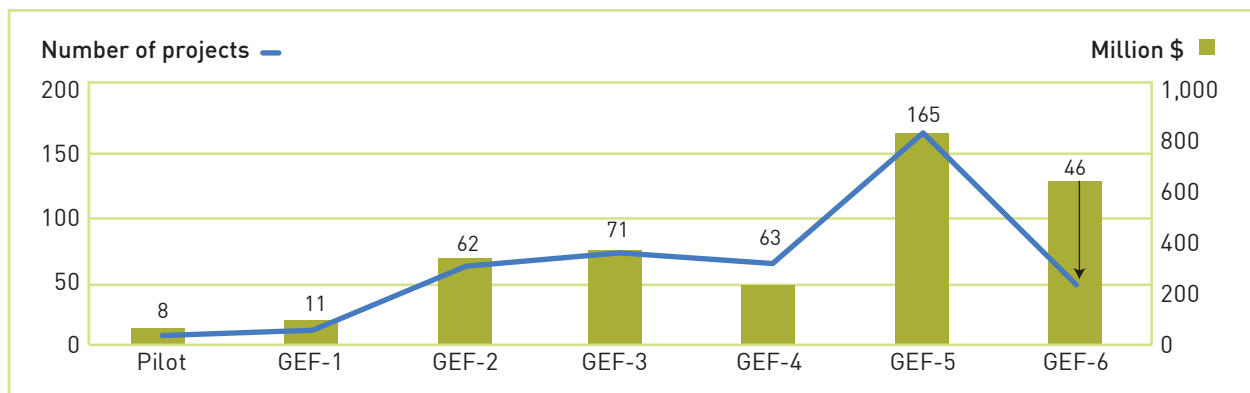
NOTE: Data for GEF-6 are as of September 30, 2016.

prominent increase in numbers and dollars from GEF-4 to GEF-5. However, that there is some uncertainty about the exact number of projects with indigenous peoples' involvement and their actual investment amount due to the lack of systematic tagging in the PMIS.

The lead implementing Agencies in this portfolio, in order of magnitude, are UNDP (44 percent), the World Bank (23 percent), UNEP (14 percent), and FAO (8 percent). The remaining 11 percent of projects were implemented by ADB, AfDB, IDB, UNIDO, FUNBIO, Conservation International, IUCN, IFAD,

and WWF. Figure 3.2 presents the number of projects and the corresponding GEF grant amount and cofinancing amount by implementing Agency.

3.4 Modality and focal area

In the indigenous peoples portfolio, 304 projects are full size (71 percent), and 122 projects medium size (29 percent). As shown in figure 3.3, full-size projects greatly outnumber medium-size projects in terms of GEF grant amount and cofinancing amount.

FIGURE 3.2 Distribution of indigenous peoples projects, by GEF Agency
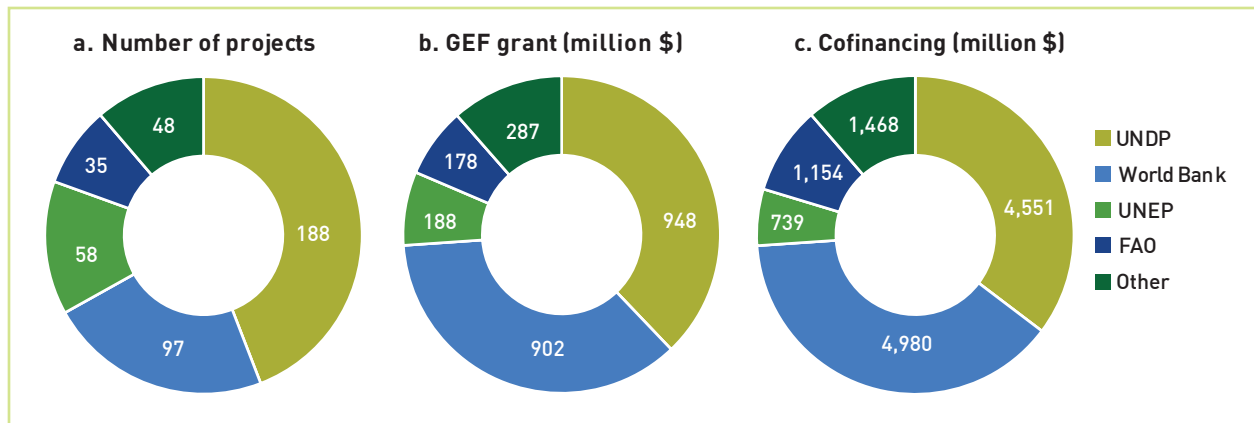
FIGURE 3.3 Distribution of indigenous peoples grant projects, by project type
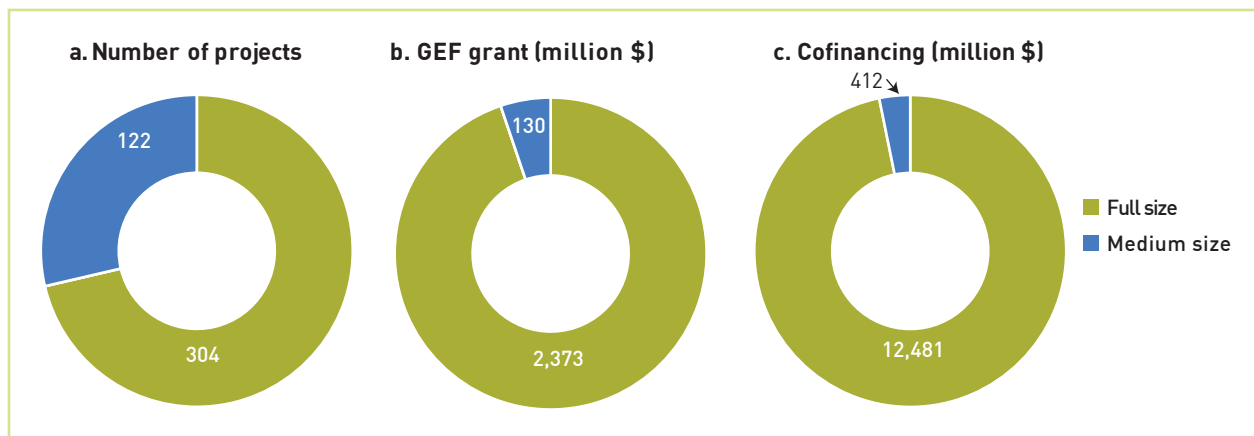
The biodiversity focal area dominates the indigenous peoples portfolio (figure 3.4), with a total of 205 projects (54 percent), though indigenous peoples have been increasingly engaged in the other focal areas as well: 80 projects (21 percent) are multifocal area projects, 52 projects (16 percent) are climate change projects, 22 projects (5 percent) are land degradation projects, and the remaining 4 percent of projects are in the international water and chemicals and waste focal areas.

As shown in figure 3.5, the relative number of biodiversity projects in the indigenous peoples portfolio has declined over time, with the number of projects especially increasing in the climate change and multifocal areas.

3.5 Regional distribution of projects

Based on the analysis captured in figure 3.6, the greatest concentration of investment is in Latin America and the Caribbean (34 percent), with Asia (29 percent) and Africa (25 percent) in second and third place in terms of project number, GEF grant amount, and cofinancing amount. Regional projects are the smallest in number, in terms of grant amounts and cofinancing.

Figure 3.7 illustrates the increasing number of global projects funded over the years, and the growth in projects in Asia and Latin America and the Caribbean over the GEF replenishment periods.

FIGURE 3.4 **Distribution of GEF projects, by focal area**

FIGURE 3.5 **Focal area distribution of indigenous peoples grant portfolio, by GEF replenishment period**
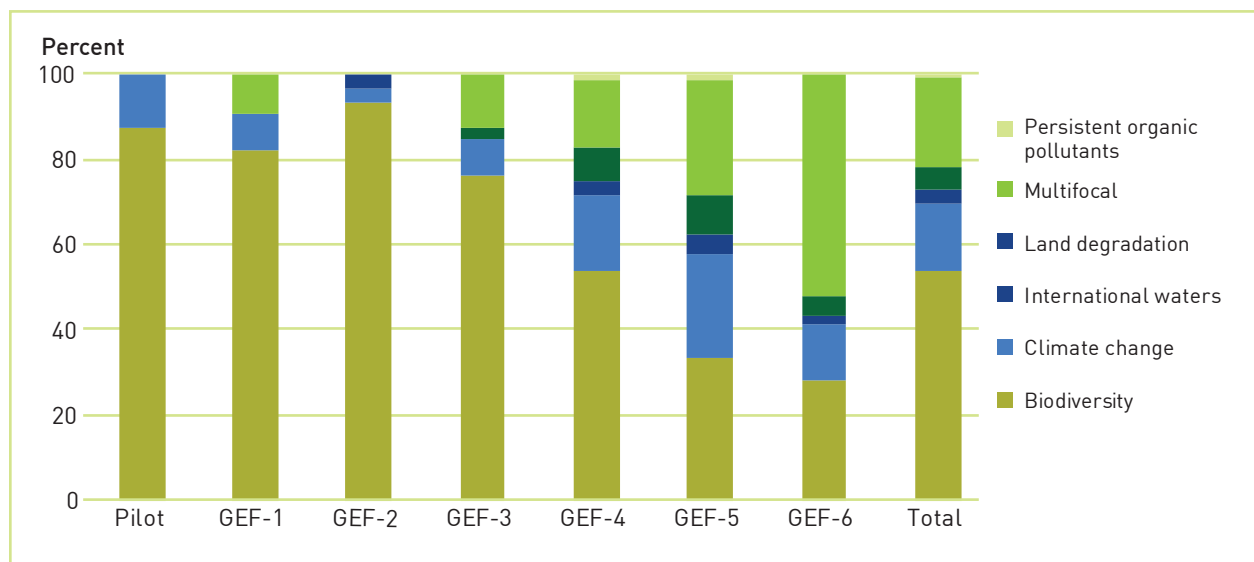
NOTE: Data for GEF-6 are as of September 30, 2016. [VALUES]

FIGURE 3.6 **Investment in and number of indigenous peoples projects, by region**
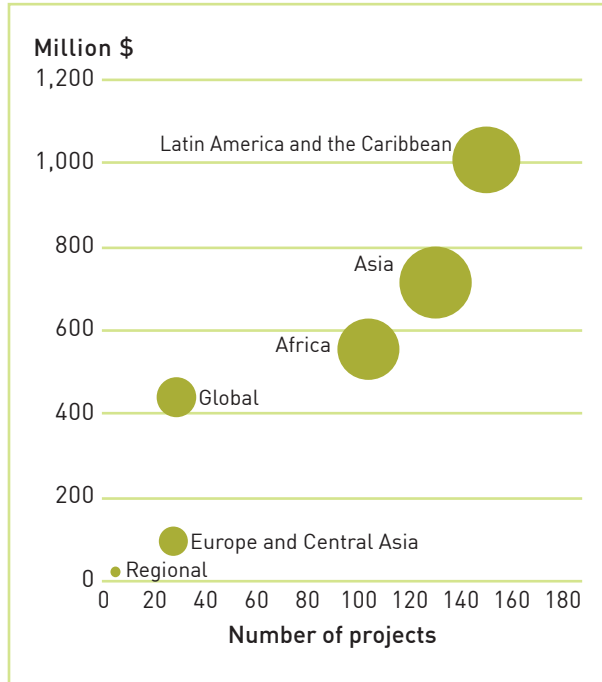
3.6 Degree of indigenous peoples' engagement

Involvement of indigenous peoples may take several forms. Indigenous peoples organizations might act in lead or partnering roles in projects. Indigenous peoples may comprise part or all of the beneficiary profile of a project. And, at times, indigenous communities may receive payments for ecosystem services. Engagement mechanisms also vary widely, from inclusion in stakeholder consultations to full-blown participatory project design and monitoring by indigenous peoples. The GEF has established four categories to encompass the range of intensity of engagement, used previously in the analyses of projects in the GEF 2008 *Indigenous Communities and Biodiversity* and the 2014 *Partnership in Practice: Engagement with Indigenous Peoples*, as set out below.

FIGURE 3.7 **Regional distribution of investment in indigenous peoples projects, by GEF replenishment period**
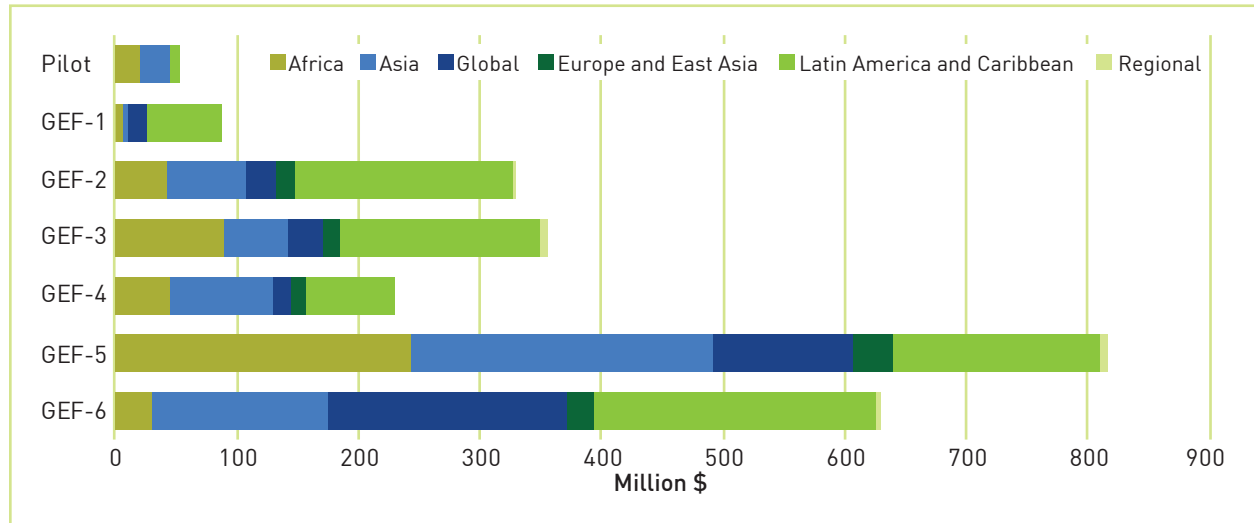
NOTE: Data for GEF-6 are as of September 30, 2016.

- **Significant involvement:** Projects designed exclusively to benefit indigenous peoples or projects where the executing agency was an indigenous organization

- **Moderate involvement:** Projects that had distinct components and/or subprojects benefiting and targeting indigenous peoples

- **Limited involvement:** Projects where indigenous peoples participated in a few project activities

- **Others:** Projects that involve local stakeholders identified as ethnic/religious minorities, marginalized populations, or faith-based organizations, but did not use the term "indigenous peoples"

The review team sorted 372 of the 426 projects, as shown in the figured 3.8 and 3.9. In terms of the involvement of indigenous peoples,

- 39 projects (11 percent) had significant involvement;

- 145 projects (39 percent) had moderate involvement;

- 143 projects (38 percent) had limited involvement;

FIGURE 3.9 Degree of indigenous peoples' involvement in GEF projects, by GEF replenishment period
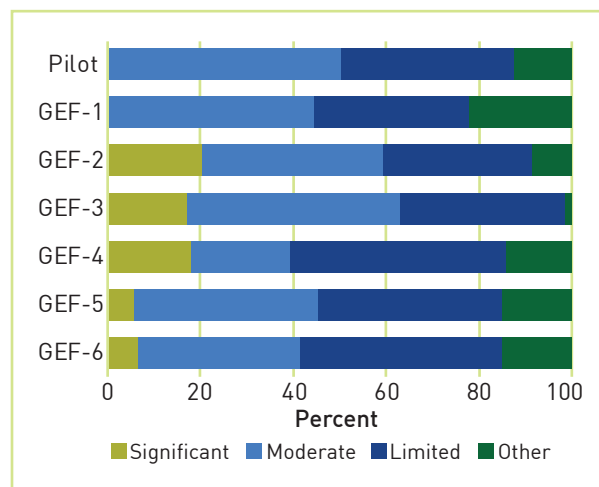
NOTE: Data for GEF-6 are as of September 30, 2016.

- 45 projects (12 percent) involved local stakeholders such as ethnic/religious minorities and faith-based organizations, or other groups that share the same ancestry, culture, language and social status

3.7 Portfolio performance

The evaluators examined completed projects for overall performance, broken down according to the following performance indicators:

- Achievement of planned outcomes (181 projects)

- Likelihood of sustainability (179 projects)

- Efficiency (123 projects)

From an outcome perspective, the performance of the indigenous peoples portfolio is comparable to performance across the entire GEF portfolio as per the 2015 *Annual Performance Report* (GEF IEO 2017). Figure 3.10 compares performance ratings between projects in the indigenous peoples portfolio and the overall GEF portfolio. Seventy-five

FIGURE 3.8 Degree of indigenous peoples' involvement in GEF projects

FIGURE 3.10 **Percentage of projects with outcome ratings in the satisfactory range, by GEF replenishment period**

correlation between indigenous peoples' participation and project performance.

The performance of the indigenous peoples portfolio improved in outcome achievement from the pilot phase to GEF-1 and remained consistent in GEF-2 and GEF-3. Outcome ratings increased from GEF-3 to GEF-4, with 90 percent of the projects rated as moderately satisfactory or above. There are only two indigenous peoples projects rated thus far in GEF-5; both have outcome ratings of moderately satisfactory or above.

As illustrated in figure 3.11a, the global (83 percent) and Latin America and the Caribbean (80 percent) regions have the highest percentages of projects rated as moderately satisfactory and above. The Europe and Central Asia region has the lowest percentage of projects in the satisfactory range with 55 percent of projects having outcome ratings of moderately satisfactory and above. Regarding the distribution of ratings by focal area (figure 3.11b), land degradation (100 percent), climate change (89 percent), international waters (75 percent), biodiversity (79 percent), and multifocal

percent of indigenous people projects are rated as moderately satisfactory or above, while 80 percent of the overall GEF portfolio are rated above the same threshold. Future studies could analyze the

FIGURE 3.11 **Indigenous peoples portfolio project outcome ratings, by region and focal area**
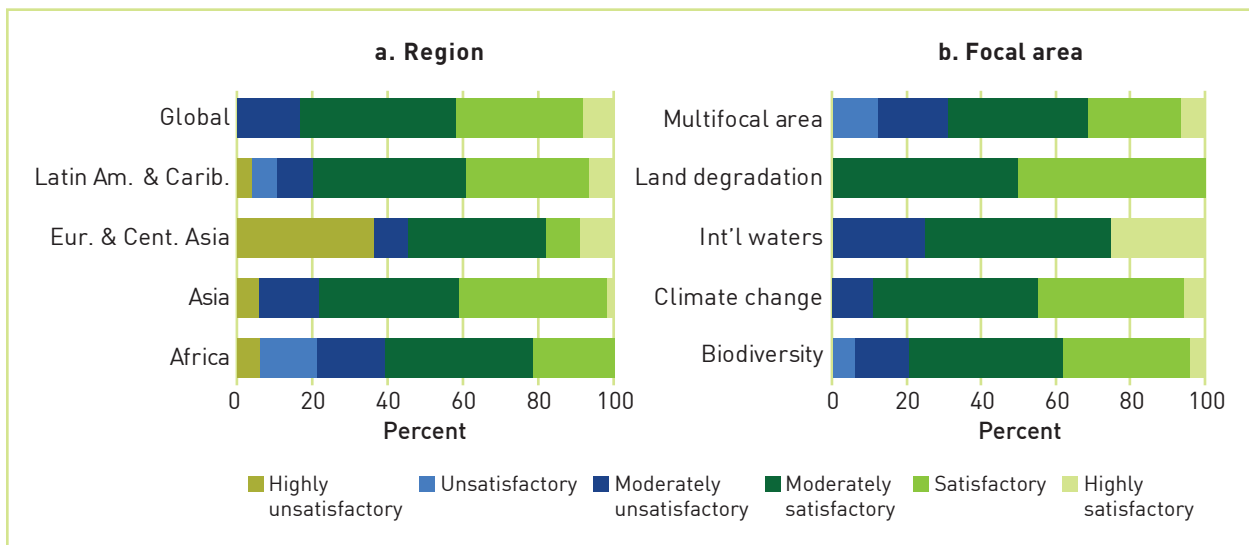
(69 percent) projects all received strong performance ratings.

On measures of sustainability (figures 3.12 and 3.13), the performance of the indigenous peoples portfolio ranks slightly below the overall GEF portfolio; this is particularly noticeable by replenishment period. Sixty-one percent of the

FIGURE 3.12 **Distribution of ratings on project sustainability**
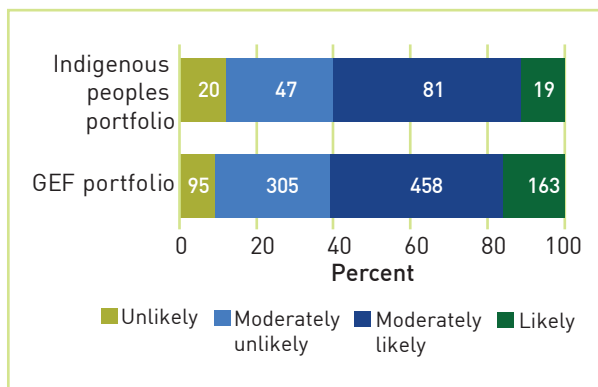
NOTE: Numbers of projects are noted in the bars.

FIGURE 3.13 **Percentage of projects with sustainability ratings in the likely range, by GEF replenishment period**
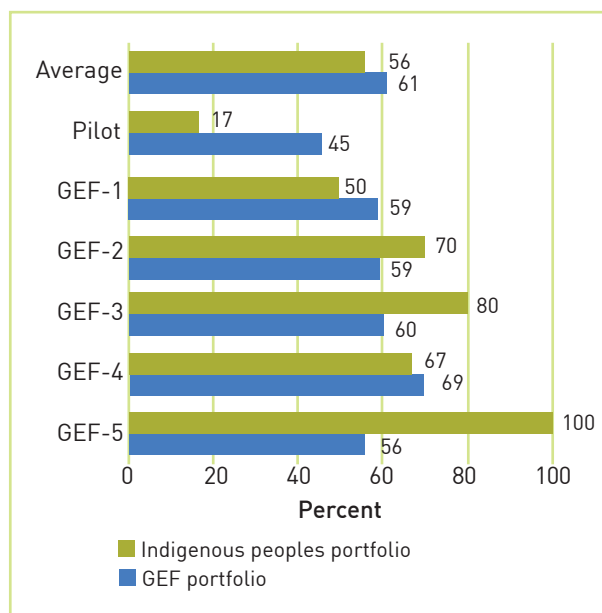
overall GEF portfolio has sustainability ratings of moderately likely or above, compared to only 54 percent of the indigenous peoples portfolio. The performance of the indigenous peoples portfolio indicates improvements in likelihood of project sustainability since the pilot phase.

To illustrate the application of GEF financing to projects involving indigenous peoples, three examples are summarized in annex F. A few good practice themes emerge in the descriptions and in the review of additional projects involving indigenous peoples, notably the importance of the following:

- Involving indigenous peoples in governance and in implementation around the project cycle, specifically in project steering committees/planning/strategy processes, through incorporation of local/traditional knowledge, and through support of indigenous network for sharing/collaboration

- Aligning support across major stakeholder groups indigenous and non—i.e., across government, nongovernment, and private sectors

- Embedding initiatives within policy and planning

- Protecting and re-enforcing initiatives by paying attention to demarcation/rights and livelihood options

3.8 Small Grants Programme portfolio analysis

The GEF SGP provides funding for projects that promote conservation, climate adaptation, and environmental sustainability while also paying attention to local livelihoods and community well-being. Administered by UNDP, the SGP provides grants of up to $50,000 to local communities for projects involving biodiversity, climate change mitigation and adaptation, land degradation and

sustainable forest management, international waters, and chemicals in 125 countries. A substantial number of SGP-funded projects are awarded to indigenous peoples or involve indigenous communities. Indeed, given the sheer number of projects involved around the world, the SGP is regarded as the main modality for the GEF's engagement with indigenous peoples.

In April 2017, a survey was distributed to 104 national coordinators for the SGP to gather information on its engagement with indigenous peoples. Of the 89 national coordinators who responded to the survey, about half (44) did not identify the existence of significant populations of indigenous peoples in their countries. In some instances, the governments of those countries do not define indigenous peoples in line with the definitions used by the international conventions under which the GEF operates. For example, some countries have populations of indigenous peoples according to accepted international definitions but, in line with national policy, declined to recognize their existence in the survey. Others noted the

presence of indigenous peoples, but explained that the concept of indigenous peoples is not applied in their country. In this situation, projects involving indigenous peoples were not distinguished from those with ethnic groups, the vulnerable, and the poor. This presents a challenge in terms of accurately defining and assessing GEF global engagement with indigenous peoples, and is also applicable to some SGP country offices.

Overall, the number of SGP projects reported to involve indigenous peoples may be higher than stated in this data collection.

The survey asked country respondents to provide lists of projects that have worked collaboratively with indigenous peoples since July 2010. In total, 43 national coordinators reported more than 630 SGP projects that have involved indigenous peoples since that date. Among these projects, more than 362 provided direct funding to indigenous peoples or indigenous peoples organizations. Since 2010, about $25 million has been awarded in SGP grants toward projects working with indigenous peoples.

FIGURE 3.14 Number of indigenous peoples SGP projects funded in 11 thematic areas
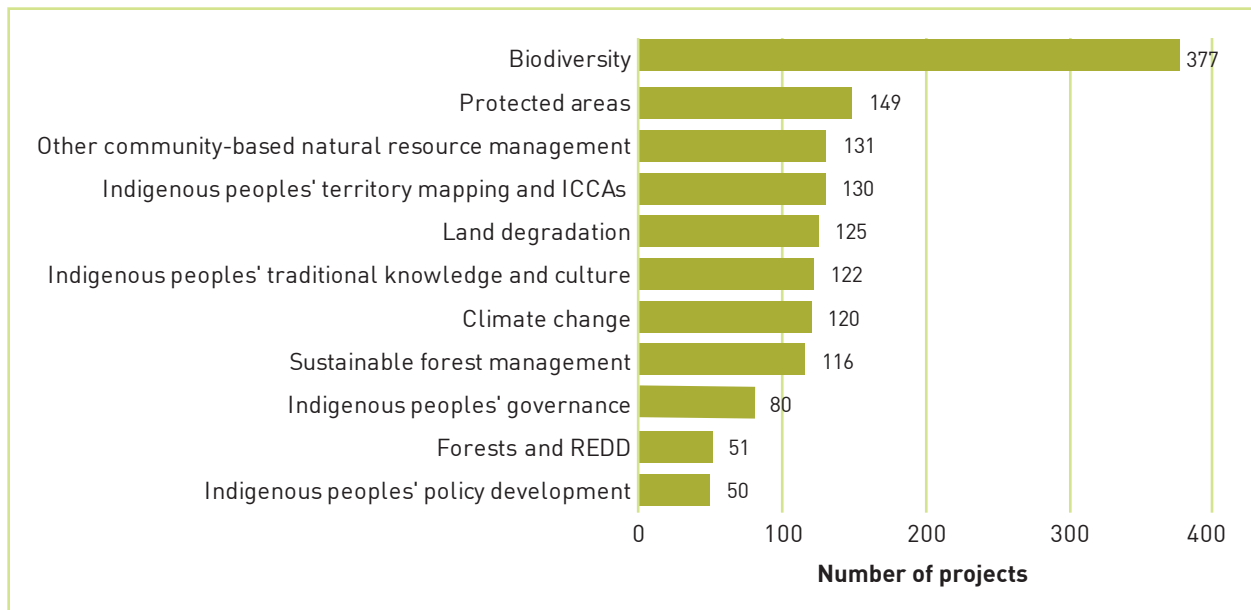
With 377 projects, biodiversity is, by far, the most common thematic area covered across the SGP indigenous peoples portfolio (figure 3.14). Indigenous peoples' governance, forests, reducing emissions from deforestation and forest degradation in developing countries (REDD+), and indigenous peoples' policy development have relatively low frequency in the portfolio. In this regard, interviews indicated that governance and policy development are areas recommended for increased focus by the IPAG.

Of the 45 responding SGP country offices, 34 reported an indigenous peoples focal point in their SGP national steering committee, 50 percent of whom are indigenous. At the same time, 42 offices have a specific focus on indigenous peoples in their SGP country program strategy.

Additionally, 26 country respondents included a specific emphasis on the inclusion of indigenous peoples in the SGP's fifth operational phase (2011–14), and 30 countries included an indigenous peoples emphasis in the sixth operational phase (2015–18). The types of activities included in projects that focus on indigenous peoples include capacity building, support to indigenous peoples in grant proposal development, work with indigenous peoples on landscape or seascape conservation, promotion of the Global Support Initiative for Indigenous Peoples and Community-Conserved Territories and Areas (ICCA-GSI), and the Indigenous Peoples Fellowship Program.

Examples of SGP projects working with indigenous people include the following:

- **Zambia:** Support to indigenous peoples to create small and medium enterprises at the local community level that contribute to sustainable resource use

- **Belize:** Encouragement in the use of native languages for environmental training activities

- **China:** Establishment of a network to promote the recognition of indigenous and community conserved areas (ICCAs) and empower ethnic groups and vulnerable people[2]

Observed benefits of SGP funding to indigenous peoples include access to training/capacity building (53 percent), income and livelihood improvements (47 percent), and increased inclusion for consultation and project design (34 percent). Less frequently mentioned benefits include indigenous peoples' policy development (8 percent), increased inclusion on policy level discussion (11 percent), and increased land tenure of security (11 percent). Available project IDs were categorized according to 10 benefit areas named above, as illustrated in figure 3.15.

The most common barrier to indigenous peoples for access to SGP funding reported by the survey respondents was limited capacity in administrative management skills and communication technology in indigenous peoples organizations (76 percent). More research would be needed to understand whether the capacity support provided by many SGP offices partially addresses this issue, or whether novel approaches are required.

Other barriers cited included timing requirements (67 percent), language limitations (64 percent), and geographic or communication barriers (51 percent). Thirteen countries reported other challenges that were not listed in the survey: regional security limiting access to indigenous peoples, a hostile environment for policy dialogue between government and indigenous peoples, a lack of support to indigenous peoples for proposal design and project management, lack of recognized land rights at the national level, lack of recognition of indigenous peoples' knowledge

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[2] See ICCA Consortium, www.iccaconsortium.org/index.php/discover/.

FIGURE 3.15 Number of SGP projects benefiting indigenous peoples
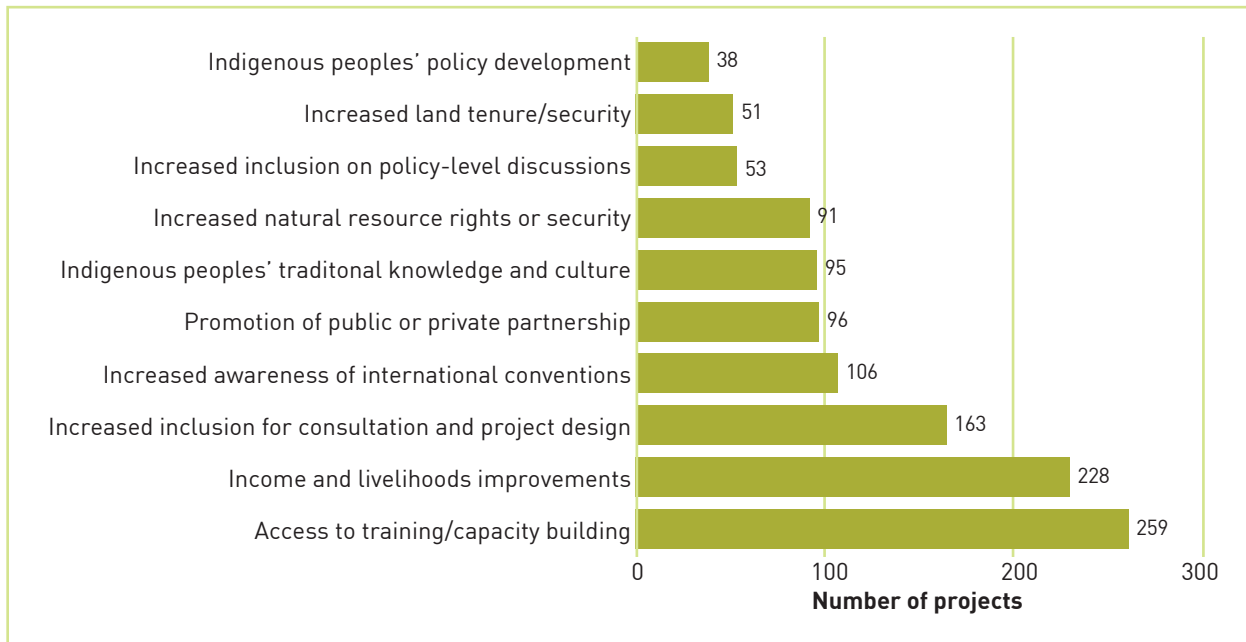
by experts and policy makers, an outmigration of indigenous peoples, difficulty for indigenous peoples to justify their projects in terms of GEF SGP objectives, and difficulty in engaging women and youth in indigenous communities.

The most common mechanisms adopted by countries to assist indigenous peoples in accessing SGP grants were the development of participatory video/photo proposals in local languages and provide planning grants with guidance (figure 3.16).

Some national coordinators provided possible solutions to the most frequently observed challenges in their open-ended responses; these are summarized below:

■ **Limited capacity in administrative management skills and communication technology**

　　■ Use local expertise and mentors to guide implementation of community-based actions and to build community capacity.

■ Provide more training for indigenous peoples on proposal writing, project implementation, and management to close the gap in administrative management skills by international NGOs or community-based organizations.

■ Include money for technical assistance in budgets for indigenous peoples projects, or give indigenous peoples planning grants so their own and their communities' capacities can be built through participatory project design and development.

■ **Timing requirements**

　　■ Apply for planning grants for proposal development for indigenous peoples organizations to allow time for indigenous peoples on preliminary work, and to help build their capacity in project design.

　　■ Support indigenous peoples on concept proposals, guiding them through the

FIGURE 3.16 **Number of countries offering various mechanisms for assisting indigenous peoples in accessing SGP grants**
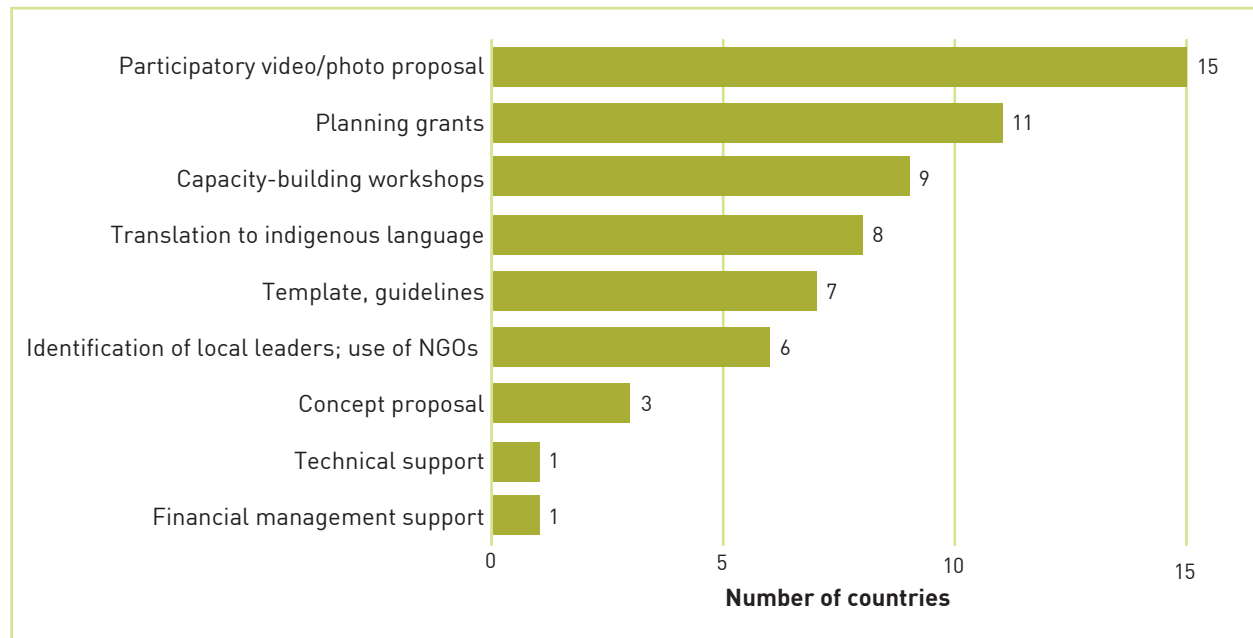
process and understanding their process of consultation.

- Allow additional time to understand the socioeconomic context and indigenous peoples' relationship with local resources, including time extensions for proposal development and project implementation.

- **Language limitations**

- Develop more culturally appropriate and user-friendly procedures for securing SGP funds, including an increase in innovative methods of using video and nonwritten grant applications. Through nonwritten proposals, it is easier for indigenous peoples to present project ideas in their native languages.

- Provide financial support to community radio to broadcast GEF/SGP information in local languages.

- Seek help from qualified local NGOs to assist in proposal writing and hiring local translators.

With regard to networking and communications, 29 SGP country offices reported collaboration with indigenous peoples' networks and mechanisms, including national, regional, and global networks such as the ICCA Consortium and the United Nations Permanent Forum on Indigenous Issues. Indigenous peoples in 16 countries reported providing feedback to the GEF via the GEF-CSO Network focal point, 11 countries through the GEF Expanded Constituency Workshops, 7 countries through the GEF IPAG, and 1 country through the GEF Secretariat.

4: Conclusions and recommendations

4.1   Conclusions

Conclusion 1: The GEF recognizes indigenous peoples as important stakeholders in its mission to tackle global environmental issues. The GEF has engaged with indigenous peoples since its first phase of project financing in 1991, and the level of engagement, consultation, and policy review with indigenous peoples has increased through each GEF funding period. Indigenous peoples are increasingly recognized for their traditional knowledge and customary practices. Application of these influence broader understanding of forestry, traditional medicine, conservation, resource management, and livelihood patterns, as well as responses to climate change, resilience, and adaptation. Evidence from projects suggests that empowering indigenous peoples to manage biodiversity in their own territories can result in more sustained and cost-effective ways to protect biodiversity. Other commitments embedded in the GEF's mission—reducing poverty, strengthening governance, and achieving greater equality—are also relevant to its engagement with indigenous peoples. Progress in these areas is integral to indigenous peoples realizing their rights as set out in the UNDRIP, to which almost all UN member states are now signatories.

Conclusion 2: Recognition of the presence of indigenous peoples by national governments is axiomatic to the application of indigenous peoples' rights. In some country contexts, the absence of recognition presents a significant challenge to the GEF partnership, and is reflected in reporting from some GEF and SGP country offices. This can be problematic for accurate assessment of GEF engagement with indigenous peoples. Some implementing organizations have addressed this situation by casting "indigenous peoples" within the broader nomenclature of "local communities." At times, the term "local communities" is used to avoid discrimination in places where populations are diverse in makeup. The current consensus from the UN and climate convention bodies, and adopted by the CBD in 2014, is that use of the term "indigenous peoples and local communities" enables inclusive approaches, while at the same time avoiding presumptions of common identity or that such groups are subject to the same circumstances.

Conclusion 3: At the partnership level, the participation of indigenous peoples is well secured in GEF consultation arrangements, and is advancing the GEF's engagement with indigenous peoples. In 2011, consultations began between the GEF and the indigenous peoples representatives comprising the IPTF. Discussion was focused on the development of a GEF policy on indigenous peoples. These consultations resulted in an issues paper, drafted shortly before the GEF Council's November 2011 launch of the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF 2011). Included is Minimum Standard 4: Indigenous Peoples, providing

detailed minimum requirements including standards for consultation; social and environmental impact assessments; and references to land, culture, traditional knowledge, and livelihoods. The policy also details the GEF grievance system. The contents of the IPTF issues paper were further developed by the GEF in 2012, resulting in the GEF Council's adoption of "Principles and Guidelines for Engagement with Indigenous Peoples" (GEF 2012b). In lieu of a policy, this document affirms the importance of indigenous peoples in GEF-financed projects, identifies unintended adverse effects that can result from such projects, and articulates the desire for enhanced engagement by both indigenous peoples and the GEF. The principles and guidelines form a useful guide to and reinforcement for GEF policy toward indigenous peoples, though they lack practical guidance on project design and indicators, or a specific list of requirements that might be useful to aid operationalization of Minimum Standard 4 and other relevant GEF policies.

Conclusion 4: In general, GEF Agencies are in alignment with the obligations under GEF Minimum Standard 4: Indigenous Peoples. Of the nine provisions of Minimum Standard 4, seven show high levels of consistency across the Agencies, particularly in areas of appropriate socioeconomic benefits, indigenous peoples plans, and document disclosure. Regarding consultation, FPIC, and participation, GEF Agencies tend to exceed Minimum Standard 4 provisions by insisting on greater protections for indigenous peoples, greater participation within project frameworks, use and rights to cultural resources and traditional knowledge, and specific attention to the monitoring of GEF-funded projects. By contrast, there are a few instances where GEF Agency safeguards, in the way they are worded, appear to fall short in meeting all the provisions of Minimum Standard 4. In these situations, the GEF is expected to detect

discrepancies as part of periodic compliance monitoring of the minimum standards.

Conclusion 5: Concerning the GEF safeguard on indigenous peoples, some restrictiveness and ambiguity exist around the GEF's approach to FPIC. Currently, the GEF requires FPIC approaches from ILO C169 signatory states. In so doing, it misses an opportunity to support self-determination—something intrinsic to indigenous peoples' rights. Currently, the safeguard policies of the West African Development Bank, Conservation International, the Development Bank of Southern Africa, FAO, FUNBIO, IFAD, IUCN, UNEP, UNIDO, and WWF all have mandatory FPIC processes for projects involving indigenous peoples, and IDB requires a similar approach while not utilizing the term FPIC. Also, the GEF's use of the term "free, prior, and informed *consultations*" complicates matters somewhat. This is a term borrowed from the World Bank's Operational Policies and includes elements of—but is not the same as—"free, prior, and informed *consent*." Any implied intention to avoid a commitment to "consent" appears to be confounded by Minimum Standard 4, which states that GEF partner Agencies must "ensure that such consultations result in broad community support for the GEF-financed operation being proposed" (GEF 2011 para. 24).

Conclusion 6: The GEF's ability to describe the application of Minimum Safeguard 4 and the benefits that flow from its engagement with indigenous peoples is restricted by the lack of monitoring information. Some adjustments to monitoring practices have recently been introduced to better track projects involving indigenous peoples and to report in the Corporate Scorecard and the Annual Portfolio Monitoring Report. What is being counted here, though, are instances of projects with indigenous peoples' involvement; there is little in the way of qualitative information. While there is some assurance (through the

Agency accreditation process) that GEF Agencies are prepared to abide by safeguards, there are presently no requirements for GEF Agencies to report against them at a portfolio level. Further, there are a few cases where Agency safeguards do not appear to extend to as high a level of protection as GEF Minimum Standard 4. In these instances, there is a lesser basis for assurance that engagement with indigenous peoples is occurring to expectations. At the same time, some GEF Agencies are recognizing the need for more engagement—through, e.g., the inclusion of indigenous peoples on staff and setting up indigenous peoples' advisory structures—and more robust tracking of indigenous peoples engagement and benefits. The latter appears to be a growth area for the GEF.

Conclusion 7: The IPAG provides relevant advice to the GEF Secretariat on indigenous peoples' issues. The development of IPAG has been a positive step for the GEF's engagement with indigenous peoples. By the way it is composed and facilitated, the IPAG has drawn together traditional and expert knowledge in dialogues among indigenous peoples and the GEF in developing indigenous peoples' capacity to engage in GEF projects and processes, in providing recommendations on financial arrangements to better support indigenous peoples' projects and project development, and in providing outreach with indigenous peoples organizations and communities. The IPAG has also assisted in developing indicators for the GEF Secretariat to better measure benefits and outcomes from GEF-funded projects to indigenous peoples, which are now being used to improve monitoring systems. A key achievement of the IPAG is the establishment of the Indigenous Peoples Fellowship Initiative, under the SGP, aimed at developing leadership to advance work in indigenous communities, organizations, and networks on national, regional, and global scales. It is

too soon to draw conclusions about the impact of the fellowship, with only a few beneficiaries. However, anecdotal signals are promising.

The IPAG fulfills an important technical advisory and dissemination role. However, operational limitations require attention, while opportunities for an expanded advocacy role remain limited. The scope of the IPAG's mandate and geographic coverage is large for the seven-person advisory group, with a limited frequency of face-to-face contact. No formal system of contact with the larger regional indigenous peoples' networks appears to exist within the IPAG or the GEF Secretariat. Also, IPAG members' communication and familiarity with the GEF and GEF Agencies is less than optimal for an advisory body. This is also noted for the relationship between the IPAG and the SGP national coordinators. Thus far, budgetary and staff support for the IPAG have been insufficient to engage participants in training, to support information dissemination (including at the country and regional levels), and to incentivize indigenous peoples' project innovation.

Conclusion 8: The GEF's ability to systematically gather evidence on elements of its engagement with indigenous peoples is hampered by the lack of specificity within the PMIS. GEF projects that have an element of engagement with indigenous peoples are not easily retrieved from the organizational database. This lack of systematic "tagging" of those projects confounds the generation of accurate project data. Moreover, the quality of the information about indigenous peoples' engagement contained in terminal evaluations is extremely variable.

By number of projects and by investment, the proportion of full- and medium-size projects that include indigenous peoples has increased substantially since the beginning of the GEF. The biodiversity focal area dominates the indigenous

peoples portfolio, with a total of 55 percent of projects. Indigenous peoples have been increasingly engaged in the other focal areas, however; and the relative number of biodiversity projects in the indigenous peoples portfolio has declined over time, with an increase of projects especially in the climate change and multifocal areas. Most of the projects involving indigenous peoples fall into the full-size category and have been implemented by just four of the GEF accredited Agencies (FAO, UNDP, UNEP, and the World Bank). The greatest number of projects and largest concentration of investment occurs in Latin America and the Caribbean. Seventy-five percent of indigenous peoples projects are rated as moderately satisfactory or above. Indigenous peoples projects are comparable to the GEF portfolio in terms of their likelihood of being sustainable. However, attaining sustainability poses a challenge for the portfolio, with just over half the projects showing moderate likelihood or greater of being sustainable. Capacity issues stand in the way of some indigenous peoples organizations assuming project management roles.

Conclusion 9: The Small Grants Programme implemented by UNDP is the primary modality for the GEF's engagement with indigenous peoples. The SGP has made efforts to reach out to indigenous peoples with limited capacity (e.g., through use of video proposals, project development grants, and acceptance of proposals in local languages). However, accessing SGP grant financing remains a challenge for some indigenous peoples due to capacity challenges, as well as administrative and language hurdles. Further efforts could be made to simplify grant processes and requirements, and proactively address needs and opportunities of indigenous peoples. Approximately 15 percent of SGP grants are awarded to the benefit of indigenous organizations or communities. Flexible approaches to proposal development enable involvement by indigenous

peoples organizations. Biodiversity is, by far, the most common thematic area covered across the SGP indigenous peoples portfolio. Results from a survey of SGP national coordinators indicated that 67 percent of respondents always refer to the GEF "Principles and Guidelines for Engagement with Indigenous Peoples" in projects involving indigenous peoples. According to survey respondents, observed benefits of SGP funding to indigenous peoples include access to training/capacity building, income and livelihoods improvements, and increased inclusion for consultation and project design.

4.2 Recommendations

Recommendation 1: Establish and strengthen dedicated funding opportunities for indigenous peoples projects/organizations. Indigenous peoples remain limited as beneficiaries in the support they receive from the GEF. To date, support has come primarily through the SGP, which, by design, is limited in scale and scope. Dedicated funding outside the System for Transparent Allocation of Resources (STAR) would address the systemic challenges and operational constraints to increased indigenous peoples' engagement. Simultaneously, strengthening the SGP and other GEF project-oriented grant mechanisms such as the Critical Ecosystem Partnership Fund, or creating incentives to engage indigenous peoples and local communities could also help improve access. The World Bank's Dedicated Grants Mechanism serves as a model of a funding window that could be adapted for the GEF.

Recommendation 2: Update relevant policies and guidelines to reflect best practice standards concerning indigenous peoples, including a rights-based approach to engagement. Internationally, safeguard norms regarding indigenous peoples have changed. This manifests in a number of GEF Agency standards that have emerged since

2012. To remain at the leading edge and continue to serve the field of practice with advanced thinking about how best to safeguard the rights of indigenous peoples, a recalibration is required. Attention should be given to provisions related to the right to self-determination and to FPIC as they pertain to consultations with indigenous peoples concerning GEF projects. Revisions should be reflected in pertinent safeguards documents, including the GEF principles and guidelines. As part of this exercise, the GEF should anchor its engagement with indigenous peoples with relevance to the UNDRIP and ILO C169 and to progressive advances with regard to traditional knowledge, land rights, and resource rights. Finally, the GEF should expand its own criteria or directly reference other widely accepted international criteria for identifying indigenous peoples to ensure clarity for all stakeholders. Specifically with regard to its nomenclature, consideration should be given to the merits and drawbacks of inclusive language such as "indigenous peoples and local communities."

Recommendation 3: Review the IPAG's role for operational constraints. The IPAG is unequivocally viewed as an important and advantageous body to guide the GEF's decision making and engagement with indigenous peoples. To increase its effectiveness, the GEF should undertake several steps including a review of succession planning and "onboarding" for IPAG members to preserve knowledge of outgoing members and to orient new ones, and a review of the existing scope/limitations of the IPAG's mandate and its relationship with the indigenous peoples focal points embedded within the GEF-CSO Network. As part of this, the GEF should clarify the IPAG's communication/engagement role for more formal contacts with regional and global networks of indigenous peoples; consider an increase in the staff time and resources allocated by the GEF Secretariat indigenous peoples focal point to

IPAG activities; and translation requirements for relevant documents such that the IPAG is able to engage in English, French, and Spanish. Regarding enhancements to IPAG capacity, the GEF should explore ways of incorporating intergenerational leadership and knowledge.

Recommendation 4: Facilitate dialogue between indigenous peoples and local communities and GEF government focal points. One of the major hurdles for greater engagement of indigenous peoples in GEF projects is acceptance by national governments in some of the countries where the GEF operates. Through its relationships with national governments, the GEF can help increase the prominence of indigenous peoples' activities and encourage mainstreaming of indigenous peoples issues into environmental programming. In this regard, the GEF should seek opportunities for a higher profile of indigenous peoples in GEF projects and at GEF events such as Extended Constituency Workshops and Council meetings. The GEF should document success stories in this regard, showing where engagement is strong or where breakthroughs in building relationships have been made.

Recommendation 5: Monitor application of Minimum Standard 4 and the indigenous peoples portfolio. A greater flow of information should come from tracking the environmental and social risks of the GEF portfolio. Currently, there is no requirement that Agencies report on compliance with safeguards, leaving the GEF portfolio vulnerable. Agencies should inform the GEF of the safeguard risk categorization assigned to projects involving indigenous peoples and keep the GEF informed of safeguards implementation issues through monitoring and reporting. Ideally, this process builds on current Agency internal monitoring systems rather than duplicates them. Similarly, an accurate monitoring of the portfolio of projects that engage indigenous peoples is

currently not possible. Projects need to be tagged to allow for systematic retrieval. As part of the tagging, further definition within the GEF of what is considered indigenous peoples engagement should ensue. Finally, the midterm and terminal evaluation templates should include sections that capture indigenous peoples engagement and results.

Annex A: Methodological notes

Projects in the OPS6 indigenous peoples portfolio

The OPS6 indigenous peoples portfolio includes 372 GEF projects from 1991 to 2016. The list was a combination of an earlier list updated in May 2014 (List A), a new list created in December 2016 (List B), and a list of completed projects reviewed by the IEO performance team (List C). This project created a keyword-counting program (in R software) to record the occurrences of indigenous peoples–themed terms in each project document, and the final project list was complied with further document review and consultation with experts. Below are methodological notes on the compilation process.

List A: 218 indigenous peoples projects (1991–2014)

List A was shortened from 223 projects between 1991 and May 2014, provided by the GEF Secretariat. The original list was created through manual search, document review, PMIS search, and online materials search. Search terms used include "indigenous," "traditional," "tribal," "tribe," "ethnic," "pastoral," "minority," "minorities," and "marginalized." The project identification form or Chief Executive Officer endorsement documents were reviewed to confirm the projects' indigenous peoples involvement. The process was implemented in multiple stages over multiple years.

In December 2016, these 223 projects were further reviewed to count occurrences of indigenous peoples keywords in project documents. The review reduced the number of the projects from 223 to 205. The following details the review process:

1. The project documents were downloaded from the PMIS. Each of the 223 projects refers to one project appraisal document, Chief Executive Officer endorsement, project document, project preparation grant, or project identification form, depending on its project cycle.

2. The 223 project documents were converted to .txt format and loaded into the keyword search R program.

3. The R program's text analysis function allows keyword counting of 223 large documents at a time. Updated keywords were "indigenous people," "indigenous land," "indigenous community/communities," "indigenous territory/territories," "indigenous and local," "traditional land," "traditional knowledge," "tribal," "tribe," "ethnic," "pastoral," "minority/minorities," and "marginalized/marginalized."

4. An additional list of reference words was used in the search to support accuracy: "local community/communities," "native community/communities," "protected area," "park," "conservation area," "aboriginal," "Nagoya Protocol," "community based," "community-based," "rural livelihood,"

"ancestral," "self-identification," and "spiritual."

5. The resulting frequency table showed the number of occurrences of these words in each project document. Indigenous peoples involvement in each project was evaluated according to the frequency table and document review, where the numbers were ambiguous.

According to the validation, 205 of the 223 projects involve indigenous peoples. Thirteen projects did not mention "indigenous people" in project documents but involve local stakeholders identified as ethnic/religious minorities, marginalized populations, or faith-based organizations; they were later categorized as "other" projects in terms of degree of indigenous peoples engagement. Five projects were removed from the list, as either no indigenous communities were living in the project areas or project documents are missing. The final List A was shortened from 223 to 218 projects.

List B: 166 indigenous peoples projects (2014–16)

List B was shortened from the 4,319 projects approved in OPS6 as of October 2016. The following steps identified 145 indigenous peoples–involved projects:

1. Projects approved after May 2014 (924 projects) were extracted from the 4,000+ projects to avoid overlap with List A.

2. Enabling activities and canceled projects were removed, leaving 692 projects remaining.

3. Very unlikely projects were excluded by skimming through project titles, thus shortening the list to 582.

The following analyses were based on the 582 projects.

1. Repeated Step 1 for List A.

2. Repeated Step 2 for List A.

3. Repeated Step 3 for List A.

4. Repeated Step 4 for List A.

5. Repeated Step 5 for List A.

From this process, 203 projects were found to have a moderate to high incidence of indigenous peoples keywords/reference words. To further validate indigenous peoples involvement, project documents of these 203 projects were downloaded from the PMIS and opened to review. Thirty-seven projects were removed from the list, as they did not have indigenous peoples' participation in project activities. This produced a list of 166 projects.

In addition, the GEF Secretariat identified four indigenous peoples–relevant projects in its 2016 Annual Portfolio Monitoring Report; these are GEF IDs 6925, 6931, 6940, and 9352. List B was further cross-referenced with the Biodiversity Management Effectiveness Tracking Tool database, thus adding nine projects.

Finally, 25 overlapped projects were removed after merging Lists A and B, resulting in 372 indigenous peoples projects.

List C: 54 indigenous peoples projects provided by the IEO performance team

By June 2017, as part of its review of terminal evaluations, the IEO performance team had reviewed 355 closed projects from the OPS6 cohort for its indigenous peoples engagement and consultation activities. The team reviewed project documents for these 355 projects and identified 69 projects that included activities likely to have substantial effect on indigenous peoples. After further document review, 54 projects were identified

as indigenous peoples–engaged projects, and were included in this portfolio. These 54 projects include those in which an indigenous peoples organization served as the lead executing agency or co-executing agency, and/or consultations were conducted with indigenous peoples in project design or during implementation.

Lists A, B, and C comprise the final portfolio of 426 projects.

Annex B: Portfolio

GEF ID	Modality	Country	Project title
92	FSP	Argentina	Biodiversity Conservation Project
95	FSP	Sri Lanka	Conservation and Sustainable Use of Medicinal Plants
117	FSP	Nicaragua	Atlantic Biological Corridor
121	FSP	Honduras	Honduras Biodiversity Project
133	FSP	Panama	Atlantic Mesoamerican Biological Corridor Project
197	FSP	Guatemala	Integrated Biodiversity Protection in the Sarstun-Motagua Region
202	FSP	Regional	Conservation of Biodiversity in the Lake Titicaca Basin
243	FSP	Regional	Establishment of a Programme for the Consolidation of the Meso-American Biological Corridor
248	FSP	Congo, Dem. Rep.	Rehabilitation of Protected Areas in the Democratic Republic of Congo
3	FSP	Venezuela, RB	Conservation of the Biological Diversity of the Orinoco Delta Biosphere Reserve and Lower Orinoco River Basin
16	MSP	Guatemala	Management and Protection of Laguna del Tigre National Park
24	MSP	Regional	Africa Community Outreach Programme for Conservation and Sustainable Use of Biological Resources
30	MSP	Nepal	Upper Mustang Biodiversity Project
500	FSP	Peru	In-Situ Conservation of Native Cultivars and Their Wild Relatives
503	FSP	Paraguay	Paraguayan Wildlands Protection Initiative
504	FSP	Regional	Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands in the Arid Zone of Africa
505	FSP	Pakistan	Mountain Areas Conservancy Project (MACP)
620	FSP	Bolivia	Sustainability of the National System of Protected Areas
621	FSP	Cambodia	Biodiversity and Protected Area Management Pilot Project for the Virachey National Park
634	FSP	India	Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve's Coastal Biodiversity
642	FSP	Malaysia	Conservation and Sustainable Use of Tropical Peat Swamp Forests and Associated Wetland Ecosystems
650	MSP	Peru	Collaborative Management for the Conservation and Sustainable Development of the Northwest Biosphere Reserve
651	FSP	Peru	Indigenous Management of Protected Areas in the Amazon
653	FSP	Philippines	Coastal and Marine Biodiversity Conservation in Mindanao
661	FSP	Suriname	Conservation of Globally Significant Forest Ecosystems in Suriname's Guayana Shield

GEF ID	Modality	Country	Project title
668	FSP	Bangladesh	Coastal and Wetland Biodiversity Management at Cox's Bazar and Hakakuki Haor
671	FSP	Costa Rica	Ecomarkets
672	MSP	Costa Rica	Conservation of Biodiversity in the Talamanca-Caribbean Biological Corridor
681	MSP	Panama	Effective Protection with Community Participation of the New Protected Area of San Lorenzo
682	MSP	Peru	Participatory Conservation and Sustainable Development with Indigenous Communities in Vilcabamba
762	FSP	Regional	Maloti-Drakensberg Conservation and Development Project
771	FSP	Brazil	Amazon Region Protected Areas Program (ARPA)
774	FSP	Colombia	Conservation and Sustainable Use of Biodiversity in the Andes Region
775	MSP	Ecuador	Choco-Andean Corridor
776	FSP	Egypt, Arab Rep.	Conservation and Sustainable Use of Medicinal Plants in Arid and Semi-arid Ecosystems
778	FSP	Mexico	Indigenous and Community Biodiversity Conservation (COINBIO)
779	FSP	Mexico	Mesoamerican Biological Corridor
795	MSP	Algeria	Biodiversity Conservation and Sustainable Natural Resource Management
796	MSP	Kenya	Lake Baringo Community-based Integrated Land and Water Management Project
798	MSP	Philippines	Sustainable Management of Mount Isarog
807	MSP	Russian Federation	Persistent Toxic Substances, Food Security, and Indigenous Peoples of the Russian North
834	FSP	Brazil	Promoting Biodiversity Conservation and Sustainable Use in the Frontier Forests of Northwestern Mato Grosso
836	FSP	Global	Critical Ecosystems Partnership Fund (CEPF)
838	FSP	Kazakhstan	Integrated Conservation of Priority Globally Significant Migratory Bird Wetland Habitat
846	MSP	Ecuador	Albarradas in Coastal Ecuador: Rescuing Ancient Knowledge on Sustainable Use of Biodiversity
863	MSP	Belize	Community-managed Sarstoon Temash Conservation Project
864	MSP	China	Multi-agency and Local Participatory Cooperation in Biodiversity Conservation in Yunnan's Upland Ecosystem
877	FSP	Mexico	Consolidation of the Protected Areas Program (SINAP II)
887	FSP	Mexico	Biodiversity Conservation in the Sierra Gorda Biosphere Reserve
906	MSP	Nepal	Landscape-scale Conservation of Endangered Tiger and Rhinoceros Populations in and Around Chitwan National Park
907	MSP	Nepal	Arun Valley Sustainable Resource Use and Management Pilot Demonstration Project
925	FSP	Colombia	Conservation of Montane Forest and Paramo in the Colombian Massif, Phase I
932	FSP	Russian Federation	Demonstrating Sustainable Conservation of Biological Diversity in Four Protected Areas in Russia's Kamchatka Oblast, Phase I
939	FSP	China	Sustainable Forest Development Project, Protected Areas Management Component

GEF ID	Modality	Country	Project title
979	MSP	Costa Rica	Biodiversity Conservation in Cacao Agro-forestry
1020	MSP	Colombia	Conservation and Sustainable Development of the Mataven Forest
1021	MSP	Chile	Conservation and Sustainable Use of Chiloé Globally Significant Biodiversity
1086	MSP	Cambodia	Developing an Integrated Protected Area System for the Cardamom Mountains
1164	FSP	Russian Federation	Support to the National Programme of Action for the Protection of the Arctic Marine Environment, Tranche 1
1170	FSP	Tanzania	Conservation and Management of the Eastern Arc Mountain Forests
1261	FSP	Papua New Guinea	Community-based Coastal and Marine Conservation in the Milne Bay Province
1300	MSP	Chile	Ecosystem Management of the Salar del Huasco for Biodiversity Conservation and Sustainable Use Outside Protected Areas
1301	MSP	Ecuador	Conservation of Biodiversity in Pastaza
1408	MSP	Peru	Biodiversity Conservation and Community Natural Resource Management in the Nanay River Basin (Peruvian Amazon)
1410	MSP	Regional	Biodiversity Conservation and Integration of Traditional Knowledge on Medicinal Plants in National Primary Health Care Policy in Central America and Caribbean
1416	MSP	Peru	Community -based Conservation and Sustainable Use of the Atiquipa and Taimara Lomas Ecosystems
1477	MSP	Vietnam	Conservation of Pu Luong-Cuc Phuong Limestone Landscape
1637	MSP	Guatemala	Community Management of the Bio-Itza Reserve Project
957	MSP	Peru	Conservation and Sustainable Use of Biodiversity in the Amarakaeri Communal Reserve and Adjoining Indigenous Lands
1030	MSP	Vietnam	Making the Link: The Connection and Sustainable Management of Kon Ka Kinh and Kon Cha Rang Nature Reserves
1061	MSP	Peru	Inka Terra: An Innovative Partnership for Self-Financing Biodiversity Conservation & Community Development
1063	FSP	Cameroon	Forest and Environment Development Policy Grant (FEDPG)
1064	FSP	Gabon	Strengthening Capacity for Managing National Parks and Biodiversity
1092	FSP	Regional	Integrated Ecosystem Management in Indigenous Communities
1095	FSP	Regional	Conservation of Transboundary Biodiversity in the Minkebe-Odzala-Dja Interzone in Gabon, Congo, and Cameroon
1100	FSP	Mongolia	Community-based Conservation of Biological Diversity in the Mountain Landscapes of Mongolia's Altai Sayan Ecoregion
1101	FSP	Peru	Participatory Management of Protected Areas
1104	FSP	Rwanda	Conservation of the Montane Forest Protected Area System in Rwanda
1107	FSP	Nepal	Landscape Level Biodiversity Conservation in Nepal's Western Terai Complex
1139	FSP	Guinea	Conservation of the Biodiversity of the Nimba Mountains through Integrated and Participatory Management
1152	FSP	Mali	Biodiversity Conservation and Participatory Sustainable Management of Natural Resources in the Inner Niger Delta and its Transition Areas, Mopti Region

GEF ID	Modality	Country	Project title
1161	FSP	Russian Federation	Conservation and Sustainable Use of Wild Salmonid Biological Diversity in Russia's Kamchatka Peninsula, Phase I
1163	FSP	Russian Federation	An Integrated Ecosystem Management Approach to Conserve Biodiversity and Minimize Habitat Fragmentation in Three Selected Model Areas in the Russian Arctic (ECORA)
1177	FSP	Russian Federation	Biodiversity Conservation in the Russian Portion of the Altai-Sayan Ecoregion
1183	FSP	Cambodia	Tonle Sap Conservation Project
1201	FSP	Malaysia	Conserving Marine Biodiversity through Enhanced Marine Park Management and Inclusive Sustainable Island Development
1217	FSP	Nepal	Conservation and Sustainable Use of Wetlands
1236	FSP	Chile	Conserving Globally Significant Biodiversity along the Chilean Coast
1259	FSP	Regional	In-situ Conservation of Crop Wild Relatives through Enhanced Information Management and Field Application
1296	MSP	Vietnam	The Green Corridor
1299	FSP	Brazil	Integrated Management of Aquatic Resources in the Amazon (AquaBio)
1322	FSP	Iran	Conservation of Biodiversity in the Central Zagros Landscape Conservation Zone
1362	FSP	Kenya	Western Kenya Integrated Ecosystem Management Project
1438	MSP	Jordan	Conservation and Sustainable Use of Biodiversity in Dibeen Nature Reserve
1446	MSP	Peru	Conservation and Sustainable Use of Biodiversity in the Peruvian Amazon by the Indigenous Ashaninka Population
1489	MSP	Paraguay	Biodiversity Conservation and Sustainable Use in the Mbaracayu Natural Reserve
1611	MSP	Mongolia	Developing a Model Conservation Programme-Conservation of the Gobi Desert Using Wild Bactrian Camels as an "Umbrella Species".
1621	FSP	China	Gansu and Xinjiang Pastoral Development Project
1682	MSP	Vanuatu	Facilitating and Strengthening the Conservation Initiatives of Traditional Landholders and their Communities to Achieve Biodiversity Conservation Objectives
1713	MSP	Costa Rica	Improved Management and Conservation Practices for the Cocos Island Marine Conservation Area
1721	MSP	Pakistan	Conservation of Habitats and Species of Global Significance in Arid and Semi-arid Ecosystems in Balochistan
1732	MSP	Argentina	In-Situ Conservation of Andean Crops and their Wild Relatives in the Humahuaca Valley, the Southernmost Extension of the Central Andes
1733	MSP	Guatemala	Consolidating a System of Municipal Regional Parks (MRPs) in Guatemala's Western Plateau
1836	MSP	Lao PDR	Integrated Ecosystem and Wildlife Management Project in Bolikhamxay Province
1842	MSP	Global	Indigenous Peoples' Network for Change
1855	FSP	Chad	Community-Based Ecosystem Management Project
1876	MSP	Colombia	Naya Biological Corridor in the Munchique-Pinche Sector
1895	MSP	Global	Improved Certification Schemes for Sustainable Tropical Forest Management

GEF ID	Modality	Country	Project title
1900	FSP	Mexico	Large Scale Renewable Energy Development Project
2068	MSP	Belize	Integrating Protected Area and Landscape Management in the Golden Stream Watershed
2078	FSP	Mexico	Consolidation of the Protected Area System (SINAP II) - Second Tranche
2099	FSP	Regional	Corazon Transboundary Biosphere Reserve
2102	FSP	Panama	Second Rural Poverty, Natural Resources Management and Consolidation of the Mesoamerican Biological Corridor Project
2183	MSP	Ghana	Community-based Integrated Natural Resources Management Project in Okyeman
2193	MSP	Global	Enabling Sustainable Dryland Management Through Mobile Pastoral Custodianship
2235	FSP	Russian Federation	Demonstrating Sustainable Conservation of Biodiversity in Four Protected Areas in Russia's Kamchatka Oblast, Phase 2
2443	FSP	Mexico	Environmental Services Project
2492	FSP	Namibia	Strengthening the Protected Area Network (SPAN)
2499	FSP	Guatemala	Productive Uses of Renewable Energy in Guatemala
2517	FSP	Regional	Sustainable Environmental Management for Sixaola River Basin
2549	FSP	Cameroon	Sustainable Agro-Pastoral and Land Management Promotion under the National Community Development Program Support Program (PNDP)
2594	MSP	Venezuela, RB	Dhekuana Nonoodo: Sustainable Use and Conservation of Biodiversity Resources of Dhekuana Indigenous Lands
2638	FSP	Turkmenistan	Conservation and Sustainable Use of Globally Significant Biological Diversity in Khazar Nature Reserve on the Caspian Sea Coast (Resubmission)
2774	FSP	Global	Community-based Adaptation (CBA) Programme
2817	MSP	Brazil	Tabuleiro State Park: Conservation of Biodiversity and Ecosystem Rehabilitation
2884	FSP	Costa Rica	Mainstreaming Market-based Instruments for Environmental Management Project
2949	FSP	Global	Critical Ecosystems Partnership Fund (CEPF), Phase 2
1156	FSP	India	Mainstreaming Conservation and Sustainable Use of Medicinal Plant Diversity in Three Indian States
1837	MSP	Uganda	Extending Wetland protected Areas through Community Based Conservation Initiatives
1999	MSP	Kenya	Wildlife Conservation Leasing Demonstration
2100	FSP	Congo, Dem. Rep.	Support to the Rehabilitation of the Protected Areas System in DRC, in the framework of the National Forest and Biodiversity Sector Program.
2184	MSP	Regional	SIP-Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)
2702	FSP	Nicaragua	Strengthening and Catalyzing the Sustainability of Nicaragua's PAS
2820	FSP	Regional	Supporting the Development and Implementation of Access and Benefit Sharing Policies in Africa
2896	MSP	Mexico	Sacred Orchids of Chiapas: Cultural and Religious Values in Conservation
2934	FSP	Brazil	SFM Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems

GEF ID	Modality	Country	Project title
2975	FSP	Philippines	Mindanao Rural Development Program Phase II - Natural Resource Management Project
3284	MSP	Liberia	Consolidation of Liberia's Protected Area Network
3287	FSP	Bangladesh	Community Based Adaptation to Climate Change through Coastal Afforestation
3361	MSP	Global	Assessment and Recommendations on Improving Access of Indigenous Peoples to Conservation Funding
3367	FSP	Ethiopia	SIP-Community-Based Integrated Natural Resources Management in Lake Tana Watershed
3382	FSP	Niger	SIP-Community Driven SLM for Environmental and Food Security
3385	FSP	Senegal	SIP-Sustainable Land Management in Senegal
3443	FSP	Indonesia	SFM Strengthening Community Based Forest and Watershed Management (SCBFWM)
3445	FSP	Thailand	SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach (CBFCM)
3592	FSP	Honduras	Conservation of Biodiversity in the Indigenous Productive Landscapes of the Moskitia
3637	FSP	Mexico	SFM Transforming Management of Biodiversity-rich Community Production Forests through Building National Capacities for Market-based Instruments - under the Sustainable Forest Management Program
3717	FSP	Ecuador	SFM Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor
3821	FSP	Cameroon	CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon
3829	FSP	Ecuador	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems
3909	FSP	Russian Federation	Mainstreaming Biodiversity Conservation into Russia's Energy Sector Policies and Operations
3924	FSP	Global	Development Market Place 2009: Adaptation to Climate Change (DM 2009)
3954	FSP	Papua New Guinea	PAS Community-Based Forest and Coastal Conservation and Resource Management in PNG
4084	FSP	Cameroon	CBSP Conservation and Sustainable Use of the Ngoyla Mintom Forest
4149	FSP	Mexico	SFM Mitigating Climate Change through Sustainable Forest Management and Capacity Building in the Southern States of Mexico (States of Campeche, Chiapas and Oaxaca)
4382	FSP	Costa Rica	Fifth Operational Phase of the GEF Small Grants Programme
4481	FSP	Bolivia	Fifth Operational Phase of the GEF Small Grants Programme
4658	FSP	Russian Federation	ARCTIC Integrated Adaptive Management of the West Bering Sea Large Marine Ecosystem in a Changing Climate
4665	FSP	Russian Federation	Conserving Biodiversity in the Changing Arctic
4678	FSP	Global	GEF SGP Fifth Operational Phase - Implementing the Program Using STAR Resources II
4700	FSP	Bangladesh	Integrating Community-based Adaptation into Afforestation and Reforestation Programmes in Bangladesh

GEF ID	Modality	Country	Project title
4702	FSP	Niger	Integrating Climate Resilience into Agricultural and Pastoral Production for Food Security in Vulnerable Rural Areas through the Farmers Field School Approach
4720	FSP	Angola	Land Rehabilitation and Rangelands Management in Small Holders Agropastoral Production Systems in Southwestern Angola
4725	FSP	Solomon Islands	Solomon Islands Water Sector Adaptation Project (SIWSAP)
4732	FSP	Malaysia	Improving Connectivity in the Central Forest Spine (CFS) Landscape - IC-CFS
4764	FSP	Regional	Enhancing the Resilience of Pastoral Ecosystems and Livelihoods of Nomadic Herders
4774	FSP	Ecuador	Conservation and Sustainable Use of Biodiversity, Forests, Soil, and Water to Achieve the Good Living (Buen Vivir/Sumac Kasay) in the Napo Province
4777	FSP	Ecuador	Mainstreaming of the Use and Conservation of Agrobiodiversity in Public Policies through Integrated Strategies and In situ Implementation in three Provinces in the Andean Highlands
4780	MSP	Panama	Promoting the application of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in Panama
4795	FSP	Russian Federation	ARCTIC Integrated River Basin Management (IRBM) for Major Arctic Rivers to Achieve Multiple Global Environmental Benefits
4796	FSP	Russian Federation	ARCTIC Improvement of Environmental Governance and Knowledge Management for SAP-Arctic Implementation
4822	FSP	Mali	Strengthening Resilience to Climate Change through Integrated Agricultural and Pastoral Management in the Sahelian zone in the Framework of the Sustainable Land Management Approach
4860	FSP	Paraguay	Mainstreaming Biodiversity Conservation and Sustainable Land Management into Production Practices in all Bioregions and Biomes
4901	FSP	India	India: Sustainable Livelihoods and Adaptation to Climate Change (SLACC)
4916	FSP	Colombia	Conservation of Biodiversity in Landscapes Impacted by Mining in the Choco Biogeographic Region
4942	FSP	India	Integrated Biodiversity Conservation and Ecosystem Services Improvement
5075	FSP	Lesotho	Reducing Vulnerability from Climate Change in the Foothills, Lowlands and the Lower Senqu River Basin
5080	FSP	Peru	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience
5137	FSP	India	Mainstreaming Agrobiodiversity Conservation and Utilization in Agricultural Sector to Ensure Ecosystem Services and Reduce Vulnerability
5160	MSP	Colombia	The Development and Production of Natural Dyes in the Choco Region of Colombia for the Food, Cosmetics and Personal Care Industries Under the Provisions of the Nagoya Protocol
5170	MSP	Fiji	Discovering Nature-based Products and Build National Capacities for the Application of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing
5171	FSP	Indonesia	CTI: Coral Reef Rehabilitation and Management Program-Coral Triangle Initiative, Phase III (COREMAP-CTI III)
5172	MSP	Global	Global Support for the Entry into Force of the Nagoya Protocol on Access and Benefit Sharing

GEF ID	Modality	Country	Project title
5190	FSP	Mauritania	Improving Climate Resilience of Water Sector Investments with Appropriate Climate Adaptive Activities for Pastoral and Forestry Resources in Southern Mauritania
5194	FSP	Rwanda	Building Resilience of Communities Living in Degraded Forests, Savannahs and Wetlands of Rwanda Through an Ecosystem Management Approach
5201	MSP	Global	Alliance for Zero Extinction (AZE): Conserving Earth's Most Irreplaceable Sites for Endangered Biodiversity
5203	FSP	Nepal	Catalysing Ecosystem Restoration for Climate Resilient Natural Capital and Rural Livelihoods in Degraded Forests and Rangelands of Nepal.
5208	FSP	Palau	R2R: Advancing Sustainable Resources Management to Improve Livelihoods and Protect Biodiversity in Palau
5220	FSP	Ethiopia	PSG: Sustainable Land Management Project 2
5228	FSP	Regional (Djibouti, Kenya)	RLACC - Rural Livelihoods' Adaptation to Climate Change in the Horn of Africa (PROGRAM)
5252	FSP	Niger	GGW: Third Phase of the Community Action Program
5264	FSP	Gabon	Sustainable Management of Critical Wetlands Ecosystems Project
5270	FSP	Mali	GGW Natural Resources Management in a Changing Climate in Mali
5272	FSP	Kenya	Scaling up Sustainable Land Management and Agrobiodiversity Conservation to Reduce Environmental Degradation in Small Scale Agriculture in Western Kenya
5276	FSP	Brazil	Sustainable Land Use Management in the Semi-arid Region of North-east Brazil (Sergipe)
5277	FSP	Nicaragua	Strengthening the Resilience of Multiple-use Protected Areas to Deliver Multiple Global Environmental Benefits
5281	FSP	Philippines	LME-EA Philippine Rural Development Program
5285	FSP	Indonesia	Strengthening Forest and Ecosystem Connectivity in RIMBA Landscape of Central Sumatra through Investing in Natural Capital, Biodiversity Conservation, and Land-based Emission Reductions (RIMBA project)
5288	FSP	Colombia	Implementing the Socio-Ecosystem Connectivity Approach to Conserve and Sustainable Use Biodiversity in the Caribbean Region of Colombia
5295	MSP	Cambodia	Generating, Accessing and Using Information and Knowledge Related to the Three Rio Conventions
5304	FSP	Regional	Sustainable Management of Bycatch in Latin America and Caribbean Trawl Fisheries (REBYC-II LAC)
5332	FSP	Djibouti	Supporting Rural Community Adaptation to Climate Change in Mountain Regions of Djibouti
5338	FSP	Argentina	Mainstreaming Sustainable Use of Biodiversity in Production Practices of Small Producers to Protect the Biodiversity of High Value Conservation Forests in the Atlantic Forest, Yungas and Chaco
5339	FSP	Indonesia	Market Transformation through Design and Implementation of Appropriate Mitigation Actions in Energy Sector
5347	FSP	Yemen, Rep.	Support to the Integrated Program for the Conservation and Sustainable Development of the Socotra Archipelago
5348	FSP	Cook Islands	Conserving Biodiversity and Enhancing Ecosystem Functions through a "Ridge to Reef" Approach in the Cook Island
5351	FSP	Madagascar	Strengthening the Network of New Protected Areas in Madagascar

GEF ID	Modality	Country	Project title
5352	FSP	Madagascar	Conservation of Key Threatened Endemic and Economically Valuable Species in Madagascar
5363	FSP	Philippines	Development for Renewable Energy Applications Mainstreaming and Market Sustainability (DREAMS)
5367	FSP	Cameroon	PCB Reduction in Cameroon Through The Use Of Local Expertise And The Development Of National Capacities
5368	FSP	Guinea-Bissau	Strengthening the Financial and Operational Framework of the National PA System in Guinea-Bissau
5376	FSP	Chad	Enhancing the Resilience of the Agricultural Ecosystems
5382	FSP	Guinea	Ecosystem-Based Adaptation Targeting Vulnerable Communities of the Upper Guinea Region
5386	MSP	Albania	Building the Resilience of Kune-Vaini Lagoon through Ecosystem-based Adaptation (EbA)
5397	FSP	Vanuatu	R2R: Integrated Sustainable Land and Coastal Management
5398	FSP	Fiji	Implementing a "Ridge to Reef" Approach to Preserve Ecosystem Services, Sequester Carbon, Improve Climate Resilience and Sustain Livelihoods in Fiji (Fiji R2R)
5401	FSP	Regional	Establishment and Operation of a Regional System of Fisheries Refugia in the South China Sea and Gulf of Thailand
5403	MSP	Uzbekistan	Conservation and Sustainable Use of Agricultural Biodiversity to Improve Regulating and Supporting Ecosystem Services in Agriculture Production
5405	FSP	Regional	EAS: Scaling up the Implementation of the Sustainable Development Strategy for the Seas of East Asia
5410	FSP	Venezuela, RB	Sustainable Forest Lands Management and Conservation under an Eco-social Approach
5420	MSP	Costa Rica	Promoting the Application of the Nagoya Protocol through the Development of Nature-based Products, Benefit-sharing and Biodiversity Conservation
5432	FSP	Angola	Integrating Climate Resilience into Agricultural and Agropastoral Production Systems through Soil Fertility Management in Key Productive and Vulnerable Areas Using the Farmers Field School Approach
5433	FSP	Mozambique	Strengthening Capacities of Agricultural Producers to Cope with Climate Change for Increased Food Security through the Farmers Field School Approach
5435	FSP	Zambia	Promoting Climate Resilient Community-based Regeneration of Indigenous Forests in Zambia's Central Province
5448	MSP	Bhutan	Implementing the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing
5454	MSP	Regional	Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing (ABS) for the Member Countries of the Central African Forests Commission COMIFAC
5456	FSP	Bangladesh	Ecosystem-based Approaches to Adaptation (EbA) in the Drought-prone Barind Tract and Haor "Wetland" Area
5458	MSP	Peru	Conservation, Management and Rehabilitation of Fragile Lomas Ecosystems
5479	FSP	India	Integrated SLEM Approaches for Reducing Land Degradation and Desertification

GEF ID	Modality	Country	Project title
5481	MSP	Morocco	Conservation of Biodiversity and Mitigation of Land Degradation Through Adaptive Management of Agricultural Heritage Systems
5486	FSP	Madagascar	A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape
5489	FSP	Lao PDR	Climate Adaptation in Wetlands Areas (CAWA)
5503	FSP	Senegal	Mainstreaming Ecosystem-based Approaches to Climate-resilient Rural Livelihoods in Vulnerable Rural Areas through the Farmer Field School Methodology
5510	FSP	Papua New Guinea	R2R Strengthening the Management Effectiveness of the National System of Protected Areas
5512	MSP	Thailand	Conserving Habitats for Globally Important Flora and Fauna in Production Landscapes
5514	FSP	Mauritius	Mainstreaming Biodiversity into the Management of the Coastal Zone in the Republic of Mauritius
5522	FSP	Libya	Sustainable Land Management and Conservation of Oases Ecosystems in Libya
5528	FSP	Macedonia	Achieving Biodiversity Conservation through Creation and Effective Management of Protected Areas and Mainstreaming Biodiversity into Land Use Planning
5529	MSP	Gambia	Gambia Protected Areas Network and Community Livelihood Project
5531	FSP	Haiti	Ecosystem Approach to Haiti Cote Sud
5533	FSP	China	Developing and Implementing the National Framework on Access and Benefit Sharing of Genetic Resources and Associated Traditional Knowledge
5534	FSP	Ecuador	Conservation of Ecuadorian Amphibian Diversity and Sustainable Use of its Genetic Resources
5535	FSP	Regional	Improving IWRM, Knowledge based Management and Governance of the Niger Basin and the Iullemeden Taoudeni Tanezrouft Aquifer System (ITTAS)
5537	FSP	Congo, Rep.	Creation of Conkouati Dimonika PA Complex and Development of Community Private Sector Participation Model to Enhance PA Management Effectiveness CDC&CPSPM
5542	FSP	Regional	Catalyzing Implementation of the Strategic Action Programme for the Sustainable Management of Shared Living Marine Resources in the Caribbean and North Brazil Shelf Large Marine Ecosystems (CMLE+)
5544	FSP	Marshall Islands	R2R Reimaanlok Looking to the Future: Strengthening Natural Resource Management in Atoll Communities in the Republic of Marshall Islands Employing Integrated Approaches (RMI R2R)
5546	FSP	Panama	Sustainable Production Systems and Conservation of Biodiversity
5547	FSP	Congo, Dem. Rep.	Community-Based Miombo Forest Management in South East Katanga
5549	FSP	Philippines	RicePlus-Dynamic Conservation and Sustainable Use of Agro-biodiversity in Rice-based Farming Systems
5551	FSP	Kiribati	Resilient Islands, Resilient Communities
5552	FSP	Niue	R2R Application of Ridge to Reef Concept for Biodiversity Conservation, and for the Enhancement of Ecosystem Service and Cultural Heritage

GEF ID	Modality	Country	Project title
5554	FSP	Regional	Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries
5559	FSP	Russian Federation	Conservation of Big Cats
5560	FSP	Colombia	Forest Conservation and Sustainability in the Heart of the Colombian Amazon
5567	FSP	Myanmar	Adapting Community Forestry Landscapes and Associated Community Livelihoods to a Changing Climate, in Particular an Increase in the Frequency and Intensity of Extreme Weather Events
5579	MSP	Palau	Mainstreaming Global Environmental Priorities into National Policies and Programmes
5580	FSP	Mauritania	Development of an Improved and Innovative Delivery System for Climate Resilient Livelihoods in Mauritania
5581	FSP	Solomon Islands	Community Resilience to Climate and Disaster Risk in Solomon Islands Project
5592	FSP	Somalia	Enhancing Climate Resilience of the Vulnerable Communities and Ecosystems in Somalia
5593	MSP	Malaysia	Developing and Implementing a National Access and Benefit Sharing Framework
5596	MSP	Nepal	Sustainable Land Management in the Churia Range
5605	MSP	Morocco	Developing a National Framework on Access to and Benefit-Sharing of Genetic Resources and Traditional Knowledge as a Strategy to Contribute to the Conservation and Sustainable Use of Biodiversity in Morocco
5609	MSP	Gambia	Greening the Productive Sectors in Gambia: Promoting the Use and Integration of Small to Medium Scale Renewable Energy Systems in the Productive Uses
5613	MSP	Cook Islands	Strengthening the Implementation of the Nagoya Protocol on Access to Genetic Resources and Benefit Sharing in the Cook Islands
5622	FSP	Indonesia	LME-EA Coral Triangle Initiative Project (COREMAPIII-CTI)
5626	MSP	Kenya	Developing the Microbial Biotechnology Industry from Kenya's Soda Lakes in line with the Nagoya Protocol
5634	MSP	Regional	Ratification and Implementation of the Nagoya Protocol in the Countries of the Pacific Region
5639	MSP	Mauritania	Stocktaking and Update of National Biosafety Framework of Mauritania
5651	FSP	Sudan	Livestock and Rangeland Resilience Program
5653	MSP	Vietnam	Capacity Building for the Ratification and Implementation of the Nagoya Protocol on Access and Benefit Sharing
5656	MSP	Global	Parks, People, Planet: Protected Areas as Solutions to Global Challenges
5657	FSP	Turkey	Conservation and Sustainable Management of Turkey's Steppe Ecosystems
5660	FSP	Pakistan	Sustainable Forest Management to Secure Multiple Benefits in High Conservation Value Forests
5665	FSP	China	A New Green Line: Mainstreaming Biodiversity Conservation Objectives and Practices into China's Water Resources Management Policy and Planning Practice

GEF ID	Modality	Country	Project title
5668	FSP	Paraguay	Innovative Use of a Voluntary Payment for Environmental Services Scheme to Avoid and Reduce GHG Emissions and Enhance Carbon Stocks in the Highly Threatened Dry Chaco Forest Complex in Western Paraguay
5681	FSP	Regional	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in Latin America and the Caribbean.
5692	MSP	Malaysia	Mainstreaming of Biodiversity Conservation into River Management
5694	FSP	Comoros	Building Climate Resilience through Rehabilitated Watersheds, Forests and Adaptive Livelihoods
5703	FSP	Sudan	Enhancing the Resilience of Communities Living in Climate Change Vulnerable Areas of Sudan Using Ecosystem Based Approaches to Adaptation (EbA)
5704	FSP	South Africa	Promoting Organic Waste-to-Energy and other Low-carbon Technologies in Small and Medium-scale Enterprises (SMEs): Accelerating Biogas Market Development
5712	MSP	Liberia	Improve Sustainability of Mangrove Forests and Coastal Mangrove Areas in Liberia through Protection, Planning and Livelihood Creation- as a Building Block Towards Liberia's Marine and Coastal Protected Areas
5719	FSP	Angola	Promotion of Sustainable Charcoal in Angola through a Value Chain Approach
5724	FSP	Global	Participatory Assessment of Land Degradation and Sustainable Land Management in Grassland and Pastoral Systems
5725	MSP	Thailand	Greening Industry through Low Carbon Technology Application for SMEs
5731	FSP	Global	Strengthening Human Resources, Legal Frameworks and Institutional Capacities to Implement the Nagoya Protocol
5735	FSP	Global	Effectively Mainstreaming Biodiversity Conservation into Government Policy and Private Sector Practice Piloting Sustainability Models to Take the Critical Ecosystem Partnership Fund (CEPF) to Scale
5736	FSP	Global	GEF SGP Fifth Operational Phase - Implementing the Program Using STAR Resources III
5738	FSP	Mexico	Strengthening of National Capacities for the Implementation of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity
5744	MSP	Bahamas	Strengthening Access and Benefit Sharing (ABS)
5745	FSP	Nigeria	Sustainable Fuelwood Management in Nigeria
5748	FSP	Regional	Integrated Water Resources Management in the Titicaca-Desaguadero-Poopo-Salar de Coipasa (TDPS) System
5749	FSP	El Salvador	Conservation, Sustainable Use of Biodiversity, and Maintenance of Ecosystem Services in Protected Wetlands of International Importance
5751	MSP	Mexico	Maintaining and Increasing Carbon Stocks in Agro-silvopastoral Systems in Rural Communities of the Selva Zoque - Sumidero Canyon Complex as a Climate Change Mitigation Strategy
5755	FSP	Bolivia	Sustainable Management of Forest Ecosystems in Amazonia by Indigenous and Local Communities to Generate Multiple Environmental and Social Benefits
5759	FSP	Indonesia	Mainstreaming Biodiversity Conservation and Sustainable Use into Inland Fisheries Practices in Freshwater Ecosystems of High Conservation Value (IFish)

GEF ID	Modality	Country	Project title
5761	MSP	Dominica	Supporting Sustainable Ecosystems by Strengthening the Effectiveness of Dominica's Protected Areas System
5765	FSP	Regional	Integrated Transboundary Ridges-to-Reef Management of the Mesoamerican Reef
5767	MSP	Philippines	Implementation of SLM Practices to Address Land Degradation and Mitigate Effects of Drought
5774	MSP	Regional	Advancing the Nagoya Protocol in Countries of the Caribbean Region
5782	FSP	Gambia, The	Adapting Agriculture to Climate Change in the Gambia
5784	MSP	Global	Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio Ecological Production Landscapes and Seascapes (SEPLS)
5785	MSP	Mexico	Sustainable Land Management Promotion
5788	MSP	Côte d'Ivoire	Assessment of Land Degradation Dynamic in Coffee -Cocoa production and Northern Ivory Coast to promote SLM practices and Carbon Stock Conservation ALDD SLM CSC
5789	MSP	Botswana	Using SLM to Improve the Integrity of the Makgadikgadi Ecosystem and to Secure the Livelihoods of Rangeland Dependent Communities
5796	MSP	Cameroon	A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (Echinops giganteus)
5797	MSP	Global	Securing Tenure Rights for Forest Landscape Dependent Communities: Linking Science with Policy to Advance Tenure Security, Sustainable Forest Management and People's Livelihoods
5798	MSP	Regional	Adaptive Management and Monitoring of the Maghreb's Oases Systems
5808	MSP	Algeria	Developing a National Strategy and Legal and Institutional Framework on Access to Genetic Resources and Related Benefit Sharing and Traditional Knowledge in Line with the CBD and Its Nagoya Protocol in Algeria
5811	MSP	Regional	Closing the Gaps in Great Green Wall: Linking Sectors and Stakeholders for Increased Synergy and Scaling-up
5815	FSP	Regional	Building Climate Resilience of Urban Systems through Ecosystem-based Adaptation (EbA) in the Asia-Pacific Region.
5820	MSP	Argentina	Promoting the Application of the Nagoya Protocol on ABS
5824	MSP	Global	Sharing Knowledge on the Use of Biochar for Sustainable Land Management
5826	MSP	Philippines	Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories
5847	MSP	Trinidad and Tobago	Capacity Development for Improved Management of Multilateral Environmental Agreements for Global Environmental Benefits
5848	MSP	Indonesia	Capacity Development for Implementing Rio Conventions through Enhancing Incentive Mechanism for Sustainable Watershed/Land Management
5882	MSP	Gabon	Gabon - Implementation of National Strategy and Action Plan on Access to Genetic Resources and The Fair and Equitable Sharing of Benefits Accruing From Their Utilization
9325	FSP	Djibouti	RLACC - Rural Livelihoods' Adaptation to Climate Change in the Horn of Africa (PROGRAM)
9512	MSP	Tuvalu	Climate Resilience in the Outer Islands of Tuvalu

GEF ID	Modality	Country	Project title
6920	FSP	Global	Implementation of the Arafura and Timor Seas Regional and National Strategic Action Programs
6924	FSP	Vietnam	Promoting Climate Resilience in Vietnamese Cities Management
6925	FSP	Global	Umbrella Programme for Biennial Update Report to the United National Framework Convention on Climate Change (UNFCCC)
6931	FSP	Global	GEF Small Grants Programme - Sixth Operational Phase (Part I)
6940	FSP	Lao PDR	Sustainable Forest and Land Management in the Dry Dipterocarp Forest Ecosystems of Southern Lao PDR
6945	FSP	Costa Rica	Strengthening Capacities of Rural Aqueduct Associations' (ASADAS) to Address Climate Change Risks in Water Stressed Communities of Northern Costa Rica
6949	FSP	Tajikistan	Conservation and Sustainable Use of Pamir Alay and Tian Shan Ecosystems for Snow Leopard Protection and Sustainable Community Livelihoods
6955	FSP	Chile	Strengthening the Adaptive Capacity to Climate Change in the Fisheries and Aquaculture Sector
6962	FSP	Regional	Advancing IWRM Across the Kura River Basin through Implementation of the Transboundary Agreed Actions and National Plans
6965	FSP	Indonesia	Strengthening Forest Area Planning and Management in Kalimantan
6970	FSP	Regional	Pacific Islands Regional Oceanscape Program (PROP)
6984	FSP	Regional	Building Resilience of Health Systems in Asian LDCs to Climate Change
6990	MSP	Bosnia-Herzegovina	Achieving Biodiversity Conservation through Creation, Effective Management and Spatial Designation of Protected Areas and Capacity Building
6992	FSP	Myanmar	Ridge to Reef: Integrated Protected Area Land and Seascape Management in Tanintharyi
8025	FSP	Peru	Effective Implementation of the Access and Benefit Sharing and Traditional Knowledge Regime in Peru in accordance with the Nagoya Protocol
9044	FSP	Peru	Sixth Operational Phase of the GEF Small Grants Programme in Peru
9055	FSP	Ecuador	Sustainable Development of the Ecuadorian Amazon: Integrated Management of Multiple Use Landscapes and High Value Conservation Forests
9058	FSP	Regional	Impact Investment in Support of the Implementation of the Nagoya Protocol on Access and Benefit Sharing (non-grant)
9068	FSP	Chile	Establish a Network of National Important Agricultural Heritage Sites (NIAHS)
9071	FSP	Global	Global Partnership on Wildlife Conservation and Crime Prevention for Sustainable Development (PROGRAM)
9088	FSP	Costa Rica	Sixth Operational Phase of the GEF Small Grants Programme in Costa Rica
9092	FSP	Peru	Sustainable Management of Agro-Biodiversity and Vulnerable Ecosystems Recuperation in Peruvian Andean Regions Through Globally Important Agricultural Heritage Systems GIAHS Approach
9094	FSP	Regional	Integrated Natural Resources Management in Drought-prone and Salt-affected Agricultural Production Systems in Central Asia and Turkey (CACILM2)

GEF ID	Modality	Country	Project title
9103	FSP	Cambodia	Building Adaptive Capacity through the Scaling-up of Renewable Energy Technologies in Rural Cambodia (S-RET)
9129	FSP	Indonesia	Eco-system Approach to Fisheries Management (EAFM) in Eastern Indonesia (Fisheries Management Area (FMA)- 715, 717 & 718)
9199	FSP	Bhutan	Enhancing Sustainability and Climate Resilience of Forest and Agricultural Landscape and Community Livelihoods
9212	FSP	Gabon	Wildlife and Human-Elephant Conflicts Management
9215	FSP	Djibouti	Mitigating Key Sector Pressures on Marine and Coastal Biodiversity and Further Strengthening the National System of Marine Protected Areas in Djibouti
9232	FSP	Regional	Sustainable Management of Peatland Ecosystems in Mekong Countries
9243	FSP	India	Green-Ag: Transforming Indian Agriculture for Global Environmental Benefits and the Conservation of Critical Biodiversity and Forest Landscapes
9255	FSP	South Africa	Development of Value Chains for Products derived from Genetic Resources in Compliance with the Nagoya Protocol on Access and Benefit Sharing and the National Biodiversity Economy Strategy
9262	FSP	Honduras	Agroforestry Landscapes and Sustainable Forest Management that Generate Environmental and Economic Benefits Globally and Locally
9270	FSP	Malaysia	Sustainable Management of Peatland Ecosystems in Malaysia (SMPEM)
9271	FSP	Brazil	National Strategy for Conservation of Threatened Species (PROSPECIES)
9272	FSP	Regional	Amazon Sustainable Landscapes Program
9277	FSP	Regional	Risk Mitigation Instrument for Land Restoration (Non-Grant)
9288	FSP	Suriname	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Gold Mining
9289	MSP	Albania	Enhancing Financial Sustainability of the Protected Area System
9340	FSP	Ghana	Food-IAP: Sustainable Land and Water Management Project, Second Additional Financing
9352	MSP	Nepal	Strengthening Capacities for Implementation of the Nagoya Protocol in Nepal
9361	FSP	Vietnam	Mainstreaming Natural Resource Management and Biodiversity Conservation objectives into socio-economic development planning and management of Biosphere Reserve in Viet Nam
9370	FSP	Regional	The Meloy Fund: A Fund for Sustainable Small-scale Fisheries in SE Asia (Non-grant)
9380	FSP	Mexico	Securing the Future of Global Agriculture in the Face of Climate Change by Conserving the Genetic Diversity of the Traditional Agro-ecosystems of Mexico
9407	FSP	Regional	Healthy Ecosystems for Rangeland Development (HERD): Sustainable Rangeland Management for Biodiversity Conservation and Climate Change Mitigation
9445	FSP	Mexico	Conservation and Sustainable Use of Biological Diversity in Priority Landscapes of Oaxaca and Chiapas
9449	FSP	Brazil	Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapic Value Chains in Brazil
124	FSP	Argentina	Renewable Energy in Rural Markets Project

GEF ID	Modality	Country	Project title
135	FSP	Global	Small and Medium Scale Enterprise Program (IFC, first replenishment)
765	FSP	Indonesia	West Java/Jakarta Environmental Management Project
965	FSP	Vietnam	Systems Efficiency Improvement, Equitization and Renewables (SEER) Project - Renewables Components
1089	FSP	Philippines	Asian Conservation Company (ACC)
975	FSP	Regional	Accelerating Renewable Energy Investments through CABEI in Central America
1169	FSP	Syrian Arab Republic	Biodiversity Conservation and Protected Area Management
1234	FSP	Benin	Community-based Coastal and Marine Biodiversity Management Project
1239	FSP	Ethiopia	Sustainable Development of the Protected Area System
1273	FSP	Guinea	Coastal Marine and Biodiversity Management
1476	FSP	Brazil	Caatinga Conservation and Sustainable Management Project
2275	MSP	Morocco	The Middle Atlas Forest Restoration project
2366	FSP	Lao PDR	Southern Provinces Rural Electrification II Program
2374	FSP	Vietnam	Rural Energy II
2551	FSP	Colombia	Colombian National Protected Areas Conservation Trust Fund
2670	FSP	Regional	Central American Markets for Biodiversity (CAMBio): Mainstreaming Biodiversity Conservation and Sustainable use within Micro, Small and Medium-sized Enterprise Development and Financing
2761	FSP	Philippines	National Program Support for Environment and Natural Resources Management Project (NPS-ENRMP)
2127	FSP	Global	CBPF: Conservation and Adaptive Management of Globally Important Agricultural Heritage Systems (GIAHS)
2391	FSP	Regional	Facilitation of Financing for Biodiversity-based Businesses and Support of Market Development Activities in the Andean Region
2751	FSP	Regional	SFM Rehabilitation and Sustainable Use of Peatland Forests in South-East Asia
2772	FSP	Chile	Building a Comprehensive National Protected Areas System: A Financial and Operational Framework
2773	FSP	Costa Rica	Overcoming Barriers to Sustainability of Costa Rica's Protected Areas System
2902	FSP	Regional	Design and Implementation of Pilot Climate Change Adaptation Measures in the Andean Region
2931	FSP	Ecuador	Adaptation to Climate Change through Effective Water Governance
3100	FSP	China	Enabling China to Prepare Its Second National Communications to UNFCCC
3101	FSP	Regional	Pacific Adaptation to Climate Change Project (PACC)
3299	MSP	Thailand	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events
3393	FSP	Uganda	SIP: Enabling Environment for SLM to overcome land degradation in the cattle corridor of Uganda
3469	FSP	India	SLEM/CPP: Sustainable Land Management in Shifting Cultivation Areas of Nagaland for Ecological and Livelihood Security
3472	FSP	India	SLEM/CPP: Integrated Land Use Management to Combat Land Degradation in Madja Pradesh

GEF ID	Modality	Country	Project title
3518	FSP	Russian Federation	Strengthening the Marine and Coastal Protected Areas of Russia
3532	FSP	Colombia	Protecting Biodiversity in the Southwestern Caribbean Sea
3573	MSP	Nepal	Environmentally Sound Management and Disposal of POPs Pesticides and PCBs
3604	FSP	Colombia	Mainstreaming Traditional Knowledge Associated with Agrobiodiversity in Colombian Agroecosystems
3606	FSP	Philippines	Expanding and Diversifying the National System of Terrestrial Protected Areas
3630	MSP	Guatemala	BS Development of Biosafety Mechanisms to Strengthen the Implementation of the Cartagena Protocol in Guatemala
3672	FSP	China	Phasing-out Incandescent Lamps & Energy Saving Lamps Promotion (PILESLAMP)
3688	MSP	Montenegro	Strengthening the Sustainability of the Protected Areas System of the Republic of Montenegro
3689	FSP	Zambia	Adaptation to the effects of drought and climate change in Agro-ecological Zone 1 and 2 in Zambia
3693	FSP	Kenya	Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya
3713	MSP	Djibouti	Establishing Effectively Managed Marine Protected Areas in Djibouti
3718	FSP	Congo, Dem. Rep.	Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security
3726	FSP	Global	Groundwater Governance: A Global Framework for Country Action
3749	FSP	Regional	Towards Ecosystem Management of the Humboldt Current Large Marine Ecosystem
3818	MSP	Global	SFM Capacity Development for Climate Change Mitigation through Sustainable Forest Management in non-Annex I Countries
3820	FSP	Mongolia	Strengthening of the Protected Area Networking System in Mongolia (SPAN)
3853	MSP	Regional	Building Capacity for Regionally Harmonized National Processes for Implementing CBD Provisions on Access to Genetic Resources and Sharing of Benefits
3861	MSP	Belize	Strengthening National Capacities for the Consolidation, Operationalization and Sustainability of Belize's Protected Areas System
3900	FSP	Global	MENARID: GEF IW LEARN: Strengthening IW Portfolio Delivery and Impact
3964	EA	Argentina	Third National Communication to the United Nations Framework Convention on Climate Change
3996	MSP	Honduras	SFM: Mainstreaming Biodiversity Conservation into the Management of Pine-Oak Forests
4180	MSP	Suriname	Coastal Protected Area Management
4216	FSP	Samoa	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)
4806	MSP	Global	A Global Initiative on Landscapes for People, Food and Nature
4826	MSP	Vietnam	Developing National Biodiversity Strategy and Action Plan and Mainstreaming Biodiversity Conservation into Provincial Planning

GEF ID	Modality	Country	Project title
48	FSP	Congo, Rep.	Wildlands Protection and Management
54	FSP	Uganda	Bwindi Impenetrable National Park and Mgahinga Gorilla National Park Conservation
78	FSP	Lao PDR	Wildlife and Protected Areas Conservation
79	FSP	Philippines	Conservation of Priority Protected Areas
85	FSP	Cameroon	Biodiversity Conservation and Management
348	FSP	Panama	Biodiversity Conservation in the Darien Region
360	FSP	Regional	Regional Strategy for the Conservation and Sustainable Use of Natural Resources in the Amazon
377	FSP	Sudan	Community Based Rangeland Rehabilitation for Carbon Sequestration

NOTE: EA = enabling activity; FSP = full-size project; MSP = medium-size project.

Annex C: Survey of SGP national coordinators

1. Name:

2. SGP country programme:

3. Number of SGP indigenous peoples projects and amount of funding awarded from your office since July 2010?

4. Are there any significant populations of "indigenous peoples," as commonly defined under international laws and frameworks such as ILO Convention 169 and the UN Declaration on the Rights of Indigenous Peoples, in your country of work?

    a. Yes   b. No

    If yes, please provide additional clarifications on the country situation (maximum 300 words):

5. Does the SGP National Steering Committee (NSC) have an indigenous peoples' focal point?

    a. Yes   b. No

6. Does the SGP Country Programme Strategy (CPS) have a specific focus on indigenous peoples?

    If yes, please give brief details:

7a. Please estimate number of SGP projects working collaboratively with indigenous peoples supported since July 2010

7b. Please estimate number of SGP projects directly funding indigenous peoples organizations (IPOs) since July 2010

8. If your country programme has supported activities related to indigenous peoples, does your Country programme Strategy in OP5 and OP6 include a specific emphasis on inclusion of indigenous peoples?

    a. Yes   b. No

    Please provide brief details:

9. In terms of indigenous peoples–related projects in your country of work, what thematic areas are covered and how frequently? How many projects, approximately, in each thematic area are funded?

Thematic area	Rating				Number of IP projects funded since 2010?
Biodiversity	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Climate change mitigation	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Land Degradation	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Sustainable Forest Management	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Forests and REDD+	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Other Community Based Natural Resource Management	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Protected Areas	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' territory mapping and ICCAs (Indigenous Peoples' and Community Conserved Territories and Areas)	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' organizational capacity building	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' governance	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' policy development	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Indigenous peoples' traditional knowledge and culture	1. Frequently	2. Sometimes	3. Rarely	4. Never	

Please give details as necessary:

10. Did any SGP project deal with issues of the resettlement of indigenous peoples?

a. Yes   b. No

If yes, please provide project details of project ID, location and date

11. What are the benefits of GEF funding to indigenous peoples in your country? If possible, add relevant project IDs.

Benefit	Rating				Project IDs
Increased land tenure or security	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased natural resource rights or security	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased inclusion for consultation and project design	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased inclusion on policy level discussions	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Access to training/capacity building	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Promotion of public or private partnerships	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Increased awareness or of international conventions	1. Frequently	2. Sometimes	3. Rarely	4. Never	
Income and livelihoods improvements	1. Frequently	2. Sometimes	3. Rarely	4. Never	
No benefits observed	1. Frequently				

Please explain:

12. What are the main challenges of accessing GEF funding (through SGP) for indigenous peoples in your country?

Challenge	Rating		Possible solution
Language limitations [i.e., project proposal writing, communications across different indigenous groups, and others]	Yes	No	
Timing requirements [i.e., longer project preparation time due to consultation processes, lower capacity levels and other local issues]	Yes	No	
Geographic or communication barriers to access funds [i.e., distance or lack of infrastructure]	Yes	No	
Limited capacity in administrative management skills and communication technology in indigenous peoples organizations [i.e., it can upset project design and implementation procedures and bookkeeping, monitoring practices]	Yes	No	
Funding criteria are not relevant to indigenous peoples [i.e., funds are thematically or administratively not relevant/suitable to indigenous peoples' situations]	Yes	No	
Lack of consultations with indigenous peoples [i.e., low uptake and dissemination of information and/or understanding of indigenous peoples' needs]	Yes	No	
National policy barriers reduce indigenous peoples' access to funds [i.e., national legislation or processes have the effect of restricting funding to such groups]	Yes	No	
No challenges observed	Yes	No	

Other challenges (Please explain):

13. What are some of the main mechanisms (i.e., revised formats, planning grants in local languages, photo-story, participatory video etc.) adopted for assisting indigenous peoples to access GEF funding (through SGP) in your country?

Please explain:

14. What are the main challenges of accessing GEF funding (through MSPs and FSPs) for indigenous peoples in your country?

Challenge	Rating		Possible solution
Language limitations [i.e., project proposal writing, communications across different indigenous groups, and others]	Yes	No	
Timing requirements [i.e., longer project preparation time due to consultation processes, lower capacity levels and other local issues]	Yes	No	
Geographic or communication barriers to access funds [i.e., distance or lack of infrastructure]	Yes	No	
Limited capacity in administrative management skills and communication technology in indigenous peoples organizations [i.e., it can upset project design and implementation procedures and bookkeeping, monitoring practices]	Yes	No	
Challenges in identifying a GEF Agency willing to partner with an IPO due to a variety of reasons [i.e., different priorities, political challenges, national government attitudes]	Yes	No	

Challenge	Rating		Possible solution
Funding criteria are not relevant to indigenous peoples [i.e., funds are thematically or administratively not relevant/suitable to indigenous peoples' situations]	Yes	No	
Lack of consultations with indigenous peoples [i.e., low uptake and dissemination of information and/or understanding of indigenous peoples' needs]	Yes	No	
National policy barriers reduce indigenous peoples' access to funds [i.e., national legislation or processes have the effect of restricting funding to such groups]	Yes	No	
No challenges observed	Yes	No	

Other challenges: Please explain:

15. Which policies and guidelines influence your projects with indigenous peoples?

Policy	Rating				
GEF Principles & Guidelines on IP Engagement	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Existing ministerial guidelines (please provide details below)	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UNDRIP	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
ILO C169	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UN System Wide Action Plan (SWAP) for indigenous peoples	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
UNDG Guidelines on IPs	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Other national policies	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain
Other international treaties (please provide details below)	1. Always	2. Sometimes	3. Rarely	4. Never	5. Not certain

Please give further information as relevant:

16. Does your office correspond or work with any indigenous peoples' networks (i.e. national, regional or global)?

a. Yes   b. No

If yes, please give network(s) name:

17. As far as you know, have indigenous peoples in your country provided feedback to GEF directly through?

a. GEF CSO network focal point

b. GEF IPAG processes

c. GEF Secretariat

d. GEF ECWs [Expanded Constituency Workshops]

e. Others

If yes, please give brief details:

Annex D: Interviewees

Yoko Watanabe, Global Manager, GEF SGP, UNDP; former Senior Biodiversity Specialist and Indigenous Peoples Focal Point, GEF

Terence Hay-Edie, Deputy Global Manager, GEF SGP, UNDP

Sarah Wyatt, Operations Analyst, GEF Secretariat

Laura Ledwith, Consultant to the GEF Secretariat on indigenous peoples

Hawe Hamman Bouba, Mbororo Social and Cultural Development Association; indigenous peoples' representative, United Nations Permanent Forum on Indigenous Issues

Daniel M. Kobei, Executive Director, Ogiek Peoples Development Programme; indigenous peoples' representative, United Nations Permanent Forum on Indigenous Issues

Balkisou Buba, Vice National Coordinator Repaleac Cameroon; indigenous peoples' representative, United Nations Permanent Forum on Indigenous Issues

Luis Felipe Duchicela, Senior Social Development Specialist, World Bank Group

Lucy Mulenkei, Executive Director, Indigenous Information Center (Maasai, Kenya); indigenous peoples' representative, United Nations Permanent Forum on Indigenous Issues

Edna Kaptoyo, Program Coordinator, Indigenous Information Network; indigenous peoples' representative, United Nations Permanent Forum on Indigenous Issues

Yeshing Juliana Upun, Coordinator for Indigenous Peoples Rights, Sotzil Association, Guatemala

Maria Yolanda Terán Maigua, Representative, Andes Chinchansuyo Foundation

Thomas Jalong, President, Indigenous Peoples Network of Malaysia (Jaringan Orang Asal SeMalaysia, JOAS)

Gonzalo Oviedo, former Senior Advisor, the IUCN Social Policy Programme

Giovanni Reyes, Secretary-General, KASAPI

Tina Rai, Chiang Mai University (Rai, Nepal/India)

Johnson Cerda, Indigenous Advisor, Conservation International (Kichwa, Ecuador)

Minnie Degawan, Director, Conservation International Indigenous and Traditional Peoples Program

Carlos Tomas Perez-Brito, Senior Social Development Specialist, World Bank Group; former Social Scientist, IDB

Ramiro Batzin, Coordinator, Technical Forum Indigenous of Abya Yala (Latin America); Director, Association Sotzil; Indigenous representative, National Council for Climate Change in Guatemala

John Scott, Programme Officer, Traditional Knowledge, CBD

Vivana Figueroa, Associate Programme Officer, CBD

Jeff Griffin, Senior Coordinator, FAO-GEF Coordination Unit

Yon Fernandez-de-Larrinoa, FAO Indigenous Peoples Team Leader and Gender Advocacy

Valeria Poggi, Programme and Country Technical Assistance, FAO Indigenous Peoples Team

Guido Agostinucci, FPIC Liaison, FAO Indigenous Peoples Team

Daniela Morra, Natural Resources Officer (Environmental and Social Safeguards), Environmental and Social Management Unit, Climate and Environment Division

Tommaso Vicario, M&E Project Specialist, FAO-GEF Coordination Unit

Chiara Pili, GEF Project Development Specialist, FAO-GEF Coordination Unit

Annex E: Issues flagged on Agency conformity with Minimum Standard 4

The following issues were flagged during a comparative review of wording between GEF Minimum Standard 4 and Agency safeguard policies, where partial consistency with GEF Minimum Standard 4 requirements was shown. Hence, the issues raised are not known to be reflective of practice but, for instance, may be worth consideration as a focus in monitoring activities related to GEF-funded projects involving indigenous peoples.

E.1 African Development Bank

Documents reviewed:

- AfDB Group's *Integrated Safeguards System: Policy Statement and Operational Safeguards* (2013)

- AfDB Group's *Development and Indigenous Peoples in Africa* (2016)

- *AfDB Integrated Safeguards System Guidance Materials Volume 1: General Guidance on Implementation of OS 1*

- *AfDB Integrated Safeguards System Guidance Materials Volume 2: Guidance on Safeguard Issues*

- AfDB *Environmental and Social Assessment Procedures (ESAP)*

The AfDB policy paper on indigenous peoples is clear about the difficulties and opposition with this issue in member states. The foreword details the

following as the most progressive of three proposals regarding changing the AfDB policy:

> Strengthen existing provisions to protect the rights of Indigenous Persons. This is done through the Integrated Safeguards System and in all the Operational Safeguards (OS) in the ISS, in line with the relevant provisions of the UN Declaration on the Rights of Indigenous Peoples, ILO Convention 169 and the policies of other MFIs that operate in Africa, especially the Global Environment Facility and the World Bank. The consistency with the GEF will particularly ensure that the Bank remains an Implementing Agency of the Fund. (AfDB Group 2016)

Specifically, this last sentence indicates that consistency with the GEF is not presumed.

Additionally, the United Nations Permanent Forum on Indigenous Issues made a specific recommendation in its 12th session (2013) to AfDB,[1] on the strength of AfDB protections for indigenous peoples:

> The Permanent Forum appreciates the steps taken by the African Development Bank to include safeguards for indigenous peoples in its integrated safeguards system. The Forum is concerned, however, that the Bank remains the only multilateral bank not to have a stand-alone safeguard policy for indigenous peoples. The Forum recommends that the Bank fast-track,

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[1] UNPFII Recommendations Database, https://esa.un.org/unpfiidata/UNPFII_Recommendations_Database_view.asp?editid=1851&editid2=&editid3=&TargetPageNumber=1&todo=readonly&masterkey=

in coordination with the African Commission on Human and Peoples' Rights and other regional bodies, a regional policy framework for indigenous peoples in line with the provisions of the African Charter on Human and Peoples' Rights and report on progress to the Forum at its thirteenth session, in 2014.

GEF Minimum Standard 4 states: "If access restriction to parks and protected areas, ensure that affected IPs [indigenous peoples] fully and effectively participate in the design, implementation, monitoring and evaluation of management plans for such areas and share equitably in benefits from the areas."

Regarding this requirement, the relevant sections from the AfDB safeguard (regarding resettlement including from national parks) appear to be "and that they share in the benefits of the project that involves their resettlement" and "the project promotes the notion of benefit sharing and improvement of the economic status of communities when designing common property compensation provisions."

These statements do not adequately cover the requirement of the Minimum Standard 4 regarding participation of indigenous peoples in their (former) territories.

GEF Minimum Standard 4 states: "Refrain from utilizing cultural resources or knowledge of IPs [indigenous peoples] without obtaining prior agreement."

AfDB's safeguard states that "access to and commercialisation of indigenous knowledge is based on equitable benefits," but does not require consent for use of indigenous knowledge as within Minimum Standard 4.

GEF Minimum Standard 4 states: "Where the E/S [environmental/social] impact assessment identifies adverse effects on IPs [indigenous peoples],

Agency policies require that the project develop an IP plan or a framework."

Regarding the preparation of indigenous peoples plans or frameworks required by Minimum Standard 4, AfDB plans (SMP/Resettlement Action Plan/Community Development Plans) have similar facets, but lack a "trigger" that is specific to indigenous peoples being involved. Safeguard guidance refers to indigenous peoples development plans, but they are not clarified and the language of the guidance notes is not binding.

AfDB's own report on indigenous peoples safeguards states:

> A key recommendation from the Indigenous Peoples' Forum is that the Bank should deliberately design and promote development programs that target Indigenous Peoples, beyond safeguards. This could be in the form of a separate development program targeting Indigenous Peoples or through an Indigenous Community Development Plan that should be prepared for projects that have clear risks for Indigenous Peoples. (AfDB Group 2016, 24)

This language indicates that indigenous peoples development plans are not mandatory in projects.

GEF Minimum Standard 4 states: "Monitor, by experienced social scientists, the implementation of the project (and any required IP plan or framework) and its benefits as well as challenging or negative impacts on and address possible mitigation measures in a participatory manner."

While adequate monitoring processes are described in the AfDB safeguards, mitigation measures may involve consultation but no process for participation is described.

Minimum Standard 4 acknowledges FPIC where it is required by virtue of ratification of ILO C169.

FPIC is not addressed in AfDB safeguards. Only one African state (Central African Republic) is a

signatory to ILO C169, and due to lack of security, implementation has been very limited. However, it would be necessary for any GEF-funded project to use FPIC approaches.

E.2 United Nations Environment Programme

Documents reviewed:

- *UNEP Environmental, Social and Economic Sustainability Framework* (2015)

- *UNEP and Indigenous Peoples: A Partnership in Caring for the Environment Policy Guidance* (2012)

- *UNEP Handbook for Stakeholder Engagement* (2014)

GEF Minimum Standard 4 states: "Refrain from utilizing cultural resources or knowledge of IPs [indigenous peoples] without obtaining prior agreement."

The UNEP safeguards for indigenous peoples are well developed and do include application of FPIC for all projects. That said, while protection of tangible cultural heritage (UNEP Environmental, Social and Economic Sustainability Standard 7) is explicit, there is no mention of prior agreement for the use of intangible cultural heritage or for traditional knowledge. It may, however, be inferred that the application of FPIC would ensure exploitation is prevented.

E.3 World Bank (OP 4.10)

Documents reviewed:

- *OP/BP 4.10: Indigenous Peoples* (2005)

- *Indigenous Peoples* (2016)

GEF Minimum Standard 4 states: "Undertake E/S [environmental/social] impact assessment, with involvement of IPs [indigenous peoples], to assess potential impacts and risks when a project may have adverse impacts."

While OP 4.10 ensures Bank clients undertake social assessments for projects involving indigenous peoples, there appears to be no mandatory involvement of them in the assessment process.

Annex F: Case studies

F.1 Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems

GEF ID	2934
GEF replenishment period	GEF-4
GEF Agency	UNDP
Duration	2009–16
GEF grant	$5,762,185
Cofinancing	$22,548,479
Outcome rating	Satisfactory
Sustainability rating	Moderately likely
Efficiency rating	Satisfactory

Brazil has substantial ethno-cultural diversity, with an estimated indigenous population of 460,000 persons from 225 different ethnic groups. This project aimed to catalyze the consolidation of indigenous lands as essential protected areas for biodiversity conservation in Brazilian forest ecosystems. The project execution is a collaborative effort among the Brazilian government, the National Foundation for Indigenous Affairs (FUNAI), UNDP, and the indigenous organizations. In terms of cofinancing, the FUNAI contributed $6,858,983 cash and $2,665,494 in kind to the project; the indigenous organizations contributed $400,000 in cash.

The indigenous peoples and their local associations were significantly involved throughout the project. In terms of institutional arrangements, six members of indigenous organizations were on the project steering committee to provide political and strategic support, along with members from the government and the FUNAI. Project preparation was also a collaborative effort among government agencies and indigenous representatives, and consultation results with indigenous peoples were incorporated into the final proposal to the GEF.

The immediate goal of the project was to put in place a ground-tested and officially recognized strategy for environmental management in indigenous lands by indigenous peoples for effective conservation and sustainable use of forest biodiversity. The project fully achieved this goal by adapting the existing National Protected Areas Plan to meet the environmental and social needs of the indigenous lands. It replaced the National Protected Areas Plan with the National Policy for Environmental and Territorial Management of Indigenous Lands (PNGATI), which sets the framework for action planning related to the topic, and is currently the reference for actions by the Brazilian government. In addition, ethno-management activities, dissemination of information on project activities, and training of community members on sustainable activities were conducted in 32 indigenous lands of five forest biomes across the country.

At the local level, project activities relied on the experience of indigenous peoples and their organizations, and their capacities in conservation were strengthened through the engagement.

The project also set up a network of indigenous representatives to enable experience exchange on environmental management among different indigenous lands.

F.2 Conservation of Biodiversity in the Indigenous Productive Landscapes of the Moskitia, Honduras

GEF ID	3592
GEF replenishment period	GEF-4
GEF Agency	UNDP
Duration	2009–14
GEF grant	$2,159,300
Cofinancing	$5,455,000
Outcome rating	Satisfactory
Sustainability rating	Likely
Efficiency rating	Moderately unsatisfactory

This project aimed to conserve biodiversity in the production landscapes managed by indigenous peoples in the Moskitia. Poverty among the local indigenous population was high, and many people were struggling to meet daily nutritional requirements.

In this project, local indigenous peoples were involved as direct beneficiaries. The project assisted local indigenous organizations in obtaining intercommunal land titles, which provided legal tools for indigenous communities to secure their land rights. It also helped strengthen stronger territorial governance and generate good practices on conserving biodiversity, which also fostered land security for indigenous communities. In addition, the project developed a management plan that integrated traditional fishery resources management methods, which helped the local fishery move from overharvesting.

These enabling conditions built foundations for securing medium-term funding for Alliance for the

Development of the Moskitia, a continuing project by the Honduran government, the UN, and the Swiss and German Development Cooperations to continue delivering benefits without GEF support.

F.3 Wildlife Conservation Leasing Demonstration (WCL), Kenya

GEF ID	1999
GEF replenishment period	GEF-4
GEF Agency	World Bank
Duration	2009–12
GEF grant	$752,270
Cofinancing	$505,000
Outcome rating	Moderately satisfactory
Sustainability rating	Unlikely
Efficiency rating	Satisfactory

The project's objective was to ensure long-term ecological viability of the Nairobi National Park. This medium-size project used payment for ecosystem services as a tool to improve land management, and to deliver direct benefits to the indigenous communities. The project demonstrated the interconnection between biodiversity, rural land use, and the welfare of indigenous peoples.

The payments from ecosystem services generated in the indigenous territories were made to maintain season dispersal areas and migration corridors on adjacent lands owned by indigenous communities. The project achieved its outcomes, as indicated by populations of wildlife that were monitored over the project's duration. Payments were generally used through community consensus for the acquisition of agricultural machinery, medical equipment, and educational material, among others. This in turn helped the community develop human capital. More than three-quarters of the payment income was spent on education (80 percent in 2009), including payment of school fees and the purchase of school uniforms and books.

The project provided an incentive for conserving private land providing habitat for wildlife use, enabled pastoral families to invest in the education of their children, and helped build the human capital critical for the future of the local Maasai youth. Also, the payments were used to improve living standards in the indigenous communities with access to basic health services.

One lesson learned from the project review is that the payment for ecosystem services is not sufficient on its own to ensure the viability of the protected ecosystem. The mechanism must be complemented with other tools, including conservation easements, predator compensation schemes, and land use regulations.

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